

Eleanor Price  
HR Generalist  
Employer HR file

Date: 14 July 2026  
Our Reference: CCHR/AA10F8F0  
Document Type: Checklist

HR Compliance Review Checklist

1. EXECUTIVE SUMMARY

A compliance review was conducted on 18 November 2024 focusing on site compliance documentation and subcontractor evidencing requirements.

Key documents reviewed included the site diary, partial induction sheets, toolbox talk sign-ins, photographs, and email correspondence.

The review identified missing CSCS evidence for two subcontractor operatives and inconsistent completion of induction records on three sites.

The current outcome requires further information to address these gaps, with a follow-up review scheduled for 2 December 2024.

This checklist supports tracking of next steps to ensure a thorough resolution of compliance matters.

Employers should consult the original evidence files before finalising this review.

CHECKLIST DETAILS

Employee  
Eleanor Price

Role  
HR Generalist

Case type  
Compliance Check / HR Review

Reference  
HRA-AA10F8F0

KEY DATES

Completed  
14 July 2026

First review  
18 November 2024

Continued

HR Compliance Review Checklist

2.  COMPLIANCE REVIEW TASKS

Task: Confirm and verify missing CSCS evidence for two subcontractor operatives

Owner: HR Generalist / Site Compliance Manager

Priority: High

Due date: 25 November 2024

Evidence required: Subcontractor CSCS cards or equivalent competency proof

Status: Pending

Completion notes: Cross-check subcontractor personnel records to locate submitted CSCS evidence or request new documentation.

Follow-up Action Plan

| Action                                                                                                                                  | Owner | Due Date         | Evidence Required                      | Status |
|-----------------------------------------------------------------------------------------------------------------------------------------|-------|------------------|----------------------------------------|--------|
| Review the hr compliance review record and confirm it reflects the agreed facts.                                                        | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |
| HR Compliance Review Follow-up is due on 02 December 2024.                                                                              | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |
| Record a clear owner and review point for the hr compliance review outcome.                                                             | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |
| Review the Compliance Check / HR Review record for missing facts, evidence, follow-up ownership or review safeguards before completion. | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |
| Review the completed documents for factual accuracy before issue or filing.                                                             | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |
| File the final documents in the employee's personnel record.                                                                            | HR    | 18 November 2024 | Completion note or supporting evidence | Open   |

Continued

## HR Compliance Review Checklist

### 3. COMPLIANCE REVIEW TASKS

Task: Audit induction record completion consistency across three sites

Owner: HR Team Lead / Site Supervisors

Priority: Medium

Due date: 25 November 2024

Evidence required: Full sets of induction records for three sites, including sign-in sheets and induction completion forms

Status: In progress

Completion notes: Identify specific sites and dates with incomplete induction records for targeted remediation.

### 4. COMPLIANCE REVIEW TASKS

Task: Review all reviewed documentation for accuracy and completeness

Owner: Reviewing Manager

Priority: Medium

Due date: 30 November 2024

Evidence required: Site diary, partial induction sheets, toolbox talk sign-ins, photographs, and email correspondence files

Status: Pending

Completion notes: Confirm that all source documents referenced during the review are complete and properly filed; manually verify metadata-only evidence attachments.

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## HR Compliance Review Checklist

### 5. COMPLIANCE REVIEW TASKS

Task: Prepare detailed gap analysis report based on findings to date

Owner: HR Compliance Officer

Priority: High

Due date: 1 December 2024

Evidence required: Summary of missing documents, inconsistencies, and recommended corrective actions

Status: Not started

Completion notes: Use existing review notes and correspondence to draft the report, highlighting areas requiring immediate attention.

### 6. COMPLIANCE REVIEW TASKS

Task: Conduct follow-up compliance review session

Owner: HR Generalist (Eleanor Price)

Priority: High

Due date: 2 December 2024

Evidence required: Updated compliance documentation and evidence of remedial actions taken since initial review

Status: Scheduled

Completion notes: Ensure all prior identified issues have been addressed and compliance status is updated accordingly.

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## HR Compliance Review Checklist

### 7. COMPLIANCE REVIEW TASKS

Task: Assign final owner for ongoing compliance remediation and monitoring

Owner: HR Director or Senior Manager

Priority: Medium

Due date: 2 December 2024

Evidence required: Written confirmation of ownership and responsibilities

Status: Not started

Completion notes: Designate a responsible lead to oversee resolution of compliance gaps and monitor future checks.