TEMPLATE · FINDING AND CORRECTIVE-ACTION LOG · INTERNAL AND CERTIFIER FINDINGS

The Finding and Corrective-Action Log

Source: Francesco Dore, The Helm and the Lens, Volume 7b — GSTC Hotel Standard v4.0, subchapters 3.15 (book page 187) and 4.6 (book page 265)

HOW TO USE THIS LOG

For each finding, record the indicator tested, the evidence, the gap, the cause, the action with its owner and date, and how and when effectiveness will be verified. Without the cause, the action fixes the instance and not the process. For findings raised by a certification body, add the class, the date of issue and the ninety-day closing date.

WHO THE RULES BIND

For findings raised by a certification body, the GSTC Accreditation Manual (AM-I v4.1, clause 8.15) requires the body to communicate nonconformities in writing, as major or minor. Both must be closed within 90 days of the date of issue; a major needs root-cause analysis, correction and corrective action; a minor whose closure is insufficient is upgraded to major. These rules bind the certification body. Inside the hotel, indicator A8.3 of the GSTC Hotel Standard asks for corrective actions to be taken and documented, and A1.8 for an annual review of the plan.

Fields

Field	What goes in it
Indicator tested	One indicator reference, e.g. D1.1 — not a criterion.
Evidence	What was examined: document, record, observation or interview, with date.
Gap	What the indicator asks and what the evidence shows, side by side.
Cause	Why the gap exists. “We forgot” is not a cause: ask why until a process or a role appears.
Action	The correction (this instance) and the corrective action (the process), with owner (role) and due date.
Effectiveness verification	How and when you will check that the gap has not returned — a second date, after the action (this book’s practice).
Certifier findings	Class (major or minor), date of issue, closing date = date of issue + 90 days, evidence sent, closure confirmed in writing.

Finding cards 1–2

Finding no. 1	Entry	Certifier findings only	Entry
Source	☐ Internal audit ☐ Certification body ☐ Complaint ☐ Other	Class	☐ Major ☐ Minor
Indicator tested		Date of issue	
Evidence		Closing date (issue + 90 days)	
Gap		Root-cause analysis attached (major)	☐ Yes
Cause		Evidence sent to the body on	
Action, owner (role), due date		Closure confirmed in writing on	
Effectiveness verification: how, date, result		Status	☐ Open ☐ Closed

Finding no. 2	Entry	Certifier findings only	Entry
Source	☐ Internal audit ☐ Certification body ☐ Complaint ☐ Other	Class	☐ Major ☐ Minor
Indicator tested		Date of issue	
Evidence		Closing date (issue + 90 days)	
Gap		Root-cause analysis attached (major)	☐ Yes
Cause		Evidence sent to the body on	
Action, owner (role), due date		Closure confirmed in writing on	
Effectiveness verification: how, date, result		Status	☐ Open ☐ Closed

Finding cards 3–4

Finding no. 3	Entry	Certifier findings only	Entry
Source	☐ Internal audit ☐ Certification body ☐ Complaint ☐ Other	Class	☐ Major ☐ Minor
Indicator tested		Date of issue	
Evidence		Closing date (issue + 90 days)	
Gap		Root-cause analysis attached (major)	☐ Yes
Cause		Evidence sent to the body on	
Action, owner (role), due date		Closure confirmed in writing on	
Effectiveness verification: how, date, result		Status	☐ Open ☐ Closed

Finding no. 4	Entry	Certifier findings only	Entry
Source	☐ Internal audit ☐ Certification body ☐ Complaint ☐ Other	Class	☐ Major ☐ Minor
Indicator tested		Date of issue	
Evidence		Closing date (issue + 90 days)	
Gap		Root-cause analysis attached (major)	☐ Yes
Cause		Evidence sent to the body on	
Action, owner (role), due date		Closure confirmed in writing on	
Effectiveness verification: how, date, result		Status	☐ Open ☐ Closed

> *The Excel version calculates the ninety-day closing date and the days left, and flags overdue items and items closed without verified effectiveness. Independent material; not affiliated with or endorsed by the GSTC. The standard's own text at www.gstc.org prevails.*