

Standard Operating Procedure (SOP): Pre-employment Document Collection and Verification

This SOP details the process for **pre-employment document collection and verification**, including the identification of required documents, guidelines for collecting and securely storing employee records, verification of authenticity and compliance with legal standards, and procedures for handling incomplete or fraudulent documentation. The objective is to ensure accurate, consistent, and lawful employee record management prior to hiring.

1. Purpose

To ensure all required pre-employment documents are collected, verified for authenticity, and securely stored in compliance with legal and organizational standards prior to employee onboarding.

2. Scope

This SOP applies to all departments involved in hiring and onboarding new employees.

3. Responsibilities

- **HR Department:** Responsible for communicating requirements, collecting, verifying, and storing documents.
- **Hiring Manager:** To ensure timely submission of candidate information and support HR as needed.
- **Candidate:** To provide all requested documentation in a timely and accurate manner.

4. Required Documents

Document Type	Examples	Notes
Identification Proof	Government-issued ID (Passport, Driver's License, National ID Card)	Original and copy required
Address Proof	Utility Bill, Rental Agreement, Bank Statement	Not older than 3 months
Educational Certificates	Degrees, Diplomas, Transcripts	Highest qualification at minimum
Work Experience Letters	Relieving Letter, Service Certificate	Last 2 employers or past 5 years
Background Check Authorization	Signed Consent Form	Mandatory for verification
Others (as applicable)	Visa, Work Permit, Professional License	For specific job or region requirements

5. Procedure

1. **Inform Candidate:** Provide a checklist of required documents and deadline for submission.
2. **Document Collection:** Accept documents via secure portal, in-person, or encrypted email.
3. **Initial Review:** Check for completeness and validity (e.g., not expired, signed where required).
4. **Verification:**
 - Authenticate ID and credentials with issuing authorities if necessary.
 - Compare copies with originals in person or via a trusted notary.
 - Perform background and reference checks as applicable.
5. **Secure Storage:** Store verified documents in a secure HRMS or locked physical file per company policy and compliance standards (e.g., GDPR).
6. **Documentation of Verification:** Record details of verification steps, date, and HR verifier's name.
7. **Follow-up:** Contact candidate for missing, expired, or unclear documents, setting a correction deadline.
8. **Escalation:** Report suspected fraudulent or incomplete documentation to HR lead and, if needed, to legal/compliance for further investigation.
9. **Retention & Disposal:** Retain documents per legal mandate. Dispose securely at end of retention period.

6. Handling Incomplete or Fraudulent Documentation

- If documentation is incomplete, notify candidate immediately with a request for required items and a specified deadline.
- If fraudulent documents are suspected:
 - Escalate immediately to HR manager and compliance/legal department.
 - Pause onboarding process until resolved.
 - Document all findings and actions taken.
- Failure to provide satisfactory documents or attempt to submit fraudulent documents may result in withdrawal of employment offer.

7. Compliance & Confidentiality

- Handle all personal data in accordance with applicable privacy and data protection laws.
- Restrict access to collected documents to authorized personnel only.
- Ensure all staff are trained in confidentiality and compliance requirements.

8. References

- Company Data Privacy Policy
- ISO 27001: Information Security Management
- GDPR/Local Data Protection Laws
- Employment Regulations (as applicable)

9. Revision History

Date	Version	Description	Prepared/Reviewed By
2024-06-01	1.0	Initial SOP Release	HR Manager