



Guidelines for Maintaining Employee Files

DOCUMENTATION	PERSONNEL FILE	CONFIDENTIAL/ MEDICAL FILE (restricted access)	CONFIDENTIAL/ PERFORMANCE FILE
1. New Employee Checklist – Orientation, Job Descriptions	X		
2. Applications / Resumes	X		
3. Offer Letter	X		
4. Letters of Recommendation	X		
5. Confidentiality/Non-Disclosure Agreements	X		
6. Receipt of Handbook or Acknowledgement	X		
7. Payroll – Federal / State W-4, payroll deduction authorization	X		
8. Salary increase / promotion / transfer authorization	X		
9. Attendance records	X		
10. Recognition (newspaper clippings, compliments from managers/customers)	X		
11. Continuing education/training	X		
12. Employment verification (copies of mailed or faxed forms)	X		
13. Performance reviews signed / dated by manager and employee	X		
14. Discipline action signed / dated by manager and employee	X		
15. Benefit Forms (enrollments, waivers and change forms, including medical, dental, 401k, supplemental disability, life insurance, etc.)		X	
16. COBRA Information (copy of notice)		X	
17. Personality Tests / Assessments		X	
18. Pre-Employment Checks (references, criminal, credit)		X	
19. Drug Testing Results		X	
20. School Transcripts		X	
21. Medical records, physical exam record		X	
22. E-Verify / SSA (SS Administration) verifications		X	
23. EEO forms and changes		X	
24. Background Check forms (authorization forms and results)		X	
25. Unemployment claims with documented response		X (or a separate UI file)	
26. Garnishments		X (or a separate garnishment file)	
27. I-9 forms, completed		Separate I-9 file	
28. Completed Worker's Compensation forms		Separate WC file	
29. Family Leave forms		Separate leave file	
30. Harassment Investigation Notes			separate investigation folder
31. Investigation Notes (non-harassment, such as employee relations issues), when not formalized to employee			manager's working file for employee
32. Performance concern notes (when not yet formalized to employee)			manager's working file for employee
33. Emails or notes from co-workers, expressing concerns about employee (performance, communication, etc.)			manager's working file for employee

Retention Recommendations:

- I-9 forms must be maintained for three years or for one year after the last day of the employee's employment, whichever is longer. File I-9 forms for terminated employees separately.
- Applications and resumes for candidates not hired should be maintained for a minimum of one year.
- Timekeeping and Personnel records should be maintained for at least seven years following the date of termination of employment.