



The Essential Onboarding Checklist for Finance



Sample onboarding checklist

Unlike traditional orientations and inductions (which are often hasty overviews and paper signing exercises before employees start their “real work”), onboarding unfolds over the first 6-12 months of service. During this period, a new employee is supported with a series of interactive formal and informal training, coaching, information sharing, goal setting, feedback, networking and social interventions, all focused on building a solid foundation for the future.

A concise checklist like the sample below, will make sure that important items that drive ethical behaviour and protect culture never get overlooked.



Employee Welcome Pack

Preboarding welcome

- Welcome message
- Confirm start date and time, parking and dress code
- Staffing announcement

Employment Documentation

- Employment contract
- Bank account details
- Fair Work Information Statement
- Job description
- Tax File Number Declaration
- Choosing a Super Fund Form

History Checks (role specific)

- Reference checks
- Educational qualifications (RG105, RG146, RG206)
- Criminal history check
- AFSA Bankruptcy search
- APRA banned and disqualified persons check
- Directorship check
- Visa/passport work rights validation
- ASIC Authorised Representative Check
- ASIC Enforceable Undertaking Register Check



History Checks (role specific) continued

- Medical check
- Drug & Alcohol Testing
- Licences

Provisioning

- System access
- Keys/security passes
- ID photo
- Staff handbook

Socialisation and Culture

Introductions

- Meeting with Supervisor
- Meet the leaders
- Introductions to team
- Introduction to buddy
- Introduction to clients
- Tour of the facilities
- Intranet profile

Support Mechanisms

- Buddy system
- Professional mentoring program
- Peer support networks
- Online resources

Working Arrangements

- Rosters
- Breaks
- Absences
- Timesheets/Sign-in and Sign-out procedures
- Resources and general supplies

Social

- Social club activities
- Birthdays and anniversaries
- Special events
- Industry events/groups
- Staff morning teas and dinners



Strategic Framework

- Vision and mission
- Values
- Core philosophies
- Code of conduct

Communication

- Weekly notices
- Emails
- Intranet
- Online collaboration
- Peer networks and collaboration
- Meetings
- Staff directory and phone numbers
- Client newsletter
- Surveys



Performance

Onboarding plan

- Review and refine onboarding plan with supervisor
- Set check-in dates
- Leadership contact

Performance Management

- Clarification of expectations and responsibilities
- Goal setting
- Probation review
- Ongoing performance management
- Career discussion
- Disciplinary procedures

Training

- Computer based modules
- Professional development opportunities
- External training/seminars
- Study support

Compliance

Industry Legislative Framework

- Federal laws (Corporations Act, Privacy Act, Anti-Money Laundering/ Counter-Terrorism Financing (AML/CTF) Legislation, National Consumer Credit Act, Corporations Amendment (Professional Standards of Financial Advisers) Act 2017.)
- State based laws
- Regulators (ASIC, APRA)

Minimum Compliance Training (role specific)

- RG105 Responsible Manager
- RG146 Financial Products Advice (Tier 1, Tier 2)
- RG206 - Certificate IV in Finance and Mortgage Broking

Health & Safety Framework

- Work health and safety policy
- Work health and safety system
- Health and safety committee
- Health and safety representative
- First aid officers
- Fire/emergency wardens

Health and Safety Reporting Requirements

- Risk assessments
- Accident and incident reports
- Non-conformance reports
- Notification of communicable diseases
- Hazard reporting
- Workers compensation claims

Location of Emergency Facilities and Equipment

- Fire extinguishers, hoses and blankets
- First aid facilities - first aid kit and room

Hazard Specific Safety Training

- Manual handling techniques
- Use of fire equipment

Policies and Procedures

- Fit and proper requirements for responsible persons



Policies and Procedures continued

- Ongoing professional development requirements
- Smoke-free workplace
- Alcohol and other drugs
- Prevention of workplace bullying and harassment
- Use of information and communication technology (including mobile phones)
- Social media
- Discrimination and sexual harassment
- Diversity and inclusion
- Workplace rehabilitation
- Leave applications
- Employee separation
- Emergency plan including assembly points, exits and procedures
- Provision of first aid
- Staff grievance procedures
- Disputes resolution - customer complaints and concerns
- Responding to media enquiries
- Employee Assistance Program (EAP)





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