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## Personnel File Checklist

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### Step 1: Establish a policy for personnel files.

#### Include:

- A determination as to what types of information are to be kept in the file.
- Who is responsible for maintaining the file?
- Where the files are to be kept.
- Who will monitor the contents and maintenance of the files?
- How long information will be kept in the files.
- A procedure for keeping information current.
- A policy for review of files by only those with a need to know.
- A policy for review by the employee of his/her own file, including:
  - When the file may be reviewed.
  - Whether a written request will be required.
  - Where the file may be reviewed.
  - How often the file may be reviewed.

### Step 2: Establish a system for purging the files after the required retention period. (see the Records Retention Requirement Chart)

### Step 3: Establish separate “Confidential” files for:

- Medical Records – including:
  - Family/medical leave request forms if the employee has disclosed the nature of his/her illness.
  - Return to work releases.
  - Workers’ compensation records.
  - Medical information about the employee related to reasonable accommodation under the Americans with Disabilities Act or Fair Employment and Housing Act.
- Equal Employment Opportunity records.
- I-9 Files (Immigration and Naturalization-all I-9s should be kept in one common file rather than individual employee files).
- Other “Confidential” files such as investigative files for harassment, discrimination claims, and background and reference checks.

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**Step 4: Establish a personnel file for each employee. Some of the items that may be included in each file are:**

- Employment application and/or resume.
- Payroll authorization forms.
- Records reflecting a change in payroll rate, date of seniority, and other changes such as name changes, date of birth, and correction of social security number.
- Notices of commendation, warning, discipline, or termination.
- Notices of layoff, leave of absence, and similar matters.
- Wage attachments or garnishment notices.
- Notices of union requirements and membership dues check-off.
- Education and training notices and records.
- Test results (tests associated with the job, such as typing).
- Performance appraisal or interview evaluation ratings.
- Attendance and absence records.
- Promotion recommendations.
- Production, quality and other individual records.
- Records of grievances affecting employment status.
- Records comparing employee with other employees.