



HR CHECKLIST: Recordkeeping

Recordkeeping	Yes	No
1. Are employee personnel files centrally located?	<input type="checkbox"/>	<input type="checkbox"/>
2. Are personnel files adequately secured?	<input type="checkbox"/>	<input type="checkbox"/>
3. Are medical records kept in a separate, "confidential" employee personnel file and maintained in a separate locked cabinet from general personnel files? (NOTE: Recommended to keep general medical records separate from WC medical records)	<input type="checkbox"/>	<input type="checkbox"/>
4. Is the following information, if applicable, contained in the employee's personnel file:	<input type="checkbox"/>	<input type="checkbox"/>
a. Hiring paperwork (i.e. employment application, résumé, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
b. References	<input type="checkbox"/>	<input type="checkbox"/>
c. Tax form W-4, etc.(This information may be kept in a separate Payroll file.)	<input type="checkbox"/>	<input type="checkbox"/>
*d. Insured benefits data (This information may be kept in a separate Benefits file.)	<input type="checkbox"/>	<input type="checkbox"/>
e. Other benefit data (i.e. retirement, savings, etc.) (This information may be kept in a separate Benefits file.)	<input type="checkbox"/>	<input type="checkbox"/>
f. Performance appraisals	<input type="checkbox"/>	<input type="checkbox"/>
*g. Assessment test results	<input type="checkbox"/>	<input type="checkbox"/>
h. Beneficiary and emergency notification data	<input type="checkbox"/>	<input type="checkbox"/>
i. Employment and pay history with organization	<input type="checkbox"/>	<input type="checkbox"/>
j. Training and development information	<input type="checkbox"/>	<input type="checkbox"/>
k. Disciplinary actions	<input type="checkbox"/>	<input type="checkbox"/>
l. Job preference - career objective	<input type="checkbox"/>	<input type="checkbox"/>
m. Diplomas, certificates	<input type="checkbox"/>	<input type="checkbox"/>
n. Awards	<input type="checkbox"/>	<input type="checkbox"/>
o. Letters of commendation	<input type="checkbox"/>	<input type="checkbox"/>
*p. Leave of absence requests, etc.	<input type="checkbox"/>	<input type="checkbox"/>
*q. Attendance records	<input type="checkbox"/>	<input type="checkbox"/>
r. Employee authorization to release information	<input type="checkbox"/>	<input type="checkbox"/>
s. Hazard Communication - Signed Training Forms	<input type="checkbox"/>	<input type="checkbox"/>
t. Control of Hazardous Energy (Lockout/Tagout) - Certificate	<input type="checkbox"/>	<input type="checkbox"/>
u. Bloodborne Pathogen - signed training forms	<input type="checkbox"/>	<input type="checkbox"/>
v. Hazardous Waste Operations & Emergency Response - Certificate	<input type="checkbox"/>	<input type="checkbox"/>
w. Hazardous Waste Management Compliance - Certificate	<input type="checkbox"/>	<input type="checkbox"/>
x. Department of Transportation Hazardous Material Certification	<input type="checkbox"/>	<input type="checkbox"/>
y. Other _____	<input type="checkbox"/>	<input type="checkbox"/>
*If these records contain "medical data," they need to be in the separate, "confidential" medical file.		
5. Does the company have a policy/procedure in place to save electronic documents that may become "discoverable" during a lawsuit?	<input type="checkbox"/>	<input type="checkbox"/>
6. Do you keep I-9 forms (Immigration Reform & Control Act) in a separate filing system?	<input type="checkbox"/>	<input type="checkbox"/>
7. Are legal matters, EEO charges, attorneys' letters, etc., kept in a separate confidential file?	<input type="checkbox"/>	<input type="checkbox"/>
8. Do you allow employees access to their personnel files?	<input type="checkbox"/>	<input type="checkbox"/>
9. Do you control access to personnel files on a need-to-know basis?	<input type="checkbox"/>	<input type="checkbox"/>
10. Is the organization covered by the Freedom of Information Act or your state's Public Records law? NOTE: These acts cover public employers only - federal, state, local governments, etc.	<input type="checkbox"/>	<input type="checkbox"/>



