EXECUTIVE EMPLOYEE ONBOARDING CHECKLIST

Employer: Illustrative Company
Individual: Jordan Example
Position: Chief Financial Officer — Executive
Manager: Morgan Example
Start Date: July 13, 2026
Work State: DE
Work Location: Hybrid
Classification: Full Time (Exempt)
Onboarding Type: Executive
Employee ID: EXEC-07
HR Contact: Example Coordinator — hr@example.com

> *Use the boxes to track work that still needs to be done. The underlying engagement terms and separate forms govern.*

Phase 1 — Pre-Onboarding (Before Day 1)

Complete before the employee's first day of work.

1.1 Offer and Contract

- [ ] Final job description reviewed and on file
- [ ] Offer letter signed and countersigned copy delivered to employee
- [ ] Start date confirmed in writing: **July 13, 2026**
- [ ] FLSA exemption status determined: **Exempt**
- [ ] Offer letter reviewed for implied-contract language (no unqualified promises of duration, "permanent" employment, or termination-for-cause)
- [ ] Executive employment agreement executed (supersedes standard offer letter)

1.2 Federal Forms

- [ ] **Form I-9.** After offer acceptance, the employee completes Section 1 no later than the first day of work for pay. For a job lasting at least three business days, complete Section 2 within three business days after the first day of employment. Let the employee choose acceptable documents. Use physical examination or an authorized alternative procedure when eligible.
- [ ] **Form W-4** — Employee's Withholding Certificate collected before first payroll (26 U.S.C. §3402)

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- [ ] State withholding certificate collected where applicable (e.g., CA DE 4, NY IT-2104, IL W-4)
- [ ] Confirm the wage-payment methods allowed where the employee works. If direct deposit is used, document the applicable authorization and the employee's account selection. Do not require an account at a particular institution.
- [ ] Determine the destination and deadline for state new-hire reporting. The federal ordinary filing period is 20 days after hire. For qualifying electronic or magnetic batches, transmit twice monthly, 12 to 16 days apart. Check the state deadline and the requirements for designating a single reporting state for multistate employment.
- [ ] **USERRA rights notice** delivered (38 U.S.C. §4334) — required for all employers regardless of size
- [ ] Keep personnel and any lawfully collected confidential information in the appropriate files. DOL discontinued its Section 503 disability self-identification form effective September 21, 2026.

1.4 Background Check (FCRA)

- [ ] **FCRA-compliant standalone written disclosure** delivered (15 U.S.C. §1681b(b)(2)(A)(i)) — must be a single, clear document with no liability waivers or extraneous content
- [ ] **Written authorization** signed by candidate
- [ ] Consumer reporting agency engaged; report received and reviewed
- [ ] If adverse information: **pre-adverse action notice** delivered (copy of report + Summary of Rights) with reasonable waiting period (typically 5 business days) before final decision
- [ ] If hiring decision adverse: **adverse action notice** delivered (15 U.S.C. §1681m)

Federal contract checks

- [ ] Under VEVRAA, check that a separate voluntary protected-veteran invitation was provided at the pre-offer and post-offer stages. Keep responses confidential.

1.6 Company Documents

- [ ] **Confidentiality / NDA** executed
- [ ] **IP assignment agreement** executed (with applicable state-law carve-outs for CA §2870, IL 765 ILCS 1060, WA RCW §49.44.140, DE 19 Del. C. §805, MN §181.78, NC §66-57.1, UT §34-39-3, KS §44-130)
- [ ] **Non-compete agreement** executed (subject to state enforceability — see state overlay below)
- [ ] **Arbitration agreement** executed (subject to Federal Arbitration Act and applicable state carve-outs for sexual harassment / sexual assault claims under Ending Forced Arbitration Act, Pub. L. 117-90)
- [ ] **Employee handbook** delivered; signed acknowledgment of receipt on file
- [ ] **Code of conduct / ethics** acknowledgment signed

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- [ ] **Emergency contact form** collected
- [ ] **Electronic-monitoring / acceptable-use notice** acknowledged (19 Del. C. §705)

