

Personnel Checklist

Before employees ask to review their personnel file, your company should have specific procedures in place to ensure it is following legal guidelines concerning personnel recordkeeping.

This checklist reviews all of the steps you should follow in this process. Employers have the right and responsibility to monitor the employee's inspection of a file to ensure that nothing is removed, destroyed, or altered, and to return the file to the proper place.

Use this checklist in conjunction with the *Records Retention Requirements* chart to ensure that you are maintaining records in the right place for the right amount of time, and that you are protecting employee privacy rights.

Personnel Checklist

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 Requirements* 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.
 - Any other medical information.
- Equal Employment Opportunity records.
- I-9 forms (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.

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 change, date of birth, and correction of Social Security number.
- Notices of commendation, warning, discipline, or termination.
- Notices of layoff, leaves of absence, and similar matters.
- Wage attachments or garnishment notices.
- Notices of union requirements and membership dues check-off.

Personnel Checklist

Step 4 (continued): Some of the items that may be included in each employee's personnel file are:

- 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.