Employee File Audit Checklist

This resource was developed by the NDS Quality and Safeguards Sector Readiness Project and is funded by the Government of Western Australia Department of Communities.

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 webpage.](https://www.nds.org.au/images/resources/InternalAudits.pdf)

# Employee File Audit Checklist

Auditor Name:

Employee No:

Role / Service:

Date:

Line Manager:

## Description

### Employee details

Name, address and contact details documented

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

**Emergency contact names and contact details documented**

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

**Driver’s licence, car registration, insurance**

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

**Other employment documented**

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Recruitment and pre-employment

Recruitment checklist completed - Application, shortlisting, interview records, references, pre employment checks

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

NDIS Workers Screening (WSC) copy

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

NDIS Workers Screening (WSC) copy

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Working with Children (WWC) copy

* Other (as per requirements e.g. vaccination records) copy
* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Key personnel suitability checks (as required)

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Employment details

Employment status documented e.g. FT, PT, casual, other

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Hours and primary workplace

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Name of award and classification

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Signed contract of employment

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Job description acknowledged

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Orientation

Employee orientation checklist completed and signed

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Workplace Health and Safety orientation checklist completed and signed

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Employee handbook acknowledged

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

NDIS Worker Orientation module certificate of completion

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Policy acknowledgements

**List policies below e.g Bullying and Harassment, Code of Conduct, Child Safe, Duty of Care:**

### Training records

Copy of any current professional qualifications and registration

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

**Required training**

Mandatory training completed:

Emergency Plan and Disaster Plan

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Infection Prevention and Control and PPE

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Complaints

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Incidents

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Role/Job specific training completed – e.g. medication, participant need specific training, preventing and responding to abuse, waste management

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Training completed for other roles – e.g. WHS rep, Fire Warden, First Aid

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

NDIS Commission online training modules completed

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Other (detail)

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Supervision and professional development

Supervision documented and in line with procedure timelines

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Performance review documented and in line with procedure timelines

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Evidence of ongoing professional development specific to role

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Employee feedback recorded and links to Continuous Quality Improvement

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Limited access documents

Diversity questionnaire / information

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Medical records / injury reports / workers comp records

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Reasonable adjustments requests and actions

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Pay, bank details and tax information

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Disciplinary or termination records

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

Disciplinary, warnings, improvement plans or terminations

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

### Separation records

Exit checklist completed - resignation or termination notices, exit interviews, internal department notification

* Yes / No / Not Applicable?
* Dates:
* Recommended Actions:

## 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.

End of document.