



# Safety Culture Ladder certification scheme

Arrangements for assessing the Safety Culture  
Ladder 2.0

September 2023



De waarde  
van normen



# **Certification scheme Safety Culture Ladder**

(en)

Arrangements for assessing the Safety Culture  
Ladder 2.0

Koninklijk Nederlands Normalisatie Instituut



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## Contents

<b>1</b>	<b>Subject and scope of application</b> .....	<b>4</b>
<b>2</b>	<b>Normative references</b> .....	<b>4</b>
<b>3</b>	<b>Terms and definitions</b> .....	<b>5</b>
<b>4</b>	<b>Effective date and transition period</b> .....	<b>7</b>
<b>5</b>	<b>The Safety Culture Ladder</b> .....	<b>8</b>
5.1	General.....	8
5.2	Descriptions of each step .....	8
5.3	Themes and sub-themes .....	9
5.4	Other documents.....	9
<b>6</b>	<b>Relationship with safety management systems</b> .....	<b>10</b>
6.1	NEN-ISO 45001 .....	10
6.2	VCA, VCU, VCO .....	10
6.3	Relationship between the SCL and safety management systems .....	10
<b>7</b>	<b>Assessment arrangements</b> .....	<b>11</b>
7.1	Competent certification bodies .....	11
7.2	Competent lead auditor/auditor and assessor .....	11
7.3	SCL assessment requirements .....	12
7.4	Certification man-days table .....	15
7.5	Unannounced working visits.....	18
7.6	Language requirement for SCL audits.....	19
7.7	Specific assessment arrangements.....	20
7.8	Assessment method .....	21
7.9	Audit report.....	24
7.10	Issuance of certificate and statement.....	26
7.11	Validity of certificate and statement.....	27
7.12	Trial audit.....	27
<b>8</b>	<b>Safety Culture Ladder products</b> .....	<b>28</b>
8.1	General.....	28
8.2	SCL Original .....	29
8.3	SCL.....	30
8.4	SCL Light .....	31
8.5	Approved Self Assessment (ASA).....	33
<b>9</b>	<b>Quality assurance and supervision of certification bodies</b> .....	<b>37</b>
9.1	General.....	37
9.2	Attendance.....	37
<b>10</b>	<b>Organisation</b> .....	<b>38</b>
10.1	Who manages the Safety Culture Ladder? .....	38
10.2	Financing .....	39
10.3	Document/version management.....	39
10.4	Complaints .....	39
	<b>Bijlage A (normative) Additional requirements for an offshore assessment</b> .....	<b>40</b>
	<b>Bijlage B (normative) Qualification requirements for auditors and assessors</b> .....	<b>43</b>
	<b>Bibliography</b> .....	<b>50</b>

# Safety Culture Ladder certification scheme – Arrangements for assessing the Safety Culture Ladder 2.0

## **1 Subject and scope of application**

This certification scheme ('the scheme') contains the arrangements that certification bodies must adhere to when assessing the Safety Culture Ladder (SCL). The requirements against which assessment occurs are set out in *Safety Culture Ladder 2.0 (SCL 2.0)*.

The Safety Culture Ladder is an instrument designed to raise awareness of healthy and safe working within our own organisations. It is also suitable as a quality aspect when procuring work, services and supplies. The Safety Culture Ladder has been developed for all types of organisations – in the profit, non-profit, service and industrial sectors, in large as well as smaller businesses.

NOTE: The intention is not to create different (company-specific) versions of the Safety Culture Ladder, but to use the existing version. If sectors or companies do not immediately identify with a description, the intention of that description can be examined. By looking at the intention, descriptions can be interpreted for the specific business sector and type of company.

This scheme is reviewed on an ongoing basis and adjusted where necessary. These adjustments are recorded in decisions made by the Committee of Experts (CoE). These decisions are published on the Safety Culture Ladder website ([www.safetymcultureladder.com](http://www.safetymcultureladder.com)) and become part of this scheme once published. These decisions are included periodically in the new version of this scheme.

Wherever 'he/she' is written in this document, this includes all ways to refer to people currently in common use.

## **2 Normative references**

The following documents are referred to in the text in such a way that all or some of their provisions also apply to this document. When references are dated, only the quoted edition applies. With undated references, the most recent edition of the document (including any amendments, correction sheets and consolidations), to which a particular reference is made, applies.

