WORKSHEET 4.5

Stage 1: The Readiness Assessment Before Stage 2

Subchapter 4.5 · case in the book: Lima

GUIDING QUESTION

Count the months between the day your system began producing records and the day you have asked to be certified. Then count how many of your internal audit reports cover a department during its busiest week rather than its quietest. If the first number is small and the second is zero, the first stage will tell you so, and it will tell you before you have paid for the second.

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
Count the months of real records your system will have on the day of the second stage.		
Audit operating departments while they are operating, before you book anything.		
Hold the management review before certification and minute the decisions.		
Extend the hazard register to temporary works, contractors and closed floors.		
Convene the consultation body and record what changed because it met.		
Give the first-stage auditor the inconvenient parts of the site on purpose.		
Answer areas of concern with evidence of operation, never with new procedures.		
Agree the interval to the second stage explicitly, and confirm it in writing.		

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
«The first stage is a document review.»	It is a readiness assessment. Documents are one input; the site, the records and the calendar are the others.	
«The first stage is a formality before the real audit.»	It is the one point in the cycle where the process can be stopped cheaply, and stopping it is a legitimate outcome.	
«A postponement means the body is selling extra days.»	A body that proceeds to a second stage it knows cannot produce evidence risks its own accreditation.	

What is commonly believed	What actually holds	Our position
«The first stage raises nonconformities.»	It records areas of concern. They may become nonconformities at the second stage if nothing changes.	
«If the documentation is complete, the property is ready.»	Readiness is evidence of operation over time: audits run, reviews held, records generated by the work itself.	
«The auditor will say what we need to fix.»	She will say what she did not find. Telling you how to fix it would make her the author of what she later audits.	

Common mistakes: a self-check

Mistake (from the book)	Present here?	Action / owner
Preparing documents for a visit that is assessing whether the system has been running.		
Scheduling the internal audit and the management review after the certificate.		
Auditing the departments that are easy to audit and calling the programme complete.		
Leaving a refurbishment, a concession or a contractor outside the hazard register.		
Building the certification plan backwards from a client's deadline.		
Reading a postponement as a commercial manoeuvre rather than as a finding.		

Operative synthesis

- **The first stage asks one question: is there yet a system here that an audit could meaningfully test.** It is answered by evidence of operation over time, not by the quality of the description, and the property that understands this prepares differently; it runs the system earlier and writes about it less.
- **The outcome a property should want from a first stage is the true one.** A body that says yes when the answer is no has bought itself a second stage that cannot conclude, and has bought the property a certificate that will be difficult to defend at the first surveillance. The moment is designed to be cheap precisely so that the honest answer costs little to give.
- **This is also the point at which the auditor's boundary becomes visible for the first time and feels least welcome.** She can tell a property what she did not find. She cannot tell it what to do about that, and the property that experiences this as unhelpfulness has not yet grasped that the same distance is what will make the certificate worth holding.
- **In Lima nothing was wrong.** There were four hundred and sixty hazards recorded and thirty-one men working above a live hotel who were not among them; nineteen procedures and two audited departments, both administrative; a committee constituted in September that had never met; and a management review scheduled for the month after the certificate. One auditor day established all of it, ninety days corrected most of it, and the only irrecoverable loss was a contract that had been promised against a date rather than against a system.
- What the second stage then does with a property that is ready (how it moves from checking that the system exists to establishing that it works, and what evidence of effectiveness actually looks like on a hotel floor) is the subject of the next subchapter.

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 4.5. 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.