

Training Compliance Roadmap

Audit-Ready in 30 Days

Your step-by-step plan to go from scattered records to a clean, defensible audit with day-by-day actions, an auditor's-eye checklist, and a process that keeps you ready long after this audit is done.

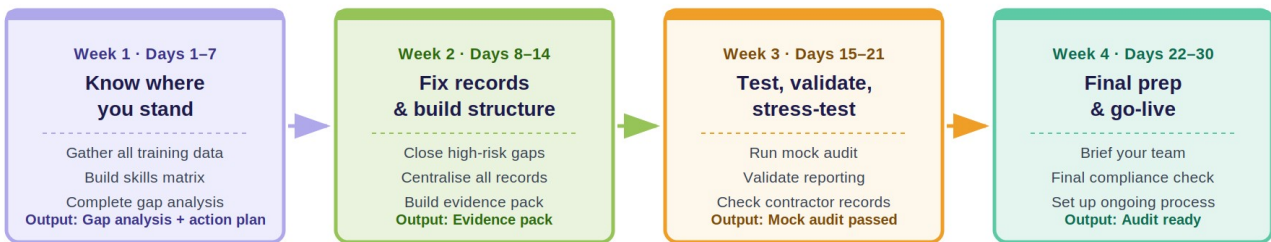
What's inside

- Page 1 Overview & road map
- Page 2 Week 1: Know where you stand
- Page 3 Week 2: Fix records & build structure
- Page 4 Week 3: Test, validate, stress-test
- Page 5 Week 4: Final prep & go-live
- Page 6 Audit-ready checklist

The destination

Audit Ready

Every employee has a complete, role-matched training record. Qualifications are tracked and renewed proactively. Evidence is retrievable in under two minutes. An audit is a non-event.



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	Week 1 · Days 1-7 Know where you stand	Week 2 · Days 8-14 Fix records & structure	Week 3 · Days 15-21 Test, validate, stress-test	Week 4 · Days 22-30 Final prep & go-live
Key output	Training skills matrix + gap analysis	Centralised records + evidence pack	Mock audit passed + reports tested	Team briefed + ongoing process live

Most businesses discover they are not audit-ready at the worst possible moment when an auditor is already in the room. A training certificate from three years ago. A spreadsheet last updated by someone who left. No record of who completed what, when, or whether it was relevant to their role. This roadmap gives you a structured, day-by-day path out of that position.

Follow the four weeks in order. Do not skip Week 1 knowing the full gap is the most important step of all.

Know where you stand

Before fixing anything, you need the full picture. Most organisations skip this stage and jump straight to solving spending days filling gaps that do not matter while missing the ones that do.

Days 1-2 Pull together everything you have

- Locate every source of training data in your organisation HR spreadsheets, personal folders, shared drives, paper sign-in sheets, LMS exports, and certificates from external providers
- Do not edit, clean, or reorganise anything yet. The goal on Days 1 and 2 is simply to understand what exists and where it lives
- Note who owns each data source you will need them in Week 2 to centralise records quickly
- Include any training records held by individual managers or department heads, not just HR

Days 3-4 Build your training skills matrix

- List every role in your organisation alongside the training it legally or operationally requires HSE regulations, GDPR, COSHH, fire safety, manual handling, first aid, and any sector-specific requirements
- Add the renewal frequency for each qualification: annual, three-yearly, or role-dependent
- Map every current employee to their role in the matrix this is the backbone of your entire audit readiness process
- If you operate in food manufacturing, construction, logistics, or healthcare, include sector-specific frameworks (HACCP, CSCS, CQC mandatory training) at this stage

Days 5-7 Gap analysis find and prioritise every gap

- Cross-reference every person's existing records against what the matrix says they need four categories: missing training (no record exists), expired qualifications (renewal date has passed), incomplete records (training may have happened but cannot be evidenced), and mismatched training (completed but not relevant to current role)
- Prioritise by risk: health and safety and regulatory roles first, then operational, then general
- Document every gap in writing this becomes your action plan for Week 2. Be specific: name, role, qualification, gap type, and risk level
- Do not attempt to fix gaps this week. Complete the full analysis first so you spend Week 2 on the right things

WHAT AUDITORS LOOK FOR

Auditors expect to see a training skills matrix that links roles to required training. Without one, they cannot verify that training is role-appropriate the single most common reason organisations fail a training compliance audit.

End of Week 1 what you should have

A clear, prioritised gap analysis. You know exactly what training is missing, for whom, and why it matters and you have a written action plan ready for Week 2.

