

# Personnel Files Checklist

Employee Name \_\_\_\_\_ Employee Number \_\_\_\_\_

Department \_\_\_\_\_ Date of Review \_\_\_\_/\_\_\_\_/\_\_\_\_

Review Completed By \_\_\_\_\_

## Personnel File (one file per employee)

- Employment Application
- Résumé
- Up-To-Date Job Description
- Employment References Checklist
- Job Offer Letter
- Orientation Checklist
- Emergency Contact Information
- Employee Information Form
- Employees Withholding Allowance Certificate W-4
- State Specific Employees Withholding Allowance Certificate, if applicable
- Copy of Driver's License, if required for the position
- Signed Receipt of Employee Handbook and Employment-at-will Statement
- Change in Personal Data Form
- Performance Evaluations
- Position/Rate Change Forms
- Record of Disciplinary Action (Verbal and Written Warnings), if applicable
- Absentee Record
- Requests for Time Off
- Tuition Assistance/Training Requests
- Documentation of Training
- Documentation of Certification and/or License (for example, LPN/RN)
- Requests to Review Personnel File
- Resignation Statement
- Other
  - \_\_\_\_\_
  - \_\_\_\_\_

## Benefits File (one file per employee)

- Benefits Declination Form
- Health, Dental, Vision, and/or Pharmacy Insurance Enrollment Forms
- Other Insurance Enrollment Forms (Life Insurance, STD, LTD, etc)
- Flexible Spending Account Forms
  - Election Form/Compensation Reduction Agreement
  - Employee Direct Deposit Signup Form
  - Claims
- 401(k) Enrollment Form, Retirement Forms, Beneficiary Designation Forms
- S125 Premium Only Plan Forms
- Beneficiary Designation Form
- COBRA or State Continuation paperwork, if applicable
- Other
  - \_\_\_\_\_
  - \_\_\_\_\_

**Payroll File** (one file per employee)

- Direct Deposit Authorization
- Payroll Deduction Authorization Forms
- Overtime Requests, if applicable
- Time Sheets
- Employee Expense Report
- Auto Mileage Reimbursement Vouchers
- Garnishments/Income Executions
- Requests for Pay Advances
- Other
  - \_\_\_\_\_
  - \_\_\_\_\_

**Confidential Files** (one file per employee)

- Documentation of Investigations
- Lawsuit or DOL/EEOC investigation correspondence
- EEOC and Affirmative Action Data
- Background Check and Drug Testing Results
- OSHA Forms
- Employee Incident Report
- Other
  - \_\_\_\_\_
  - \_\_\_\_\_

**Medical File** (one file per employee)

- Medical Information
- FMLA Forms
  - Employee Request for Family Medical Leave
  - Certification of Health Care Provider
  - Family Medical Leave Periodic Reports
  - Family Medical Leave Return to Work Certification
- Disability and/or Workers' Compensation Claim Forms
- Accommodation Requests
- Other
  - \_\_\_\_\_
  - \_\_\_\_\_

**Note:** Under the ADA, all medical information must be retained in separate, confidential files.

**I-9 File** (one consolidated file)

- Form I-9
- Copies of Form I-9 supporting documentation, if applicable (for example, social security card).

**Note:** By law, you are not required to photocopy documents. If you do, you must do so for all employees and should retain each photocopy with the Form I-9.

Employers should ensure that information contained in employee files remains confidential by maintaining the files in a secure location and limiting disclosure to authorized personnel only. Employers should also be sure to review and comply with all recordkeeping and record retention requirements set forth in local, state and federal laws. Please understand that this document is provided for informational purposes only, and is not intended to be legal advice. If the reader has concerns about how the law applies to their specific facts or circumstances, they should seek advice from an attorney.