Personnel File Checklist

The following employee personnel documents must be maintained and kept up-to-date in order to properly manage your practice and employees. This will also help provide proper legal protection for your practice.

Maintain consistency in all personnel files—any file included in one employee’s file should also be included in others.

**Ensure the employee personnel file contains each of the following.**

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|  | All written evaluations of the employee |
|  | All written documentation that pertains to all raises, promotions, and commendations the employee has received |
|  | All written documentation that pertains to verbal, written, or other disciplinary action taken on the employee (including for poor attendance, tardiness, customer and or co-worker complaints, etc.) |
|  | A copy of the original employment agreement and compensation package |
|  | The signed proof of receipt of the employee handbook |
|  | All complete employee paperwork, including the personnel data sheet, emergency contact information, current W4, and copy of ID and Social Security card. |
|  | Signed copy of job description |
|  | All copies of current contracts or other agreements between the practice and the employee, including written agreements, non-compete agreements, office equipment care, agreements on using company vehicles, etc. |
|  | Any documentation relating to employee benefits |
|  | List or documentation of any training programs the employee has participated in and completed |
|  | Any documents related to an employee resigning or termination |

**Additionally, ensure that each of the following is true.**

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|  | If the handbook has been updated since thee employee was hired, you have an updated and signed proof of receipt. |
|  | All files are updated with the employee’s current status |
|  | Job description is accurate with employee’s expected duties |
|  | If employee has receive pay increases, current pay rate is reflected |

**What you should NOT keep in personnel files**

For reasons relating to potential lawsuits or due to federal laws, there are some items that you should not keep in a personnel file. The following items 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 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 employee I-9 forms in one file for the United States Citizenship and Immigration Services (USCIS). This will ensure that the USCIS does not have to go through your personnel files to view I-9 forms, as this could violate the privacy of your employees.