Fix records, build structure

With the gap analysis in hand, Week 2 is about resolving the most critical gaps and creating a structure that will hold up under auditor scrutiny.

Days 8–10 Address the highest-risk training gaps

- Book and complete outstanding mandatory health and safety qualifications COSHH, fire safety, manual handling, first aid, working at height, and any role-specific licences or certifications
- Close GDPR, safeguarding, medication administration, or other regulatory training gaps for anyone in a relevant role
- Where training has been completed but records are missing, contact the training provider to retrieve completion evidence and certificates most providers can reissue documentation quickly
- For lower-risk gaps that cannot be completed this week, book them now and document the scheduled completion date a gap with a plan is far better than a gap with no awareness

Days 11–12 Centralise all records in one place

- Every training record must include: employee name, job role, training course or qualification title, date of completion, assessment result or competency sign-off, certificate reference or document, and expiry date where applicable
- An auditor should be able to retrieve any employee's complete training history in under two minutes if you cannot do this today, it is a risk
- Consolidate all spreadsheets into one master record or migrate to a dedicated training management system. Scattered records across multiple owners are a liability in an audit
- If using a training management platform, now is the time to ensure all historical records have been imported and every employee is linked to their correct role in the system

Days 13–14 Build your audit evidence pack

- Structure the evidence pack in this order: training skills matrix (roles mapped to required training) → individual training records for every employee → certificates and completion evidence → gap analysis from Week 1 with actions taken noted → renewal and expiry tracker
- Label every section clearly. An auditor who can navigate your records quickly has a very different experience than one who is handed a disorganised folder of files
- The evidence pack should tell a coherent story: who needs what, who has completed it, when, with what result, and when it is due for renewal
- Confirm that every certificate in the pack is legible, dated, and linked to the correct employee and role record

WHAT AUDITORS LOOK FOR

Consistent, complete records with dates, results, and certificates not just completion ticks are what auditors are looking for. Any gap without a documented remediation plan and completion date raises immediate questions about the maturity of your compliance process.

End of Week 2 what you should have

Your highest-risk gaps are addressed, all records are centralised, and your evidence pack has a clear, logical structure that any auditor can navigate.

Test, validate, stress-test

Having records is one thing. Knowing they hold up under scrutiny is another. Week 3 is about testing your evidence before the auditor does.

Days 15–17 Run an internal mock audit

- Pick 2–3 roles across different departments. Pretend you are an auditor and attempt to answer: Is this person's mandatory training complete and current? Can I see evidence of competency assessment not just course completion? Can I trace every qualification back to a certificate or documented proof? Are all renewal dates tracked with a clear process for managing them?
- Where you cannot answer any of these questions cleanly and quickly, you have found a remaining gap fix it before moving to Days 18–21
- Test whether managers can speak confidently about their team's training compliance status without being prompted or needing to search for information
- If the mock audit reveals systemic issues many missing records, no competency evidence, no expiry tracking escalate immediately and extend the remediation phase before the audit

Days 18–19 Validate your reporting capability

- Generate the following reports now and time how long each takes: all employees with current, complete training for their role; all employees with expired or incomplete qualifications; compliance breakdown by department or team; expiry report showing what needs renewing in the next 30, 60, and 90 days
- If any report takes more than five minutes to compile, your system is a risk auditors can ask for this information on the spot and expect it to be immediately available
- Check that reports are readable and navigable by someone who did not build them. Clarity matters as much as completeness
- If reports require significant manual effort to produce, this is the week to migrate to a system that automates them

Days 20–21 Validate contractor and supplier records

- Many organisations have solid internal training records but no visibility of the compliance status of contractors, agency workers, or supply chain partners who operate on their site or in their name
- For compliance-critical industries manufacturing, construction, food production, logistics this gap is a significant audit risk. Identify all non-permanent workers in scope
- Assess what compliance records you hold for each and whether they need to be included in your evidence pack
- If contractor records are incomplete, request them directly from the contractor or agency now do not leave this for audit day

WHAT AUDITORS LOOK FOR

Auditors may ask for a compliance report on the spot. If it takes 20 minutes to compile, that alone signals your process is manual and unreliable. The speed of your retrieval is itself evidence of a mature, managed system.

End of Week 3 what you should have

Your records have been stress-tested by a mock audit, reporting is fast and clean, contractor records are validated, and any remaining gaps are resolved.

Final prep & go-live

The final week is about polish, people, and making sure the system you have built does not collapse the moment the audit is over.

