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Employee Records
Checklist

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by **Paycor**

Organizing your employees' information will make your life easier if you ever need to supply evidence for any claim, dispute or audit.

Stay Compliant!

There are a number of federal agencies and acts that require HR departments to retain files through the duration of an employees' term and afterward.

To help you manage employee records, we've provided a checklist to ensure you are keeping up with the most important documents.

How to Use this Document:

Once downloaded, the template can be customized to meet the needs of your organization.

EMPLOYEE RECORDS CHECKLIST

PERSONNEL FILE

Keep records relating to the employee's hiring and ongoing employment, and any items that may impact their employment in the future.

☐ Recruitment records (e.g., interview notes, writing samples, rating sheets, supplemental job questionnaires, college transcripts, exam scores).

☐ New employee orientation checklist

☐ Employment application, cover letter, resume

☐ Signed job description

☐ Signed employment offer letter

☐ Personal data information and changes (e.g., name, address, education level)

☐ Acknowledgment of Employee Handbook
Note: Allow the employee time to read the Employee Handbook during the work day before signing.

☐ Performance reviews

☐ Documentation related to salary increases and promotions

☐ Documentation related to disciplinary action

☐ Trainings/class completion certificates or documents (e.g., sexual harassment training, conflict resolution course, first aid, CPR, etc.)

☐ Form I-9: Employment Eligibility Verification*

* Employment law attorneys recommend keeping all Form I-9s in either a separate master file or a three-ring binder organized by date of disposal. Because I-9 files are subject to unique record retention laws, separating these forms will help ensure they are retained for as long as necessary and can be readily discarded after the retention period expires.

EMPLOYEE RECORDS CHECKLIST

MEDICAL AND BENEFITS FILE

Due to various privacy laws and the Americans with Disabilities Act (ADA), employee medical records must be kept separate from basic personnel files. Separating these files can further help protect against claims of discrimination as it's illegal to base personnel decisions (such as promotions) on medical history.

- ☐ Health and retirement benefit records, including beneficiary designation

- ☐ Documents related to an employee's medical history (e.g., doctor's work release, accommodation request)

- ☐ COBRA records (if applicable) FMLA request and certification records (if applicable) Formal pre-employment tests (e.g., drug and alcohol tests, criminal background checks)

- ☐ Injury File - If an employee is injured on the job, start a third file within your personnel records for them. This file should contain workers' compensation claim records and injury reports, as well as any additional medical records on the injury.

- ☐ Workers' Compensation claim records

- ☐ Injury reports, medical reports

- ☐ OSHA records (if applicable)

Benefits administrators generally maintain COBRA records, but some employers may retain copies depending on employee count. Alternatively, these records can be placed in a separate FMLA file, organized per FMLA occurrence. These records can also be placed in separate files by type of pre-employment test and include all results for each separate test, organized by year.

EMPLOYEE RECORDS CHECKLIST

PAYROLL FILE

If HR manages payroll (as opposed to Accounting or Finance), separate payroll-related records from other files and familiarize yourself with all laws governing payroll records.

- ☐ Vacation records

- ☐ Sick time records

- ☐ Time-off accrual and usage records

- ☐ Pay information, including raises or wage deductions

- ☐ Authorization for extra hours/overtime documentation

- ☐ Time cards and other records of hours worked

- ☐ Work schedules (if printed) W-4 forms* and other payroll records with the employee's social security number W-2 forms

- ☐ Withholding and deduction documentation (e.g., related to non-tax withholding such as benefit deductions, retirement plan contribution)

- ☐ Wage garnishment documentation

Some states require employers to report information on new hires to the State Registry. All employees must be reported, regardless of age, wages, work schedule, temporary status, or discontinuance of their employment before the specified deadline.

EMPLOYEE RECORDS CHECKLIST

MISCELLANEOUS FILE

Several employment files are created only in unique circumstances. These files should not be kept in the general personnel file due to legal requirements and to avoid claims of discrimination. Your organization may or may not have one or more of these files. Contents

☐ Charges of discrimination place with the EEOC and related documents (if applicable)

☐ EEO Self Identification Form, only used for EEO-1 reporting or Affirmative Action Plans (if collected based on company size)

☐ Americans with Disabilities Act claim documentation (if applicable). These records may also be placed in the employee's Medical and Benefits file.

☐ Health Insurance Portability and Accountability Act (HIPAA) documentation

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