

## Employee File Audit Checklist

Internal audits of records, systems, policies, procedures and processes (systems and processes) help to identify issues or inconsistencies, address risks and highlight areas for improvement.

**The template below is part of a series of tools developed to provide an example of what an employee file audit could look like.** The structure of the tool provides a systematic approach to reviewing a file. It provides one possible structure to gather evidence and identify an action plan for improvement. The privacy of workers and their information is paramount and needs to be considered when selecting the most appropriate worker – such as a person in a HR role - to carry out this kind of file audit.

Other templates in this series include:

- Participant file audit checklist
- Internal audit organisational schedule
- Internal audit assessment record

**The tools in this series are a starting point, are general in nature and aimed to assist providers in developing their own systems for internal audits. They do not account for the individual nature and risks of all NDIS services.**

For more information on Internal Audits see [NDS Organisational Internal Audits Factsheet](#).

## Employee File Audit Checklist

<b>Auditor Name</b>			<b>Employee No.</b>	
<b>Role / Service</b>			<b>Date</b>	
<b>Line Manager</b>				

Description	Yes	No	Not applicable	Date/s	Recommended Actions
<b>Employee details</b>					
Name, address and contact details documented					
Emergency contact names and contact details documented					
Driver's licence, car registration, insurance					
Other employment documented					
<b>Recruitment and pre-employment</b>					
Recruitment checklist completed - Application, shortlisting, interview records, references, pre employment checks					
NDIS Workers Screening (WSC) copy					
Working with Children (WWC) copy					
Other (as per requirements e.g. vaccination records) copy					
Key personnel suitability checks (as required)					

Description	Yes	No	Not applicable	Date/s	Recommended Actions
<b>Employment details</b>					
Employment status documented e.g. FT, PT, casual, other					
Hours and primary workplace					
Name of award and classification					
Signed contract of employment					
Job description acknowledged					
<b>Orientation</b>					
Employee orientation checklist completed and signed					
Workplace Health and Safety orientation checklist completed and signed					
Employee handbook acknowledged					
NDIS Worker Orientation module certificate of completion					
<b>Policy acknowledgements – List policies below e.g. Bullying and Harassment, Code of Conduct, Child Safe, Duty of Care</b>					

Description	Yes	No	Not applicable	Date/s	Recommended Actions
<b>Training records</b>					
Copy of any current professional qualifications and registration					
<b>Required training</b>					
Mandatory training completed <ul style="list-style-type: none"> <li>- Emergency Plan and Disaster Plan</li> <li>- Infection Prevention and Control and PPE</li> <li>- Complaints</li> <li>- Incidents</li> </ul>					
Role/Job specific training completed – e.g. medication, participant need specific training, preventing and responding to abuse, waste management					
Training completed for other roles – e.g. WHS rep, Fire Warden, First Aid					
NDIS Commission online training modules completed					
Other (detail)					
<b>Supervision and professional development</b>					
Supervision documented and in line with procedure timelines					
Performance review documented and in line with procedure timelines					
Evidence of ongoing professional development specific to role					

Description	Yes	No	Not applicable	Date/s	Recommended Actions
Employee feedback recorded and links to Continuous Quality Improvement					
<b>Limited access documents</b>					
Diversity questionnaire / information					
Medical records / injury reports / workers comp records					
Reasonable adjustments requests and actions					
Pay, bank details and tax information					
Disciplinary or termination records					
Disciplinary, warnings, improvement plans or terminations					
<b>Separation records</b>					
Exit checklist completed - resignation or termination notices, exit interviews, internal department notification					

**Urgent actions for follow up**

**Actions to add to the CQI register**

**Please note:** This tool was last updated in January 2024. National Disability Services Limited (NDS) believes that the information contained in this publication is correct at the time of publishing. However, NDS reserves the right to vary any of this publication without further notice. This resource will need to be adapted to meet the specific needs of your organisation and the people who use your services. The information provided in this publication should not be relied upon instead of other legal, medical, financial, or professional advice. Please always refer to online documents for latest versions including the NDIS Practice Standards.

[Templates - Fair Work Ombudsman](#)

[HR-Audit-Checklists.pdf \(afda.org.au\)](#)

[health.gov.au/sites/default/files/documents/2021/06/administrative-record-keeping-guidelines-for-health-professionals.pdf](#)

[2nd Party Audit Check List \(act.gov.au\)](#)

[Employees | business.gov.au](#)

[Record-keeping - Fair Work Ombudsman](#)

[guide-to-self-auditing-your-business \(fairwork.gov.au\)](#)