1.7 Workspace and Systems Provisioning

- [ ] Email account provisioned; credentials delivered via secure channel
- [ ] Laptop / workstation configured and ready
- [ ] Phone / mobile device provisioned (if applicable)
- [ ] Multi-factor authentication (MFA) enrollment prepared
- [ ] VPN access configured
- [ ] Role-specific software licenses assigned (HRIS, Slack/Teams, CRM, etc.)
- [ ] Badge / keycard / building access requested
- [ ] Workspace (desk, chair, monitors) prepared
- [ ] Onboarding buddy / mentor assigned: _____
- [ ] Welcome email sent; team notified of new hire arrival

Phase 2 — First Day

2.1 Welcome and Orientation

- [ ] Welcome meeting with manager **Morgan Example**
- [ ] Facility tour (or virtual equivalent)
- [ ] Introductions to team and key stakeholders
- [ ] Review of first-week schedule

2.2 Paperwork Completion

- [ ] Check the Form I-9 deadline recorded in Phase 1 for this engagement.
- [ ] All outstanding new-hire paperwork collected and filed
- [ ] Signed acknowledgments scanned to personnel file

2.3 IT and Access Activation

- [ ] Email login confirmed and working
- [ ] Laptop / workstation login confirmed
- [ ] MFA enrolled
- [ ] VPN tested
- [ ] Intranet / SharePoint access verified

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- [ ] HRIS self-service access activated
- [ ] Communication platforms (Slack / Teams) joined
- [ ] IT acceptable-use policy signed

2.4 Health and Safety

- [ ] OSHA rights information delivered (29 U.S.C. §651 et seq.); OSHA "Job Safety and Health: It's the Law" poster location shown
- [ ] Emergency procedures and evacuation plan reviewed
- [ ] First aid and reporting procedures explained
- [ ] Workplace violence prevention policy reviewed

Phase 3 — First Week

- [ ] Manager 1:1 scheduled recurring cadence (weekly minimum)
- [ ] Company culture, mission, and values presentation
- [ ] Role responsibilities and performance expectations reviewed
- [ ] KPIs / success metrics communicated in writing
- [ ] Introduction to internal tools (HRIS, project management, CRM)
- [ ] Cross-functional meet-and-greets scheduled
- [ ] First assigned tasks / projects delivered
- [ ] Data-privacy and information-security training enrolled
- [ ] Anti-discrimination / EEO training enrolled (Title VII, 42 U.S.C. §2000e)
- [ ] If the employer is covered by the FMLA, display the general notice where employees and applicants can see it, including workplaces with no eligible employees. Determine individual leave eligibility separately.
- [ ] **ACA §18B Exchange Notice (Marketplace Notice)** delivered within 14 days of hire (FLSA §18B; DOL Technical Release 2013-02) — required of all FLSA-covered employers regardless of whether coverage offered

3.3 Executive-Specific Items

- [ ] D&O insurance enrollment confirmed
- [ ] Board / officer resolution recorded (where appointment to officer role)
- [ ] Indemnification agreement executed

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- [ ] Section 16 reporting obligations briefing (if public-company officer)
- [ ] Rule 10b5-1 trading plan framework explained (if equity + MNPI access)
- [ ] Stock option / RSU grant agreement executed
- [ ] 83(b) election window explained (30 days from grant for restricted stock)
- [ ] Cap table updated
- [ ] ISO vs. NSO tax treatment briefing delivered (IRC §§421, 422)
- [ ] **IRC §409A compliance review** — deferred compensation arrangements reviewed by tax counsel. Violations trigger immediate income inclusion plus additional 20% excise tax under §409A(a)(1)(B).
- [ ] 409A-compliant deferral elections executed before applicable deadlines
- [ ] §280G "golden parachute" exposure analyzed if change-in-control provisions present

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Phase 4 — First Month (Day 30)

- [ ] Role-specific training modules completed
- [ ] Department and cross-functional meetings attended
- [ ] Informal performance feedback session with manager
- [ ] Weekly / bi-weekly check-in cadence confirmed
- [ ] All mandatory compliance training modules completed
- [ ] Any remaining policy acknowledgments signed

