

IMPERIAL VALLEY COLLEGE

FILE AUDIT CHECKLIST

Department: Human Resources	Auditable Function: Audit Checklist/Personnel File
Reviewed by:	Date:
Reviewed by:	Date:
Reviewed by:	Date:

Section 1	Yes	No	N/A	Comments
Pre-Employment Documents				
• Employment Application				
• Resume				
• Supplemental Questions				
• Reference Letters				
• Request to Hire Form				
• Other				

Section 2	Yes	No	N/A	Comments
Employment				
• Offer Letter/Salary Placement				
• Board Resolution & Changes to Employment				
• SSN Notice (faculty only)				
• COBRA				
• STRS/PERS				
• Emergency Contact Form				
• Other				

Section 3	Yes	No	N/A	Comments
Education/Training				
• Transcripts				
• Certificates				
• Sexual Harassment Awareness Training Docs				
• Any Required Training Docs				
• Professional Growth Agreement				
• Other				

Section 4	Yes	No	N/A	Comments
Compensation				
• NOE's				
• Information Related to Pay Adjustments (i.e. extra duty agreements)				
• Docks				
• Compensation Letter				
• Other				

Section 5	Yes	No	N/A	Comments
Performance				
• Performance Appraisals				
• Evaluations				
• Discipline Action Forms				
• Grievances/complaints (if appropriate)				
• Tenure Review				
• Other				

Section 6	Yes	No	N/A	Comments
Miscellaneous				
• W-4				
• Union Dues				
• Other DOCS (previous letters of recommendation)				
• Annuity Paperwork				
• Master Time Records				
• Oath or Affirmation of Allegiance				
• Drug Free Policy				
• Verification of Employment				
• Other				
• Other				
• Other				

Access to Personnel Files

Name of person requesting access to the file	Date	Reason	Comments