WORKSHEET 4.4

# Stage One Gives No Mark

*Subchapter 4.4 · case in the book: Wellington*

If the certification body's auditor read your scope tomorrow and pointed at every space named in it, could you show a trace in your system for each one? And would you know on which day of the year the auditor would need to see your hotel to judge whether it does what it describes?

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 |
|---|---|---|
| An internal audit in the garden: The independent auditor examined the first garden event of the season, a corporate cocktail for 140 guests in early November, for half a day. | | |
| Scales on the trolley: The buffet trolley received scales, and since November the skip by the gate is weighed after every event, not only on Mondays. | | |
| Measure the sound: The maintenance technician measured the level at two events. The loudest was below the limit in the hotel's local conditions, and the new line in the register records the value, the date and the condition under which obligations would apply. | | |
| Label the review honestly: The management review received an addendum in late November. "All" now stands only above figures that include all events. | | |

These steps are the book's method, not requirements of ISO 20121. 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 |
|---|---|---|
| Stage 1 is a desk review of documents | No. Its objectives include determining readiness through discussion with personnel (ISO/IEC 17021-1, 9.3.1.2.2) | |
| Stage 1 and stage 2 are two separate audits | No. The initial audit has two stages and counts as one audit (9.3.1.1) | |
| The auditor sends a detailed audit plan for stage 1 | No. A formal audit plan is not needed for stage 1 (note to 9.3.1.2.1) | |
| Stage 1 findings are disclosed only after stage 2 | No. Conclusions are documented and communicated before stage 2 (9.3.1.2.3) | |
| The auditor will tell us how to fix the points | No. The body must not provide management system consultancy (5.2.5) | |

| What is commonly believed | What actually holds | Our position |
|---|---|---|
| The scope may name whatever the hotel offers | Only partially true. It should be factual and representative, and must not mislead (ISO 20121, note to 4.3) | |

## Common mistakes: a self-check

| Mistake (from the book) | Present here? | Action / owner |
|---|---|---|
| Treating stage 1 as a formality. | | |
| Writing more into the scope than the system covers. | | |
| Placing the internal audit in the quiet season, so that it sees only quiet events. | | |
| Labelling a subset as the whole. | | |
| Preparing binders and nobody from operations. | | |
| Expecting advice from the auditor, who names the point and leaves the solution to the hotel. | | |
| Narrowing the scope while sales material still claims the wider one. | | |
| Advertising as if certified while the process is still running. | | |

## Operative synthesis

- **Does every part of our scope have a trace in the system?: The auditor will examine every space the scope names**
- **Could the internal audit see every type of event, including the summer ones?: A programme that misses a season says nothing about it**
- **Do management review figures cover what their labels say?: Otherwise management reviews a smaller hotel than it thinks**
- **Does the legal register have a line for every site where events take place?: Clause 6.1.3 requires legal requirements to be identified**
- **Is someone who runs events available on the day of stage 1?: Readiness is determined through discussion with personnel**
- **Does every stage 1 point have an owner, a date and evidence?: Stage 2 will look for it**
- **Act on immediately. Walk the scope page through the building and the grounds, and assign each part its trace: indicators, lessons learned, an audit sample and a legal line.**
- **Plan for. Set internal audit dates in every season the scope covers, label management review figures by what they include, and give the auditor the event calendar for the coming months.**
- **Monitor going forward. Keep stage 1 points as a task list with owners and dates, and check before stage 2 that each has left evidence.**

## Action plan for our property

| Action | Owner | Due | How we will know it worked |
|---|---|---|---|
| | | | |

| Action | Owner | Due | How we will know it worked |
|---|---|---|---|
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Source: Francesco Dore, The Helm and the Lens, Volume 8b «The Lens», subchapter 4.4. Edizioni Effedore, 2026. Clause references are paraphrased; this sheet does not reproduce the text of ISO 20121, ISO 19011 or ISO/IEC 17021-1. It is not legal advice: the law that applies is that of the place where the property operates.