

Employee File Maintenance

Individual employee files should be started from their date of hire and maintained vigilantly through separation of employment.

1. "Personnel File"
2. "Medical/Benefits File"
3. "Payroll File"
4. "I-9" file
5. Other miscellaneous information such as workers' compensation files, OSHA logs, etc.

We recommend the following approach to your HR filing:

1. Main HR file: Include documentation that provides a roadmap for where the employee has been, and that can be used for making and justifying future employment related decisions (i.e. promotions, discipline, terminations) that are based upon performance rather than discriminatory reasons. Examples of what to include are:

- Employment application/resume
- New hire checklist
- Orientation checklist
- Employee personnel action change documentation (i.e. promotions, pay
- Raises and reasons for them, etc)
- Performance evaluations
- Formal discipline documentation/performance improvement plans
- Signed policy/handbook acknowledgements
- Employee training documentation
- Quarterly/annual attendance records
- Termination checklist (for terminated employee files only)

2. File confidential information, or items not related to pay and performance, in a series of separate files. Examples of what to be filed elsewhere are:

2a) I-9 forms and supporting documentation (these documents should have their own separate filing system). All employee I-9's may be kept together in one binder, which may be the easiest way to provide the documentation should there ever be an audit.

2b) Employee benefits enrollment documentation. The Medical file will contain information that should NOT be kept in either the Personnel file or Payroll file. * For smaller organizations or agencies with less information, payroll and medical files may be combined BUT physically separated.

2c) Informal notes on performance related conversations
Interview notes



3. Payroll Changes/Documentation - Direct deposit forms, for example, can be kept in a Payroll file. The Payroll file's purpose is to maintain specific items related directly to payroll processing and reporting. The files may be stored in or near the payroll department under lock and key.