

Verifying employee identity and credentials

From report 24: 2018/9 – Verifying Employee Identity and Credentials

The following table shows control principles on which our audit focused. They cover a number of practices and controls related to verifying employee identity and credentials which are also recommended in Australian Standard 4811-2006 'Employment Screening'. They are not intended to be an exhaustive list.

Verifying employee identity and credentials	Focus Area	What we expected to see
Policy	Policies and procedures	<ul style="list-style-type: none"> Policy is in place which covers the verification process for all potential employees and the monitoring process for existing employees.
	Risk Assessment	<ul style="list-style-type: none"> Entities have assessed the risk associated with each position and determined whether a criminal background or working with children check is required. Position description forms clearly document the requirements of each position including any essential qualifications, licences and memberships and whether any criminal background or working with children checks are required.
Recruitment and Appointment	Qualifications	<ul style="list-style-type: none"> Entities verify essential qualifications, licences and memberships during the recruitment process.
	Past Work History	<ul style="list-style-type: none"> Referee/reference reports are obtained and reviewed as part of the selection process.
	Identity and Right to Work	<ul style="list-style-type: none"> Entities check the identity of successful applicants using a 100-point identification check. Entities confirm successful applicants' right to work in Australia by reviewing passports, visas and/or birth certificates.
	Criminal Background checking	<ul style="list-style-type: none"> Criminal background or working with children checks are obtained (where required) and reviewed by the entity.
	Recordkeeping	<ul style="list-style-type: none"> Entities retain documentation to demonstrate that they verified the potential employee's qualifications, past work history, identity, right to work in Australia and criminal background prior to the start date.

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Monitoring of Existing Employees	Declarations	<ul style="list-style-type: none"> Employees provide an annual declaration to advise whether there has been a significant change in their circumstance which could impact their employment.
	Review	<ul style="list-style-type: none"> Entities monitor the expiry date of essential qualifications/licences and follow up with employees close to the expiry date. Where criminal background checks are required for the position, they are re-performed on a periodic basis.

Source: OAG based on Australian Standard AS 4811-2016 'Employment Screening'