NEN-EN-ISO/IEC 17021-1, *Conformity assessment – Requirements for bodies that audit and certify management systems – Part 1: Requirement*

Safety Culture Ladder 2.0 (SCL 2.0)

The requirements included in this scheme supplement or replace the relevant requirements from NEN-EN-ISO/IEC 17021-1.

### 3 Terms and definitions

The following terms and definitions apply to the application of this document.

#### 3.1

##### **business**

business to be certified

Note 1 to the term: The highest legal business entity to be certified is regarded as the business establishment; the associated or underlying legal entities are regarded as branch offices.

Note 2 to the term: Some businesses have a high-level legal structure but are organised operationally with business units (BUs) and/or functional units (FUs), for example. In these cases, a choice can be made to certify an operational unit (BU/FU), including its steering and support services.

#### 3.2

##### **sector**

defined branch

Note 1 to the term: Sector is a name for all businesses working in a particular category of services and products, such as the hospitality sector. So a sector includes all the businesses pursuing the same activities.

#### 3.3

##### **certification body**

##### **CB**

institution authorised by NEN to assess as an independent third party and issue a Safety Culture Ladder certificate or statement on that basis.

Note 1 to the term: To assess properly, a CB and its auditors must meet several conditions (see 7.1, 7.2 and Appendix B).

#### 3.4

##### **board of directors**

senior managers in an organisation

Note 1 to the term: Example: the chief executive officer, the chief financial officer, the chief commercial officer.

Note 2 to the term: If referring to part of the organisation, this relates to the most senior manager of that part.

#### 3.5

##### **chain**

sequence of parties in the same process including client-contractor or contractor-supplier-subcontractor

#### 3.6

##### **management**

##### **manager**

most senior manager(s) in an organisation up to the level of senior manager on the shop floor

Note 1 to the term: Example: the department manager, the regional director.

Note 2 to the term: In smaller organisations, this management layer might not exist (then read: board of directors).

## **Certification scheme SCL 2.0**

### **3.7**

#### **employee**

any person holding a position in the company

Note 1 to the term: This applies to persons on the company's payroll as well as self-employed persons, temporary workers and other persons hired or borrowed by the company.

Note 2 to the term: For example, the fitter, the driver, the adviser, the safety and health coordinator.

### **3.8**

#### **co-contractor**

party performing work on the client's instructions in the vicinity of the company's work and affecting the company's work

### **3.9**

#### **client**

customer for whom work is performed, the party giving instructions to the company

### **3.10**

#### **contractor**

party performing work on the company's instructions

Note 1 to the term: Example: Subcontractor, supplier, or service provider.

### **3.11**

#### **project**

a number of interrelated activities (commissioned by the client) that are carried out by an entity (e.g. company, combination or joint venture) on site or in its own working environment.

Note 1 to the term: Examples of these activities are performing a specific job or task, creating a design, supervising a work order, etc.

### **3.12**

#### **risk analysis**

written inventory and evaluation of H&S risks for employees and other persons in the vicinity of the work

Note 1 to the term: The risk analysis includes a description of the hazards, the risks, their severity and risk mitigation measures (including those relating to attitude and behaviour).

### **3.13**

#### **stakeholder**

the party concerned or interested party

Note 1 to the term: Example: Employee, parent company, customer, client, contractor, co-contractor, environment, politics and/or governance.

### **3.14**

#### **safety culture**

set of shared values, standards, competencies and associated health and safety behaviour



### 3.15

#### **health and safety**

##### **H&S**

integral safety of own employees as well as users, third parties and the environment

Note 1 to the term: H&S is broader than just occupational safety. H&S also includes psychosocial work stress, psychosocial safety, well-being and integrity.

Note 2 to the term: Depending on what is happening in the organisation, the following should also be considered, for example: cybersecurity, structural safety, machine safety, and fire safety.

Note 3 to the term: Health is also part of the Safety Culture Ladder. For example, exposure to hazardous substances can affect health (and harm more people than safety risks alone).

### 3.16

#### **H&S behaviour**

conscious and unconscious behaviour and actions aimed at the healthy and safe performance of work, paying attention to people, materials, resources, methods, the workplace and the environment

### 3.17

#### **H&S behaviour audit**

systematic assessment of the level of safety awareness and conscious safe behaviour in the company

### 3.18

#### **H&S in the working environment**

health and safety for the set of conditions under which the work is performed

Note 1 to the term: This can also include the circumstances of stakeholders.

