WORKSHEET 4.6

Stage 2, and Evidence of Effectiveness

Subchapter 4.6 · case in the book: Abu Dhabi

GUIDING QUESTION

Take one hour and pick the single control you are proudest of: the permit, the briefing, the rest schedule, whatever it is. Write down what proves it exists, which will take a minute. Then write down what proves it worked last Tuesday, and notice how much longer that takes, and whether you can do it at all. The second column is what a second-stage auditor is there to collect.

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
List the dozen controls that carry your real risk, and write the effectiveness column for each.		
Write one sentence for every zero you report, saying what would have to be true for it to be accurate.		
Plot your reports by department and compare the shape against your hazard profile.		
Create a recordable category for the small events your supervisors already handle informally.		
Record rest, checks and briefings as taken, not as scheduled.		
Follow one real event a quarter from the shift floor to the review minutes yourself.		
Put the audit hours where the work is hard, and offer the people who do it.		
Decide in advance how a rise in reported events will be presented to leadership.		

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
«Zero incidents proves the system works.»	Zero is produced identically by prevention and by blindness. It proves nothing until you can say what should have been recorded.	
«If every requirement has evidence against it, the audit will go well.»	That is conformity. The second stage also evaluates effectiveness, which needs different evidence entirely.	
«A hundred per cent training completion demonstrates competence.»	It demonstrates completion. Competence is shown by what people do when the situation arises.	

What is commonly believed	What actually holds	Our position
«A high number of near-miss reports is a good result.»	The total says little. The distribution across departments says a great deal.	
«The auditor will tell us what to measure instead.»	He will tell you that your monitoring cannot establish effectiveness. Designing the replacement would make him the author of what he audits.	
«Effectiveness findings are subjective.»	They rest on the organisation's own data, its own intended outcomes and its own objectives, not on the auditor's opinion of good practice.	

Common mistakes: a self-check

Mistake (from the book)	Present here?	Action / owner
Presenting a zero as a result rather than as a question about the recording threshold.		
Filing the plan as evidence when the operation is what the auditor will ask about.		
Reporting training completion without ever looking at the completion data you already hold.		
Reading a reporting total without reading its distribution across departments.		
Leaving supervisors with no way to record the small things they handle every week.		
Answering an effectiveness finding with a new procedure instead of a change in what is recorded.		

Operative synthesis

- **The second stage asks two questions in sequence, and only the first is about documents.** Does what you planned exist, and does it produce what you intended. A property that has prepared only for the first arrives with a complete file and an audit it does not understand, because every question after the first morning appears to be about something it has no record of.
- The practical discipline is small and unglamorous: for every control that matters, know what would prove it worked, and hold that alongside what proves it exists. Most properties can build this in an afternoon, and most discover in the building of it which of their controls they have never actually verified. That discovery is the value, and it is available without an auditor.
- **The hardest part is not technical.** It is that effectiveness evidence often makes the numbers worse before it makes them better, and somebody has to be willing to stand in front of a leadership team and explain that eleven recorded entries represent an improvement over zero. A property that has not decided in advance how it will handle that conversation will quietly revert, and the reporting will subside, and in three years the file will be complete again.
- **In Abu Dhabi everything was in order.** Two hundred and six near-miss reports from three departments out of eleven; forty-two outdoor workers and no first-aid entries in three summers; a hundred per cent training completion achieved in a median of five minutes against a twenty-minute module; rest that was scheduled and never recorded as taken; a supervisor doing the humane thing in the shade by the equipment store with nowhere to write it down; and a management review that read all of it as success. Nobody had been hurt, nobody had lied, and the system could not have told the difference.

› When the evidence does fall short (when the auditor finds what he found here) what follows is a finding, a cause the property has to identify, and a response the certification body has to be willing to accept. What that response has to contain, and why so many of them are rejected the first time, 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 4.6. 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.