HR OPERATIONS

CLIENT · ENTERPRISE HR FUNCTION

# Employee File Compliance

Defining, tracking and closing the mandatory-document gap across complete employee lifecycles so that every file stays HR audit-ready.

**Objective:** Replace manual file sorting and reactive audit preparation with a rule-driven compliance model, where every mandatory document is defined once and then mapped, measured and chased automatically using Kleeto's Intelligent DMS.

## The Challenge

- **No single view.** File completion status sat across scattered physical folders, with nothing to show what was missing.
- **Manual follow-ups.** HR chased employees one by one for pending documents, repeatedly.
- **Audit pressure.** Every HR audit meant opening physical files individually to verify if the mandatory documents were present.
- **No codified standard.** Mandatory document sets differed by role and stage but were never written into a system.

## The Kleeto Approach

Kleeto DMS lets an organization **define which documents are mandatory**, then measures every employee file against those rules.

Each employee profile carries a **live compliance status**, while an organization-wide compliance report shows where every onboarded employee stands against each rule set.

Where documents are missing, the system takes over the chase — **configurable email alerts** reach the employee until the file is complete, so compliance is evidenced on demand rather than reconstructed before an audit.

## How Compliance Tracking Works

**01 Define the Rules**

Mandatory document sets are configured in the DMS for each stage of the employee lifecycle.

**02 Map & Track**

Uploaded documents are matched to the rule set, and each profile shows a live file completion status.

**03 Report**

The compliance report lists all onboarded employees against every document rule in the system.

**04 Auto Follow-up**

Email alerts notify employees of missing documents. HR teams can define content, frequency and hierarchy.

### A rule set for every stage of the lifecycle

*Illustrative — document rules are configured per organization.*

**ONBOARDING**

Offer and appointment letter · ID and address proof · Education certificates

**IN SERVICE**

Policy acknowledgements · Appraisal and increment letters · Statutory declarations

**EXIT**

Resignation acceptance · Clearance form · Experience letter

## Core Capabilities

### Compliance Reports

Track compliance status for all onboarded employees against specific document rule sets.

- Status for every onboarded employee
- Single-click view of file completion
- Output built as HR audit evidence

### Automated Alerts

Configure and send automated email notifications to employees regarding missing mandatory documents.

- Custom email content per alert type
- Configurable duration and frequency
- Chosen recipients copied on alerts

## Business Benefits

### Automated Tracking

Compliance is tracked for every onboarded employee against defined rule sets, without manual file sorting.

### Up-to-Date Record

Accurate record management driven by the built-in document compliance report.

### Instant Visibility

Employee file completion status in a single click, without opening individual documents.

### Automated Follow-ups

Manual chasing is eliminated — the system notifies employees about missing documents on its own.

### Audit Readiness

Files stay audit-ready year-round, avoiding the scramble whenever an audit is called.

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## What HR Configures, What the System Does

| HR CONFIGURES | THE SYSTEM DOES | HR GETS |
|---|---|---|
| **Mandatory document rules** | Every employee file is measured against the defined rule set | Live compliance status on each profile |
| **Alert content and frequency** | Notifications are sent to the employees for missing documents | Follow-ups run without HR effort |
| **Recipients on each notification** | Reporting managers and HR are kept in the loop | Accountability without manual escalation |

## The Result

HR defines the mandatory document set once and lets the system carry it. Compliance is tracked continuously, gaps identified in a single report, and follow-ups reach employees on their own — so files stay complete, current and audit-ready, saving the HR team time, energy and resources every audit cycle.