

Pillar HR Consulting LLC

Annual HR File Audit Checklist for Care Agencies

Use this checklist to ensure all employee and contractor files meet compliance standards for Home Health, Hospice, and Care Agencies. Review files annually and before any state, payer, or accreditation audits.

Employee Information & Identification

Item	Status (✓/X)	Notes
Employment application/resume		
Signed offer letter		
Signed job description		
Photo ID and SSN verification		
W-4 and I-9 forms		
Emergency contact form		

Licensure & Certifications

Item	Status (✓/X)	Notes
Active professional license (RN, LPN, CNA, etc.)		
Verification of current status via state board		
CPR/BLS certification (if required)		

Background & Reference Checks

Item	Status (✓/X)	Notes
Criminal background check		
Reference verification (minimum 2)		
OIG/SAM exclusion list verification		

Orientation & Training Documentation

Item	Status (✓/X)	Notes
New hire orientation checklist		
Policy acknowledgment forms		
Job-specific competency verification		

Health & TB Records

Item	Status (✓/X)	Notes
Initial physical examination		
TB test or chest x-ray results		
Hepatitis B vaccination or declination form		
Immunization record (as applicable)		

Continuing Education (CEUs)

Item	Status (✓/X)	Notes
Proof of required annual CEUs		
Training certificates for in-service hours		
Continuing education tracking log		

Performance & Disciplinary Records

Item	Status (✓/X)	Notes
Performance evaluations		
Employee counseling or disciplinary actions		
Goal-setting or development plans		

Annual Reviews & Renewals

Item	Status (✓/X)	Notes
License renewal verification		
Policy review acknowledgments		
Updated background check (if required)		

Termination or Separation Documentation

Item	Status (✓/X)	Notes
Notice of resignation/termination form		
Exit interview or final evaluation		
Final paycheck documentation		

Need help bringing your HR files into full compliance?

Book a free strategy call at pillarhrconsultingllc.com