

TRAINING COMPLIANCE · CHECKLIST COMPANION

# Annual Training Audit

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A once-a-year routine that turns your training records into proof of reasonable care, and finds the gaps before a regulator or plaintiff does. The reasoning behind each step on the one-page checklist.

TRAINING COMPLIANCE

AUDIT

RECORDKEEPING

## Why It Matters

# Proof, not just delivery

Training only helps your defense if you can prove it happened, for the right people, with current content, on time. An annual audit is how you keep that proof intact.

A missing training roster is a gap in the reasonable-care element of the affirmative defense, and in several states it is also a direct compliance violation. The audit is a short, repeatable routine that closes those gaps on your schedule rather than under subpoena.

## Start from the roster

Pull the current employee roster by location and role, then map each jurisdiction's requirement: who must be trained, how often, any required duration, and the deadline. Multi-state and multi-location employers especially need this map, because the obligations differ by where each person actually works, not by where the company is headquartered.

## Find the gaps

Match your completion records against the roster and flag anyone overdue or never trained, paying special attention to new hires who have passed their state's deadline and to supervisors who need supervisor-level content. This is where most exposure hides: in the people who slipped through onboarding or changed roles mid-cycle.

## Close the loop and keep the proof

Schedule make-up training for the gaps, and verify the content still meets current-year legal requirements, since these laws change and last year's course may be stale. Update and retain rosters, certificates, and content versions to the longest applicable period, and record the audit itself with a date and sign-off. That record, showing that you looked and closed what you found, is itself evidence of diligence.

### MAKE IT A STANDING DATE

Put the audit on the calendar as a recurring annual task rather than a scramble. The employers who fare best are not the ones who never have a gap; they are the ones who find and close their gaps on a predictable schedule, and can show it.

### THE FOUR THINGS AUDITORS AND PLAINTIFFS ASK FOR

Who was required to be trained, when they were trained, what content version they received, and what you did about anyone missed. If your records cannot answer all four, that is the gap to close first.

## At a Glance

# The checklist, step by step

The checkbox sheet walks through these 9 steps; this companion explains the why behind each.

### PULL THE DATA

- ☐ **1 Pull the current employee roster by location and role.**
- ☐ **2 Map each jurisdiction's training requirement.**  
Who must be trained, how often, any required duration, and the deadline.

### FIND THE GAPS

- ☐ **3 Match completion records against the roster.**  
Flag anyone overdue or never trained.
- ☐ **4 Flag new hires past their state deadline.**
- ☐ **5 Confirm supervisors received supervisor-level content where required.**

### CLOSE & DOCUMENT

- ☐ **6 Schedule and deliver make-up training for the gaps.**
- ☐ **7 Verify the content still meets current-year legal requirements.**  
These laws change; last year's course may be out of date.
- ☐ **8 Update and retain rosters, certificates, and content versions.**  
To the longest applicable retention period.
- ☐ **9 Record the audit itself with a date and sign-off, and set next year's audit.**

## Where the gaps usually are

- **Mid-year promotions.** Someone moved into supervision after the training cycle and never received supervisor-level content.
- **Remote and relocated employees.** The obligation follows where the person works, so a move can attach new rules silently.
- **Part-time, seasonal, and temporary staff.** Several mandates count them, and rosters often do not.
- **Records without versions.** A completion date proves attendance, not that the content met that year's standard.

### WHERE EMPATHIHR FITS

We run the audit as a managed annual routine, from current-content delivery to the dated sign-off. **Schedule a compliance assessment · 866.240.6618 · [empathihr.com](https://empathihr.com)**

## Important

# About this companion

**Educational information, not legal advice.** This companion is provided by empathiHR for general educational purposes. It is not legal advice and does not create an attorney–client or consultant–client relationship. Employment law changes frequently and varies by jurisdiction, industry, and the specific facts of each situation.

Training requirements and retention periods vary by jurisdiction and by industry, and they change often. Before acting on anything in this companion, review your policies, programs, and specific circumstances with qualified employment counsel. empathiHR works alongside your legal counsel to build and maintain the operational program described here.

Case citations, statutes, and figures were current as of the update date on the cover and should be re–verified against primary sources before you rely on them. Where the law is unsettled or a figure is not fixed by statute, this companion says so.



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