WORKSHEET 3.13

Findings, Grading, and the One That Cannot Wait Until Monday

Subchapter 3.13 · case in the book: Portland

GUIDING QUESTION

If your auditor found, at six on a Tuesday morning, something that could hurt somebody before the shift ended, what would happen next, and how many days would it take?

This worksheet turns the tools of the subchapter into a form you can fill in. The texts come from the book; the empty columns are for your own property. Adapt it before use: an unadapted checklist is exactly what the book warns against.

Practical application: what to do in your property

Step (from the book)	Done?	What we found / owner
Write every finding with all three elements: the requirement, the particular evidence, and the gap between them.		
Define your grades in writing, or stop using them. An undefined scale is read as a scale of urgency by everybody receiving it.		
Stop using observations for the unproven. Go and establish it, or put it in the out-of-scope section with a name against it.		
Establish the second channel in one sentence, with a written threshold: serious harm possible, and people exposed now.		
Ask the general manager for the authority to require work to stop. It is one sentence and it is rarely asked for.		
Read the finding back and count how many times a person appears in it. In a well-written safety finding the answer is none.		
Close on the requirement being met, not on an action having been taken. Ask what would happen if the same thing occurred again on the same Friday.		
Keep the immediate channel for what meets the threshold, and never hold back something that meets it to keep the channel quiet.		

These steps are the book's method, not requirements of ISO 45001. Evidence can take whatever form suits the property; a separate document is needed only where an applicable requirement, or the property's own system, makes it necessary.

Verification Pact: what is believed, tested against the standard

What is commonly believed	What actually holds	Our position
«Findings are classified as major or minor.»	Not in this standard. The distinction is certification vocabulary, and a property that uses it owes itself written definitions.	
«An observation is a weaker finding.»	It is a condition that does not yet fail a stated requirement. Used as a bin for the unproven, it becomes the section nobody must act on.	
«The auditor reports and the report triggers action.»	The clause requires timely reaction to a nonconformity. Nothing requires the reaction to wait for a report to be issued.	

What is commonly believed	What actually holds	Our position
«An internal auditor cannot stop work.»	Correct, as far as requiring others to stop, until the property says otherwise; that authority is the property's to grant and takes one sentence. Leaving serious and imminent danger, and warning those exposed, need no grant.	
«A finding needs photographic evidence.»	It needs a requirement, particular evidence and a stated gap. A photograph is one kind of evidence and settles nothing on its own.	
«Correcting the condition closes the finding.»	Correction deals with the instance. The clause separately requires evaluation of the need to eliminate the cause.	

Common mistakes: a self-check

Mistake (from the book)	Present here?	Action / owner
Writing findings with evidence but no requirement. They read as opinions and are argued as opinions.		
Grading by the auditor's level of concern. Everybody receiving the report converts the grade into a deadline.		
Using observations as a bin for the unproven. The most interesting material ends up in the section with no consequence.		
Letting an urgent condition travel at the speed of a report. The clause requires reaction; nothing requires waiting for issue.		
Assuming the auditor cannot stop work. The property can grant that authority in one sentence and is rarely asked.		
Using the immediate channel for routine defects. It works only while it is kept for what meets the threshold, as an emergency light or a blocked escape route does.		
Closing findings on action rather than on the requirement being met. It is why the same finding returns every year.		

Operative synthesis

- A finding has three elements (the requirement, the particular evidence, and the gap between them) and most findings have one or two, which is why so many audit reports produce meetings rather than actions. With all three, there is nothing left to argue about: the requirement is in the criteria, the evidence is checkable, and the gap is arithmetic.
- **Grading is convention, not requirement.** The standard knows only that a requirement is fulfilled or it is not, and major and minor arrive from certification with no definitions attached. Undefined, they are read as a scale of urgency, and minor becomes unhurried. The observation is convention too, and has become the place auditors file what they could not prove, which puts the most interesting material in the only section nobody must act on.
- And an audit report moves at the speed of drafting, review and issue, which is right for almost everything it carries and wrong for the condition that could seriously harm somebody now. The requirement is to react to a nonconformity in a timely manner; nothing anywhere requires the reaction to wait for the report. A second channel, one sentence long, with a written threshold, is the whole remedy, and it works only while it is kept for what meets that threshold.
- And the closure of a finding is not the taking of an action but the meeting of the requirement, which is why the same findings recur in the same departments year after year: correctly raised,

correctly actioned and correctly closed, each time, on the instance rather than on the condition that produced it.

- A panel with no cover, in a wet room, two metres from somebody feeding a washer, for three weeks before the audit and eleven days after it. An accurate finding, a correct grade, a properly reviewed report, and a chief engineer who closed it within the hour of reading. Every step followed the procedure, and the procedure had no step for raising the alarm.
- Which leaves the other half of the obligation entirely untouched: the panel was closed, and nobody has yet asked why a contractor was able to leave a cover against a wall for three weeks in a building with a management system.

Action plan for our property

Action	Owner	Due	How we will know it worked

Source: Francesco Dore, The Helm and the Lens, Volume 3b «The Lens», subchapter 3.13. Edizioni Effedore, 2026. Clause references are paraphrased; this sheet does not reproduce the text of ISO 45001. It is not legal advice: health and safety law is that of the place where the property operates.