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Recordkeeping, Continued	Yes	No
11. Does the HR department maintain general subject files on topics such as EEO, employee relations' trends, compensation, etc.?	<input type="checkbox"/>	<input type="checkbox"/>
12. Does the organization retain personnel records relating to the following federal laws:		
a) Title VII, 1964 Civil Rights Act & Americans With Disabilities Act, 1990		
1. Promotions, demotions, transfers, layoffs, recalls, or terminations	<input type="checkbox"/>	<input type="checkbox"/>
2. Rates of pay or other terms of compensation	<input type="checkbox"/>	<input type="checkbox"/>
3. Selection for training/apprenticeship	<input type="checkbox"/>	<input type="checkbox"/>
4. Charges of discrimination or actions brought by EEOC or state and local agencies against employer including:	<input type="checkbox"/>	<input type="checkbox"/>
a) Records related to charging party and others involved in the discrimination charge	<input type="checkbox"/>	<input type="checkbox"/>
5. Application forms/test papers completed by unsuccessful applicants and by all other applicants for same position	<input type="checkbox"/>	<input type="checkbox"/>
6. Apprenticeship programs:		
a) Chronological list of names and addresses of all applicants, application dates, sex and minority group identification, or file of written applications containing same information	<input type="checkbox"/>	<input type="checkbox"/>
b) Test papers	<input type="checkbox"/>	<input type="checkbox"/>
c) Interview records	<input type="checkbox"/>	<input type="checkbox"/>
7. For private employers with 100 or more employees or federal contractors with 50 employees and \$50,000 in government contracts: copy of EEO-1, Employer Information Report	<input type="checkbox"/>	<input type="checkbox"/>
b) Age Discrimination in Employment Act		
1. Payroll or other records containing each employee's name, address, date of birth, occupation, rate of pay, and compensation earned per week	<input type="checkbox"/>	<input type="checkbox"/>
2. Personnel or employment records pertaining to:		
a) Job applications, résumés, or other replies to job advertisements, including applications for temporary positions and records pertaining to failure or refusal to hire	<input type="checkbox"/>	<input type="checkbox"/>
b) Promotion, demotion, transfer, selection for training, layoff, recall, or discharge	<input type="checkbox"/>	<input type="checkbox"/>
c) Job orders submitted to employment agencies or unions	<input type="checkbox"/>	<input type="checkbox"/>
d) Test papers in connection with employer-administered aptitude or other employment tests	<input type="checkbox"/>	<input type="checkbox"/>
e) Physical examination results considered in connection with personnel actions	<input type="checkbox"/>	<input type="checkbox"/>
f) Job advertisement or notices to the public or employees regarding openings, promotions, training programs, or opportunities for overtime work	<input type="checkbox"/>	<input type="checkbox"/>
3. Employee benefit plans, written seniority or merit rating systems	<input type="checkbox"/>	<input type="checkbox"/>
4. Personnel records, including the above, relevant to any enforcement action brought against the employer	<input type="checkbox"/>	<input type="checkbox"/>
c) Immigration Reform and Control Act and E-Verify		
1. INS Form I-9, Employment Eligibility Verification Form, documentation of E-Verify processing	<input type="checkbox"/>	<input type="checkbox"/>
d) Fair Labor Standards Act (includes Equal Pay Act of 1963)	<input type="checkbox"/>	<input type="checkbox"/>
1. Employee's full name and social security number	<input type="checkbox"/>	<input type="checkbox"/>
2. Address, including zip code	<input type="checkbox"/>	<input type="checkbox"/>
3. Birth date, if younger than 19 (proof of age)	<input type="checkbox"/>	<input type="checkbox"/>
4. Sex and occupation	<input type="checkbox"/>	<input type="checkbox"/>
5. Time and day of week when employee's workweek begins	<input type="checkbox"/>	<input type="checkbox"/>



