

CTPAT Job Aid Personnel Hiring Checklist Sample

Last Updated: October 19, 2021



Personnel Hiring Checklist

ABC Company

Written processes must be in place to screen prospective employees and to periodically check current employees. Application information, such as employment history and references, must be verified prior to employment, to the extent possible and allowed under the law.

CTPAT Members should use a personnel hiring checklist to ensure prospective employees are properly screened prior to appointment and during the course of employment.

Applicant/Employee: _____ Position: _____

Type: Full-Time Part-Time: Temporary: Seasonal:

Application:

Did the applicant submit an application for the position? Yes: No:

Date of application: _____

How was the applicant notified about the position (Check all that apply)?

Job Announcement	Social Media	Family/Friend	Co-Worker	Hiring Agency	Headhunter	Other
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Is the applicant still being considered for the position after the review of the application, if applicable?
Yes: No:

Interview:

Was the applicant interviewed? Yes: No:

Date of interview: _____

Name of person(s) conducting the interview: _____



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Were there any additional interviews: Yes: No:

Date of Second Interview	Interviewer	Date of Third Interview	Interviewer	Date of Fourth Interview	Interviewer

Did the applicant pass the interview process? Yes: No:

Is the applicant still being considered for the position after the interview(s)? Yes: No:

Background Check:

Was a background check performed on the applicant? Yes: No:

If so, please indicate the type of background check(s):

Reference Check:

Was a reference check conducted on the applicant? Yes: No:

Date of Check	Completed by	Reference	Relationship	Negative Results (Y/N)

Prior Employment:

Were prior employers contacted? Yes: No:

Date of Check	Completed by	Employer	Information Received by	Negative Results (Y/N)



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Criminal History Check:

Are criminal history checks permitted as per local statutes? Yes: No:

Was a criminal history check performed? Yes: No:

Date of Check	Completed by	Agency Contacted	Information Received by	Negative Results (Y/N)

Drug Test/Alcohol Check:

Was a drug/alcohol test performed? Yes: No:

If so, did they pass the test? Yes: No:

Financial Check:

Was a financial check conducted? Yes: No:

If so, did they pass the check? Yes: No:

Driver Abstract:

Was a driver abstract conducted? Yes: No:

If so, did they pass the check? Yes: No:

Other:

Were any other background checks performed on the applicant? Yes: No:

If so, please describe: _____



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Documentation:

Was documentation verified during the hiring process? Yes: No:

If so, please indicate the documentation verified:

Government Issued Photo ID: _____

Passport: _____

Social Security Card: _____

Driver's License: _____

I-9 Form: _____

School Transcripts: _____

Training Certificates: _____

Other (Please Describe): _____

Did the applicant pass the background check? Yes: No:

Decision of Employment:

Was the applicant offered a position? Yes: No:

Did the applicant accept the position? Yes: No:

If hired, please continue below.

Employment Screening:

Is an employee folder kept with copies of pertinent documentation? Yes: No:

If so, please indicate the documentation kept:

Government Issued Photo ID: _____

Passport: _____

Social Security Card: _____

Driver's License: _____

I-9 Form: _____

School Transcripts: _____

Training Certificates: _____

Training Records: _____

Other (Please Describe): _____



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Periodic Background Checks:

Are periodic background checks performed? Yes: No:

If so, please indicate how often:

Semi-Annually: _____

Annually: _____

Sensitive Position: _____

Only on Cause: _____

Other (Please Indicate): _____

Code of Conduct:

Has the employee received a company Code of Conduct? Yes: No:

Reminders:

CTPAT Members must have an Employee Code of Conduct that includes expectations and defines acceptable behaviors. Penalties and disciplinary procedures must be included in the Code of Conduct. Employees/contractors must acknowledge that they have read and understood the Code of Conduct by signing it, and this acknowledgement must be kept in the employee's file for documentation.

In accordance with applicable legal limitations, and the availability of criminal record databases, employee background screenings should be conducted. Based on the sensitivity of the position, employee vetting requirements should extend to temporary workforce and contractors. Once employed, periodic reinvestigations should be performed based on cause, and/or the sensitivity of the employee's position.

Employee background screening should include verification of the employee's identity and criminal history, encompassing city, state, provincial, and country databases. CTPAT Members and their business partners should factor in the results of background checks, as permitted by local statutes, in making hiring decisions. Background checks are not limited to verification of identity and criminal records. In areas of greater risk, it may warrant more in-depth investigations.

CTPAT Program

CBP.GOV/CTPAT

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