Days 22–24 Brief your team

- Everyone who may be involved in the audit managers, department heads, HR, the compliance lead present on the day should know where records are held and how to access them quickly
- Brief them to be transparent and confident, not defensive. Auditors respond far better to organisations that can clearly articulate any remaining gaps and show a plan than to organisations that appear to have overlooked them
- Confirm a single named compliance lead as the primary point of contact for the auditor consistency matters
- Remind managers that their own confident familiarity with their team's training status is itself part of the audit evidence

Days 25–27 Final compliance check

- Run one last pass across all records: every employee's mandatory training is complete and current, including anyone who joined or changed role since Week 1
- All certificates are filed in the evidence pack, all renewal dates are set, and all reminders are in place
- The training skills matrix is fully up to date this is typically the first document a thorough auditor will ask to see
- Two-minute test: can you retrieve any employee's full training history in under two minutes? If yes, you are ready

Days 28–30 Set up the ongoing process stay audit-ready

- This is the step that separates organisations that are occasionally audit-ready from those that are always audit-ready
- Set up a quarterly internal compliance review with a named owner, a written agenda, and a calendar invite already in place
- Activate renewal reminders at 60 days before each qualification expiry date not 7 days, which leaves no recovery time if an employee is on leave or a course is full
- Create a new starter onboarding workflow: every new joiner enters the training skills matrix on Day 1 and is tracked from that point forward
- Document the named compliance owner, their responsibilities, and the review cycle evidence of management oversight is what separates a pass from a strong pass

WHAT AUDITORS LOOK FOR

Evidence of ongoing management quarterly reviews, manager sign-off, a named owner, a documented process signals that compliance is embedded in your organisation, not reactive. This is the difference between a clean pass and a best-practice commendation.

End of Week 4 you are audit-ready

You are audit-ready, your team is prepared, and you have an ongoing process that means you will stay that way without the last-minute scramble next time.

AUDIT-READY CHECKLIST

Tick each off as you complete it

Use this alongside the roadmap. Print it, pin it up, share it with your team and work through it week by week. Every box ticked is a step closer to a clean audit.

WEEK 1 · DAYS 1-7**Know where you stand**

- All training records gathered from every source spreadsheets, shared drives, paper logs, LMS exports, and provider certificates
- Training skills matrix built every role mapped to its mandatory and sector-specific training requirements
- Renewal frequencies documented for every qualification in the matrix
- Gap analysis complete missing, expired, incomplete, and mismatched records all identified
- Gaps prioritised by risk level health and safety first, regulatory second, operational third
- Written action plan produced from the gap analysis, ready for Week 2

WEEK 2 · DAYS 8-14**Fix records, build structure**

- All highest-risk training gaps closed H&S, GDPR, COSHH, fire safety, manual handling, role-specific licences
- Lower-risk gaps booked and scheduled with documented completion dates
- All records centralised every entry includes: name, role, course, date, result, certificate, expiry date
- Evidence pack built and clearly labelled matrix, records, certificates, gap analysis, renewal tracker
- Any employee's training history retrievable in under two minutes
- Management sign-off on training records documented where required by your sector

WEEK 3 · DAYS 15-21**Test, validate, stress-test**

- Internal mock audit run on at least 2-3 roles across different departments
- All gaps identified in the mock audit resolved before moving to Week 4
- Compliance-by-team report generated in under five minutes
- Expiry report generated for the next 30, 60, and 90 days
- Contractor and supplier records validated and included in the evidence pack
- Managers can answer questions about their team's training compliance confidently and without prompting

WEEK 4 · DAYS 22-30**Final prep & go-live**

- All relevant team members briefed on record location, evidence pack structure, and audit process
- Named compliance lead confirmed as the primary auditor contact
- Final compliance check complete all training current, including new starters and recent role changes
- All certificates filed, all renewal dates set and confirmed

- 60-day renewal reminders activated for every qualification approaching expiry
- Quarterly internal compliance review scheduled with a named owner
- New starter onboarding workflow documented added to the training matrix on Day 1
- Two-minute record retrieval test passed for any employee's full training history

All boxes ticked?

You are audit-ready.

Every employee has a complete, role-matched training record. Qualifications are tracked and renewed proactively. Evidence is retrievable in under two minutes. An audit is a non-event not a scramble.

Want to be audit-ready every day not just today?

Workprove is a training management and compliance platform built for safety-critical industries. The Training Skills Matrix maps every role to required training, tracks completion and expiry in real time, and generates audit-ready reports at the click of a button. Book a demo at workprove.com