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Recordkeeping, Continued	Yes	No
6. Hours worked each day (including daily start & end times)	<input type="checkbox"/>	<input type="checkbox"/>
7. Total hours worked each workweek	<input type="checkbox"/>	<input type="checkbox"/>
8. Basis on which employee's wages are paid (e.g., "\$15 per hour", "\$1000 a week", "piecework")	<input type="checkbox"/>	<input type="checkbox"/>
9. Regular hourly pay rate	<input type="checkbox"/>	<input type="checkbox"/>
10. Total daily or weekly straight-time earnings	<input type="checkbox"/>	<input type="checkbox"/>
11. Total overtime earnings for the workweek	<input type="checkbox"/>	<input type="checkbox"/>
12. All additions to or deductions from the employee's wages	<input type="checkbox"/>	<input type="checkbox"/>
13. Total wages paid each pay period	<input type="checkbox"/>	<input type="checkbox"/>
14. Date of payment and the pay period covered by the payment	<input type="checkbox"/>	<input type="checkbox"/>
e) Family Medical Leave Act (FMLA) Recordkeeping	<input type="checkbox"/>	<input type="checkbox"/>
1. Based on similar records required under FLSA, all records pertaining to compliance with FMLA's general requirements for leave	<input type="checkbox"/>	<input type="checkbox"/>
2. In addition to basic payroll data, the dates and hours (if less than full day) of FMLA leave taken, copies of employer notices, documents describing employee leave benefits and policies, premium payments of employee benefits, and records of disputes with employees over FMLA benefits	<input type="checkbox"/>	<input type="checkbox"/>
f) Employment Retirement Income Security Act (ERISA) Recordkeeping		
1. Are you filing Schedule A insurance information with 5500 Series if the plan has insurance contracts for benefits or investments?	<input type="checkbox"/>	<input type="checkbox"/>
2. If you have a defined benefit plan subject to minimum funding standards, are you filing Schedule B actuarial information with the 5500 Series, and are you paying the annual PBCG premium? Note: Certain small professional employers do not have to file the PBCG premium.	<input type="checkbox"/>	<input type="checkbox"/>
3. Are you distributing Summary of Material Modification (SMM) to participants and beneficiaries no later than <u>210 days</u> after end of plan year in which modification is effectuated?	<input type="checkbox"/>	<input type="checkbox"/>
g) Toxic Substances Control Act, Section 8(c), Environmental Protection Agency:		
1. Maintain and permit inspection of records of "significant adverse reactions" alleged to have been caused by chemical substances or mixtures manufactured or processed by the firm. Such records shall be kept at the firm's headquarters or at any other appropriate location central to the firm's chemical operations. (Records must contain original allegation; abstract of allegation, including name and address of plant site that received allegation, date allegation received, implicated substance, description of allegor, description of health effect(s), and description of environmental effects; results of any self-initiated investigation of allegation; and copies of any other required reports or records relating to allegation.)	<input type="checkbox"/>	<input type="checkbox"/>
h) Occupational Safety & Health Act (OSHA)		
1. Log and Summary of Occupational Injuries and Illnesses (OSHA 300) briefly describing recordable cases of injury and illness, extent and outcome of each incident, and summary total for calendar year (some industries are exempt, including retail trade, finance, insurance, real estate, and service industries).	<input type="checkbox"/>	<input type="checkbox"/>
2. Supplemental Record containing more detailed information for each occurrence of injury or illness.	<input type="checkbox"/>	<input type="checkbox"/>
3. Complete and accurate records of all medical examinations.	<input type="checkbox"/>	<input type="checkbox"/>
4. Records of any personal or environmental monitoring of exposure to hazardous materials.	<input type="checkbox"/>	<input type="checkbox"/>
5. Are you aware of the Employee Access to Medical Records Standard? (29 CFR1910.1020)	<input type="checkbox"/>	<input type="checkbox"/>
6. Are medical records retained for duration of employment plus 30 years?	<input type="checkbox"/>	<input type="checkbox"/>
7. Records of employee consent or declination forms for HBV vaccinations.	<input type="checkbox"/>	<input type="checkbox"/>



HR CHECKLIST: Recordkeeping

Recordkeeping, Continued	Yes	No
OSHA, Continued		
8. Records of post-exposure follow-up forms.	<input type="checkbox"/>	<input type="checkbox"/>
9. Are you notifying OSHA when an employee is killed on the job (must be reported within 8 hours) OR suffers a work-related hospitalization, amputation, or loss of an eye (must be reported within 24 hours)?	<input type="checkbox"/>	<input type="checkbox"/>
g) OSHA 300 Log		
1. Are you familiar with:		
a) OSHA Form 300 (Log of Work Related Injuries & Illnesses)?	<input type="checkbox"/>	<input type="checkbox"/>
b) OSHA Form 301 (Injury & Illness Incident Report)?	<input type="checkbox"/>	<input type="checkbox"/>
c) OSHA Form 300A (Summary of Work Related Injuries & Illnesses)?	<input type="checkbox"/>	<input type="checkbox"/>
2. Do you know you need to:	<input type="checkbox"/>	<input type="checkbox"/>
a) Within 7 calendar days after you receive information about a case, decide if it is recordable under OSHA recordkeeping requirements?	<input type="checkbox"/>	<input type="checkbox"/>
b) Determine whether the incident is a new case or a recurrence of an existing one?	<input type="checkbox"/>	<input type="checkbox"/>
c) Establish whether the case is work-related?	<input type="checkbox"/>	<input type="checkbox"/>
d) If the case is recordable, decide which form you will complete as the Injury & Illness incident report? (You may use OSHA Form 301 or an equivalent form. Some state workers' compensation insurance or other reports may be acceptable substitutes as long as they provide the same information as the OSHA 301.)	<input type="checkbox"/>	<input type="checkbox"/>
3. Are you aware the OSHA 300A (Summary of Work-Related Illnesses & Injuries), which shows the summarized totals for the year from the OSHA 300, must be posted in a visible location for the 3-month period of Feb. 1 – April 30?	<input type="checkbox"/>	<input type="checkbox"/>
4. Are you aware that OSHA requires businesses with 250 or more employees, per facility, to electronically report annually to the agency all of the company's injury and illness logs for the previous year? Certain companies in designated industries (including manufacturing) with 20-249 employees also have to report annually.	<input type="checkbox"/>	<input type="checkbox"/>
h) Affordable Care Act		
1. Are you aware large employers (with 50 or more employees) must each year:	<input type="checkbox"/>	<input type="checkbox"/>
a) Complete and submit Form 1095-C to the IRS?	<input type="checkbox"/>	<input type="checkbox"/>
b) Provide a statement to all employees regarding health care coverage provided in the previous calendar year? (May be made available to employees upon request.)	<input type="checkbox"/>	<input type="checkbox"/>

Additional information is available online in our BLR HR Hero and CCH AnswersNow tools or by contacting the Solutions Team.