

PERSONNEL FILE CHECKLIST

DIRECTIONS

- The documents in the checklist below must be maintained and up-to-date in your employee personnel files in order to properly manage your practice and employees.
- Ensuring these documents are up-to-date will also help provide proper legal protection for your practice.
- Maintain consistency in all personnel files. Do not include a document in one employee's file that you leave out of another employee's file.

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- Does the employee personnel file contain every written evaluation of that employee?
- Does the employee personnel file have every written document that pertains to all raises, promotions, and commendations the employee has received?
- Does the employee personnel file have all written documentation that pertains to verbal, written, or other disciplinary action taken on the employee?
- Do you have a copy of the original employment agreement and compensation package?
- Does the personnel file contain the signed receipt for the employee handbook?
- Has the handbook been updated since they were hired? If so, do you have an updated receipt?
- Are all of your files updated with the employee's current status?
- Does the file have complete employee paper work, including:
 - Personnel data sheet
 - Emergency contact information
 - Current W4 form
 - Copy of ID and Social Security card
- Signed copy of the job description?
- Is the job description still accurate with the employee's expected duties?
- Does the file contain copies of current contracts, or other agreements between the practice and the employee?
- If the employee has received pay increases, does the personnel file reflect the current pay rate?
- Any papers relating to benefits that your employee enjoys?
- Any written complaints from patients or co-workers?
- Training programs the employee has been given?

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- Documentation on completed training programs?
 - Does the file contain records and notes of any disciplinary proceedings taken against the employee?
 - Any written warning on bad attendance or tardiness?
 - Any employment related paper work, such as: written agreements, non-competes agreements, office equipment care, agreements on using company vehicles, etc.
 - Any documents related to an employee resigning or termination.
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**WHAT YOU SHOULD
NOT KEEP IN THE
PERSONNEL FILE**

There are some items that you should not keep in a personnel file, either for reasons relating to potential lawsuits, or due to federal laws. Here are some items that should be kept separate from personnel files:

- Employee medical records. If you employ someone that has a disability, you are required by the ADA to keep that employee's medical records in a separate file, and limit the access to that file. Even if you plan on keeping medical records for employees without disabilities, keep them separated from the standard personnel file.
 - I-9 forms. These forms are used for all employees to verify that you have checked their eligibility to be employed within the United States. You should keep all employees I-9 forms in one file for the USCIS (United States Citizenship and Immigration Services). You do not want the USCIS going through your personnel files to look at I-9 forms as this could violate the privacy of your employees.
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DISCLAIMER

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