

# Employee Records Compliance Audit Format

Department/Unit: \_\_\_\_\_

Audit Date: \_\_\_\_\_

Auditor(s): \_\_\_\_\_

Period Covered: \_\_\_\_\_

## Employee Records Checklist

| Record Type                       | Compliant<br>(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.