4.1 Benefits Enrollment Confirmation

- [ ] Health insurance election submitted (most plans require election within 30 days of hire)
- [ ] Dental and vision elections submitted
- [ ] Life and AD&D elections submitted
- [ ] 401k enrollment and deferral election submitted
- [ ] FSA / HSA elections submitted (if applicable)
- [ ] **Section 125 cafeteria plan election form** executed (26 U.S.C. §125; pre-tax elections irrevocable absent qualifying life event)
- [ ] STD / LTD enrollment submitted
- [ ] EAP information delivered
- [ ] PTO / vacation accrual policy explained

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- [ ] **ERISA Summary Plan Description (SPD)** delivered or scheduled for delivery within 90 days of plan coverage commencement (29 U.S.C. §1022)
- [ ] **COBRA initial notice** delivered within 90 days of plan commencement (29 U.S.C. §1166; 29 C.F.R. §2590.606-1)
- [ ] **CHIP notice** delivered (29 U.S.C. §1181 note)
- [ ] **WHCRA notice** delivered (29 U.S.C. §1185b)
- [ ] **Newborns' and Mothers' Health Protection Act notice** delivered (29 U.S.C. §1185)
- [ ] **HIPAA Special Enrollment Rights notice** delivered (29 C.F.R. §2590.701-6)
- [ ] **Medicare Part D creditable coverage notice** delivered if prescription-drug coverage offered (42 C.F.R. §423.56)

4.2 30-Day Feedback

- [ ] 30-day new-hire feedback survey sent
- [ ] Survey responses reviewed with HR

Phase 5 — 60 Days

- [ ] Mid-point performance feedback session
- [ ] Development needs identified and training plan adjusted
- [ ] Benefits enrollment confirmed active; deductions on pay stub verified
- [ ] Continuing compliance training on track
- [ ] 60-day feedback survey sent

Phase 6 — 90 Days (Target Completion: October 11, 2026)

- [ ] **Formal performance review** conducted
- [ ] Career goals and individual development plan (IDP) documented
- [ ] Milestones and accomplishments celebrated
- [ ] Onboarding experience feedback collected (structured survey or interview)
- [ ] Introductory-period outcome confirmed (continue / extend / separate)
- [ ] Benefits active and properly enrolled — final confirmation
- [ ] HRIS employee record updated to reflect completion of onboarding
- [ ] Transition from onboarding mentor to standard management cadence

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> ***At-will reminder.*** *Use of the terms "introductory period" or "probationary period" in this checklist is descriptive of the onboarding timeline only and does not create an implied contract of continued employment, modify at-will status, or guarantee employment for a specified term.*

State-Specific Compliance Overlay — DE

Delaware

- [ ] **Sexual harassment prevention training** within 1 year of hire (50+ employers) (19 Del. Code §711A)
- [ ] DE new-hire reporting within 20 days
- [ ] **Electronic monitoring notice** (19 Del. C. §705)

Top Compliance Musts — Non-Negotiable

1. **Form I-9.** Check the first-day and document-examination deadlines for this employee in Phase 1.
2. **Form W-4 (employees) or W-9 (contractors)** before first payroll / payment.
3. **FCRA process** — standalone disclosure, authorization, pre-adverse and adverse notices if applicable.
4. **New-hire reporting.** Use the deadline and reporting state identified for this hire.
5. **ACA §18B Exchange Notice** within 14 days of hire.
6. **ERISA notices** — SPD, COBRA, CHIP, WHCRA within statutory windows.
7. **State-mandated harassment training enrollment** with deadline tracking.
8. **At-will language discipline** — avoid unqualified "probationary period" promises.
9. **Non-compete suppression** for CA and sub-threshold IL employees (auto-applied above).
10. **OSHA safety orientation** for all; enhanced for hazardous work.
11. **State paid-leave program notices** where applicable.
12. **Electronic-monitoring notice** where state-required (NY, CT, DE).
13. **Record retention** — EEOC 1 year post-termination; ADEA 3 years; FLSA 3 years payroll; I-9 later of 3 years after hire or 1 year after termination (8 C.F.R. §274a.2(b)(2)(i)); state-specific longer periods where applicable.

Onboarding record

Planning checklist. Track tasks here and record actual delivery, decisions and dates as they happen.

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