Personnel File Checklist

Employee: [Name] Employee ID: [ID] Hire date: [Date] File reviewed by: [Name] on [Date]. Tick each item present, mark N/A where it does not apply, and note anything missing. Separate files are listed at the end; do not place their contents in the main personnel file.

1. HIRING AND OFFER

- ☐ Job application or resume
- ☐ Signed offer letter or employment agreement
- ☐ Job description for the position at hire
- ☐ Interview scorecard or hiring decision summary (or note where recruiting records are kept)
- ☐ Reference check notes
- ☐ Signed restrictive covenant agreements (confidentiality, non-solicitation, non-compete where lawful)
- ☐ Background check disclosure and authorization (the report itself goes in the confidential file)

2. ONBOARDING AND ACKNOWLEDGEMENTS

- ☐ New hire information form
- ☐ Emergency contact form (contacts only; any medical details go in the medical file)
- ☐ Signed employee handbook acknowledgement
- ☐ Signed policy acknowledgements (attendance, code of conduct, acceptable use, anti-harassment)
- ☐ State-required new hire notices (for example wage notices where required)
- ☐ Company property or equipment issued receipt
- ☐ Probation or introductory period review

3. JOB AND PAY HISTORY

- ☐ Employee change forms for every change to title, department, manager, status or pay
- ☐ Promotion, transfer and pay increase letters
- ☐ Written pay change notices where state law requires them
- ☐ FLSA exempt or non-exempt classification and the date of any change
- ☐ Remote work or flexible schedule agreements

4. PERFORMANCE AND DEVELOPMENT

- ☐ Performance reviews and self-evaluations
- ☐ Goal-setting and development plans
- ☐ Performance improvement plans and outcomes
- ☐ Training completion records and certificates
- ☐ Licenses or certifications required for the role, with expiry dates
- ☐ Awards and recognition

5. CONDUCT AND DISCIPLINE

- [ ] Verbal warning documentation
- [ ] Written and final warnings, signed or marked as refused
- [ ] Attendance warnings and point records at each threshold
- [ ] Final outcome of any investigation (the investigation file itself is kept separately)

6. SEPARATION

- [ ] Resignation letter or termination letter
- [ ] Separation checklist and property return form
- [ ] Exit interview summary
- [ ] Separation or severance agreement
- [ ] Final pay confirmation and any state-required separation notice
- [ ] COBRA notice confirmation (or note where benefits records are kept)
- [ ] Rehire eligibility decision

7. KEEP IN SEPARATE RESTRICTED FILES

- [ ] Medical file: doctor's notes, accommodation requests and decisions, FMLA certifications, medical exam results, workers' compensation records, and any medical details from emergency contact forms
- [ ] Form I-9 file: Forms I-9, Supplement A and B, copies of identity and work authorization documents, E-Verify case results
- [ ] Payroll and tax file: Form W-4 and state withholding forms, direct deposit authorization, wage garnishment orders, timecards
- [ ] Benefits file: enrollment forms, beneficiary designations, waivers
- [ ] Background check file: consumer reports, drug test results, adverse action notices
- [ ] Investigation file: complaints, interview notes, witness statements and evidence
- [ ] Self-identification file: voluntary race, ethnicity, sex, disability and veteran status forms

FILE REVIEW SIGN-OFF

Missing items and follow-up actions: _____

Reviewed by: _____ Date: _____

Next review due: _____