



I 9 Audit Checklist

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Form Completion

- ☐ Section 1 completed by employee
- ☐ Completed by first day of work
- ☐ All fields properly filled
- ☐ No alterations or corrections
- ☐ Signature and date present
- ☐ Preparer/translator section if used
- ☐ Email and phone number included
- ☐ Citizenship status checked
- ☐ Alien/USCIS number if applicable
- ☐ Foreign passport info if used
- ☐ No discriminatory practices
- ☐ Consistent process followed

Document Verification

- ☐ Documents presented timely
- ☐ List A OR List B and C documents
- ☐ Original documents examined
- ☐ Documents appear genuine
- ☐ Documents relate to employee
- ☐ Unexpired documents only
- ☐ Acceptable documents used
- ☐ No specific documents requested
- ☐ Copies made and retained
- ☐ Receipt for lost documents
- ☐ Document title recorded correctly
- ☐ Expiration dates noted

Employer Section

- ☐ Section 2 completed within 3 days
- ☐ Document information recorded
- ☐ Issuing authority noted
- ☐ Document numbers included
- ☐ Expiration dates recorded
- ☐ Employee start date correct
- ☐ Employer signature present
- ☐ Date of signature included

- ☐ Business name and address
- ☐ Employer title recorded
- ☐ Consistent completion method
- ☐ No blanks or N/A improperly used

Reverification Requirements

- ☐ Work authorization expiration tracked
- ☐ Reverification completed timely
- ☐ Section 3 used properly
- ☐ New documentation recorded
- ☐ Rehires properly documented
- ☐ Name changes recorded
- ☐ No reverification of US citizens
- ☐ No reverification of LPRs
- ☐ List A or C documents accepted
- ☐ Updated information dated
- ☐ Employer signature included
- ☐ Previous versions attached

Remote Verification (if applicable)

- ☐ Authorized representative designated
- ☐ Section 2 completed properly
- ☐ Documents examined virtually
- ☐ Clear copies obtained
- ☐ Video verification conducted
- ☐ Documentation retained
- ☐ E-Verify case created
- ☐ Physical inspection planned
- ☐ COVID flexibility documented
- ☐ Compliance with updates
- ☐ Consistent procedures
- ☐ Audit trail maintained

Storage & Retention

- ☐ Forms stored securely
- ☐ Separate from personnel files
- ☐ Confidentiality maintained
- ☐ Three-year retention rule
- ☐ One-year post-termination rule
- ☐ Electronic storage compliant
- ☐ Access restricted appropriately
- ☐ Backup systems in place
- ☐ Retrieval system effective
- ☐ Purging schedule followed
- ☐ Privacy protected

- ☐ Audit trail preserved

E-Verify Compliance (if applicable)

- ☐ MOU current and signed
- ☐ Posting requirements met
- ☐ Cases created timely
- ☐ Photo matching completed
- ☐ TNCs handled properly
- ☐ Referral dates tracked
- ☐ Case resolution documented
- ☐ Reports run regularly
- ☐ Training completed
- ☐ User access managed
- ☐ Federal contractor rules followed
- ☐ State requirements met

Common Errors Check

- ☐ Missing signatures
- ☐ Missing dates
- ☐ Incorrect dates
- ☐ Missing document information
- ☐ Wrong form version used
- ☐ Section 1 incomplete
- ☐ Section 2 late completion
- ☐ Improper reverification
- ☐ Missing translations
- ☐ Discriminatory practices
- ☐ Over-documentation
- ☐ Under-documentation

Audit Procedures

- ☐ Complete I-9 inventory
- ☐ Statistical sample selected
- ☐ Error rate calculated
- ☐ Systemic issues identified
- ☐ Individual errors noted
- ☐ Correction procedures followed
- ☐ Self-audit documented
- ☐ Management review conducted
- ☐ Action plan developed
- ☐ Training needs identified
- ☐ Process improvements made
- ☐ Follow-up scheduled

Corrective Actions

- ☐ Missing forms completed
- ☐ Incomplete sections finished
- ☐ Technical errors corrected
- ☐ Substantive errors addressed
- ☐ Documentation obtained
- ☐ Memos to file created
- ☐ Legal counsel consulted
- ☐ Voluntary disclosure considered
- ☐ Training conducted
- ☐ Procedures updated
- ☐ Monitoring increased
- ☐ Compliance verified

Training & Procedures

- ☐ HR staff trained
- ☐ Hiring managers trained
- ☐ Designated agents trained
- ☐ Procedures documented
- ☐ Updates communicated
- ☐ Resources available
- ☐ Consistency ensured
- ☐ Best practices followed
- ☐ Legal updates tracked
- ☐ Refresher training scheduled
- ☐ Competency verified
- ☐ Documentation maintained

Risk Management

- ☐ Compliance risks assessed
- ☐ Penalty exposure evaluated
- ☐ Insurance coverage reviewed
- ☐ Legal counsel available
- ☐ Government audits prepared for
- ☐ Documentation organized
- ☐ Response procedures ready
- ☐ Violation history reviewed
- ☐ Corrective measures taken
- ☐ Preventive actions implemented
- ☐ Monitoring systems active
- ☐ Continuous improvement pursued

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