

Employee Records Compliance Audit Format

Department/Unit: _____
Audit Date: _____
Auditor(s): _____
Period Covered: _____

Employee Records Checklist

Record Type	Compliant (Y/N)	Remarks / Details
Personal Information Form	_____	
Employment Contract	_____	
Proof of Identity (ID, SSN, etc.)	_____	
Tax Withholding Forms (e.g., W-4)	_____	
Payroll Records	_____	
Attendance Records	_____	
Performance Appraisals	_____	
Disciplinary Actions (if any)	_____	
Training Records	_____	
Termination/Exit Documents	_____	

Summary of Findings

Compliance Area	Status / Findings
Completeness of Employee Files	
Accuracy of Documentation	
Confidentiality & Data Security	
Retention Period Compliance	
Other Observations	

Recommendations / Corrective Actions

Important Notes:

- This audit ensures employee records comply with legal and organizational requirements.
- Personal and confidential information must be handled with strict privacy safeguards.
- Regular audits help prevent compliance issues and legal risks.
- Retention periods vary; ensure records are maintained or disposed according to policy.
- Non-compliance must be documented with recommended corrective actions.