**NORTHEAST INSTITUTE FOR QUALITY COMMUNITY ACTION**

**Employee Personnel File Organization Audit Checklist**

1. **EMPLOYEE GENERAL PERSONNEL FILE.**

* Signed Employment Application.
* Resume.
* Degree/Credential Documentation.
* Documents Authorizing Reference/Background Checks (no SSN#).
* Signed Offer Letter and Signature of Offer Acceptance.
* Employment Contract (If applicable).
* Signed Hand Book/Manual Receipt Acknowledgement Form.
* Personnel Action Documents: Hire, Promotion, Resignation etc.
* Signed Performance Appraisals (Introductory/Annual).
* Documentation of Discipline: Written Warnings, Suspension, Termination.
* Commendations – Recognition Documentation.
* Training and CEU Documentation.
* Signed Receipt of Policy Statements: Conflict of Interest, Whistleblower, Nepotism, Confidentiality, etc (If not in Handbook or Annual Updates).
* Documentation of Approval or Alternative Work Arrangements (e.g., Flex-Time).
* Employee Written Response to any Document Included in His/Her File.

1. **CONFIDENTIAL EMPLOYEE MEDICAL FILE.**

* Benefit(s) Enrollment Forms.
* Doctor’s Notes.
* Medical Exam Information (Post Offer-Pre-Employment).
* Drug Testing Results.
* Medical Insurance Claim Forms/Information.
* Behavioral Heath Rehabilitation/Treatment Records.
* FMLA Documentation.
* Fitness for Duty/Authorization to Return to Work Documents.
* Worker’s Compensation Accident Reports/Documents.

1. **CONFIDENTIAL NON-MEDICAL EMPLOYEE PERSONAL DATA FILE.**

* Tax Information (W4; W2; State/Federal Withholding, etc)
* Payroll Information.
* Direct Deposit Authorization Forms.
* 401K/403B or Other Pension Information.
* Other Financial or Legal Information (Insurance; Wages Garnishee, etc).
* Information/Documents with Employee SSN.
* EEO-1 Documents (ID Employee Race, Ethnicity, Sex, Disability, etc).
* Investigative Files Associated with Harassment/Fraud, etc. Allegations.
* 1-9 Forms – DOT Files.
* Background Check Information (Criminal, Credit, etc).