

Compliance Operations Guide

How the compliance system works, what the data means, and what to do when compliance records need attention.

FOR

Operations staff · Platform administrators

What Compliance Records Are

A compliance record is the platform's record of a specific certification held by a specific employee. It links the person, the certification type, the issue and expiry dates, and the certificate itself. Compliance records are the foundation of everything in the compliance system — heatmaps, gap analysis, expiry alerts and renewal forecasting all draw from these records.

How records are created

Records are created in one of three ways:

- **Automatically** — when a delegate completes a GTS MedOH course with a compliance type set. This is the preferred route — no manual data entry required.
- **Manually** — for external certificates or historical records. Compliance → All Records → + Add Record.
- **CSV import** — for bulk onboarding of an organisation's existing compliance history.

Record Statuses — What They Mean

STATUS	WHAT IT MEANS	ACTION REQUIRED?
Current	Certificate is valid and not approaching expiry	No action needed
Expiring Soon	Certificate is within the reminder window before expiry	Renewal booking recommended
Expired	Certificate expiry date has passed	Renewal booking urgent — employee may not be compliant
Not Started	A competency requirement exists but no certificate has ever been issued	Training booking required
In Progress	A renewal booking is confirmed but the session hasn't happened yet	Monitor — no action needed
Exempt	This employee has been formally exempted from this requirement	Ensure exemption documentation is in place

The Compliance Score

Each organisation's compliance score is the percentage of tracked certifications that are current or expiring soon. A score of 100% means every required certificate is valid. A lower score means some have expired or have not been obtained.

i **Not started records affect the score.** If competency requirements are set for a job role and an employee holds that role but has never been trained, those "not started" records count against the compliance score. This is intentional — a missing certificate is a compliance gap regardless of whether it was ever obtained.

Competency Requirements — The Backbone of Gap Analysis

Competency requirements define what each job role needs. Without them, the platform cannot identify gaps — it doesn't know what *should* be in place, only what *is* in place.

When setting up a new organisation, configuring competency requirements is one of the first steps. It is also required before the competency matrix and gap analysis tools produce meaningful results.

EXAMPLE

NHS Surrey Trust's "OH Nurse" role requires Audiometry, Spirometry and HAVS Surveillance. Once these requirements are set, the gap analysis for any OH Nurse at that organisation will show whether all three certifications are current — regardless of which nurse you're looking at.

The Compliance Heatmap — How to Read It

The heatmap shows compliance by department (rows) and certification type (columns). Each cell shows the compliance percentage for that combination.

- **Green** — ≥80% of staff in this department hold this certification. In good shape.
- **Amber** — 60–79%. Some renewals needed but not critical.
- **Red** — below 60%. Significant gaps. Identify the individuals and arrange training.

Clicking any cell drills down to the individual employee records contributing to that cell.

⚠ Employees without a department set appear under "Unknown Department". If the Unknown Department column has red cells, it's often a data quality issue — those employees need their department field completed.

Bulk CSV Import — When to Use It

Use the CSV import when onboarding a new organisation that has existing compliance records from outside the platform. This avoids entering hundreds of records manually.

The CSV requires: email, first_name, last_name, compliance_type_name, issued_date, expiry_date, certificate_number, provider_name.

The import shows a preview before committing. Rows with errors are highlighted and skipped — valid rows are imported. Employees are created automatically if they don't exist.



The compliance_type_name must match exactly (case-insensitive) the name of a type in the catalog. Check the Comp. Types tab first to confirm the exact names before preparing the CSV.