



The C.A.T.S. Compliance & Finance Toolkit

Essential Tools to Keep Your
Business Organized, Compliant,
and Confident



COMPLEX ACCOUNTING &
TAX SOLUTIONS



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PREFACE

The C.A.T.S. Compliance & Finance Toolkit

Essential Tools to Keep Your Business Organized, Compliant, and Confident.

Running a business requires more than passion it requires structure, clarity, and compliance. As entrepreneurs grow, they often find themselves juggling payroll, HR, bookkeeping, tax deadlines, and nonprofit requirements without a clear roadmap. That is where this toolkit comes in.

The C.A.T.S. Compliance & Finance Toolkit was created to give small business owners practical, easy-to-use resources that support the core areas of business operations. Inside, you will find checklists, guides, and decision tools designed to help you stay organized, reduce risk, and build a strong financial foundation.

Each resource reflects the same standards we use at Complex Accounting & Tax Solutions LLC: accuracy, clarity, and a commitment to empowering business owners with knowledge. Whether you are hiring your first employee, setting up payroll, organizing your books, or navigating nonprofit requirements, this toolkit is your starting point for confident, compliant operations.

Use these tools as often as you need. Share them with your team. Build systems around them.

Most importantly, let them support you as you grow.

NEW HIRE PACKET CHECKLIST

Payroll & HR Resource Series

Use this checklist to ensure every new employee is properly onboard.

SECTION 1: EMPLOYEE INFORMATION

- Completed job application
- Signed offer letter
- Copy of driver's license or state ID
- Emergency contact form

SECTION 2: TAX & PAYROLL FORMS

- W-4 (Employee's Withholding Certificate)
- State withholding form (if applicable)
- Direct deposit authorization form
- I-9 Employment Eligibility Verification + supporting documents

SECTION 3: COMPANY POLICIES

- Employee handbook acknowledgment
- Code of conduct
- Attendance & timekeeping policy
- Confidentiality agreement

SECTION 4: ROLE-SPECIFIC ITEMS

- Job description acknowledgment
- Training schedule
- Equipment issued (laptop, keys, badges, etc.)

SECTION 5: HR & COMPLIANCE

- Anti-harassment policy acknowledgment
- Workplace safety guidelines
- Benefits enrollment forms (if applicable)

PAYROLL SETUP GUIDE FOR SMALL BUSINESSES

Payroll & HR Resource Series

A straightforward guide to help you set up payroll correctly from day one.

STEP 1: REGISTER YOUR BUSINESS

- Obtain EIN from the IRS
- Register for state withholding and unemployment accounts

STEP 2: CHOOSE YOUR PAYROLL SYSTEM

- Payroll software (QBO, Gusto, ADP, etc.)
- Manual payroll (not recommended)
- Outsourced payroll provider

STEP 3: COLLECT REQUIRED EMPLOYEE DOCUMENTS

- W-4
- I-9
- Direct deposit form
- State tax forms

STEP 4: SET UP PAY SCHEDULES

- Weekly
- Biweekly

Semimonthly

- Monthly

STEP 5: ENTER COMPENSATION DETAILS

- Hourly rate or salary
- Overtime rules
- Bonuses/commissions
- Deductions (benefits, garnishments, etc.)

STEP 6: CONFIGURE TAX SETTINGS

- Federal withholding
- State withholding
- FICA (Social Security & Medicare)
- FUTA & SUTA

STEP 7: RUN YOUR FIRST PAYROLL

- Verify hours or salary
- Approve timesheets
- Process payroll
- Review pays stubs

STEP 8: MAINTAIN COMPLIANCE

- File quarterly payroll taxes
- Submit annual W-2s & W-3
- Keep payroll records for at least 4 years

EMPLOYEE VS. CONTRACTOR QUICK DECISION CHART

Payroll & HR Resource Series

Use this chart to avoid costly worker misclassification.

CONTROL

- Employee: Employer controls how, when, and where work is done
- Contractor: Worker controls how work is performed

TOOLS & EQUIPMENT

- Employee: Provided by employer
- Contractor: Provided by worker

TRAINING

- Employee: Employer provides training
- Contractor: Uses their own methods

WORK RELATIONSHIP

- Employee: Ongoing, long-term
- Contractor: Project-based or short-term

PAYMENT

- Employee: Hourly or salary

- Contractor: Per project or invoice

TAXES

- Employee: Employer withholds taxes
- Contractor: Worker pays their own taxes

BENEFITS

- Employee: Eligible for benefits
- Contractor: Not eligible for benefits

RISK

- Employee: Low misclassification risk
- Contractor: Substantial risk if treated like an employee

RULE OF THUMB:

If you control the HOW, WHEN, and WHERE, they are EMPLOYEE.

HR COMPLIANCE STARTER KIT

Payroll & HR Resource Series

A simple starter kit to help small businesses stay compliant.

REQUIRED POSTERS & NOTICES

- Federal labor law posters
- State labor law posters
- OSHA safety posters

RECORDKEEPING REQUIREMENTS

- I-9 forms (retain 3 years after hire or 1 year after termination)
- Payroll records (retain 4 years)
- Personnel files (retain duration of employment + 3 years recommended)

ESSENTIAL COMPANY POLICIES

- Anti-harassment & discrimination policy
- Attendance & timekeeping policy
- Workplace safety policy
- Confidentiality policy
- Social media & technology use policy

ANNUAL HR TASKS

- Update employee handbook
- Review job descriptions
- Conduct performance evaluations
- Verify labor law poster updates
- Audit payroll & tax filings

RECOMMENDED EXTRAS

- Employee onboarding checklist
- Exit interview form
- Training logs

CLOSING NOTES

The C.A.T.S. Compliance & Finance Toolkit

Complex Accounting & Tax Solutions LLC

Thank you for using the C.A.T.S. Compliance & Finance Toolkit. These resources were created to help. You simplify your operations, strengthen your compliance practices, and gain confidence in the financial side of your business.

As your business grows, your needs will grow with it. When you are ready for deeper support — whether. It is payroll management, HR compliance, bookkeeping, tax preparation, or nonprofit guidance — us.

Team is here to help you move forward with clarity and peace of mind.

If you find these tools helpful, consider exploring our workshops, consulting services, and ongoing support options. We are committed to helping you build a business that is not only successful, but sustainable.

Thank you for choosing Complex Accounting & Tax Solutions LLC.

Your success is our mission.