EMPLOYEE FILE CHECKLIST

(Audit Readiness Checklist for HR/Clerks)

Updated June 2025

Purpose:

Use this checklist to verify that each employee's file is complete and audit-ready - for federal, state, TRS/PERS, payroll, and legal compliance.

Place completed checklist in front of each employee file.

EMPLOYEE INFO

[ ] Name: _____

[ ] Position: _____   SEID #_____

[ ] Employee Type: [ ] Certified [ ] Classified [ ] Administrator [ ] Student Worker

[ ] Start Date: _____

I. CORE HIRING DOCUMENTS

[ ] Board approval documentation (minutes, HR record)

[ ] Signed offer letter or contract

[ ] Background check results (Fingerprint/State)

[ ] I-9 (Section 1 & 2 complete, filed separately)

[ ] W-4 Federal

[ ] W-4 Montana

[ ] Direct Deposit form

[ ] Emergency Contact form

[ ] DOL New Hire Report submitted

II. RETIREMENT ENROLLMENT

Certified/Admin OR Classified Instructional Para/Aides:

[ ] TRS Form 100

[ ] TRS Beneficiary form

[ ] TRS online account created

[ ] Copy of valid Montana educator license

Classified: (maintenance, office staff, non-instructional)

[ ] PERS Form 101

[ ] PERS Beneficiary form

[ ] PERS online account created

Student Worker:

[ ] N/A (TRS/PERS not applicable)

III. PAYROLL

[ ] Payroll schedule provided to employee [ ] Payroll deductions set up in system:

  [ ] TRS/PERS

  [ ] Insurance premiums

  [ ] Voluntary deductions

[ ] Pay start confirmed

IV. BENEFITS

[ ] Insurance election/waiver on file

[ ] Optional benefits election (Dental, Vision, Life, FSA, HSA, 403(b), etc.)

[ ] Enrollment processed with carriers

[ ] Benefits start date confirmed

Student Worker:

[ ] N/A (not eligible)

V. REQUIRED ACKNOWLEDGMENTS (Signed & On File)

[ ] Employee handbook receipt

[ ] CBA receipt (if applicable)

[ ] Safety manual acknowledgment

[ ] Technology AUP

[ ] FERPA/Confidentiality acknowledgment

[ ] Title IX / Harassment

[ ] Drug-Free Workplace

[ ] Workers' Comp rights notice

[ ] Board policies acknowledgment

[ ] Mandated Reporter acknowledgment

VI. ACCESS / EQUIPMENT

[ ] Keys issued & key log signed

[ ] Badge/ID issued

[ ] Email/system logins issued

VII. TRAINING (Documented)

[ ] Bloodborne Pathogens

[ ] Sexual Harassment prevention

[ ] Child Abuse/Mandated Reporter

[ ] McKinney-Vento (Homeless Education)

[ ] School safety/emergency procedures

[ ] Cybersecurity (if applicable)

[ ] Title IX

FINAL SIGN-OFF

[ ] All required documents filed

[ ] File reviewed by: _____ Date: _____

[ ] HR Compliance Review (if applicable): _____ Date: _____

NOTES:

- Keep I-9 forms in separate file/folder for federal compliance.

- Keep background checks confidential.

- Review files annually for updates (licenses, training recert, CBA changes, etc.).

This checklist protects your district in case of:

 - TRS/PERS audits

 - DOL/IRS audits

 - OCR/Title IX reviews

 - Work Comp or Unemployment Audits

 - Internal/External legal revie