Note 2 to the term: Conditions can include physical, social, psychological and environmental factors.

Note 3 to the term: Performing work must be interpreted broadly. Depending on the situation, it can also be about design and use.

## **4 Effective date and transition period**

From 1 January 2024, audits can be conducted on the basis of SCL 2.0 in accordance with the arrangements in this scheme.

2024 serves as a transition year during which certification or recertification can take place on the basis of SCL 2.0 and on the basis of the previous edition of SCL.

From 1 January 2025, certification or recertification can only take place on the basis of SCL 2.0. Follow-up audits can still be conducted on the previous edition of the SCL. If a switch to SCL 2.0 is made during the term of the certificate, an initial audit must be conducted on SCL 2.0.

From 1 January 2028, only certificates issued based on SCL 2.0 (or later editions) will be valid.

## 5 The Safety Culture Ladder

### 5.1 General

The Safety Culture Ladder is based on the culture ladder as features in the model of Parker et al. (Figure 1). The model assumes that the safety culture in a company is in a certain phase of maturity. The model recognises five culture levels or 'steps'. Each step represents the development phase the company is in relating to health and safety.

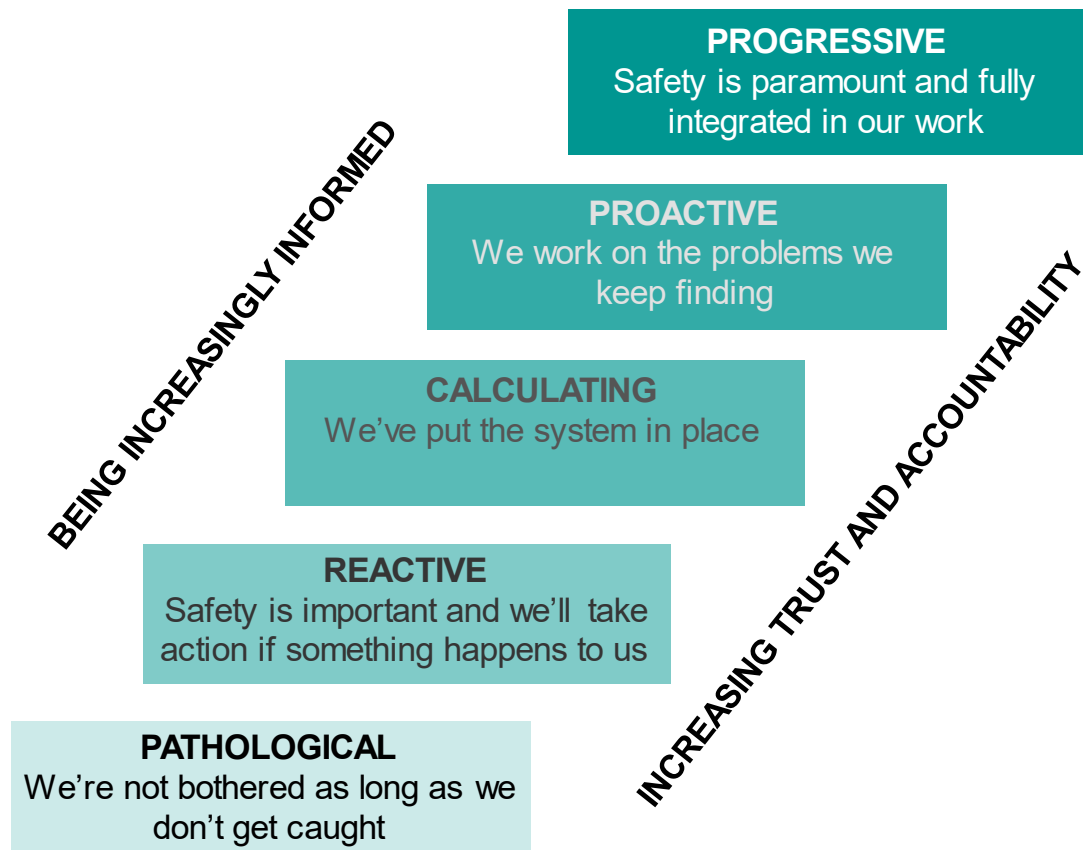


Figure 1 — The five steps of the Safety Culture Ladder

### 5.2 Descriptions of each step

The five steps of the SCL are outlined below.

#### Step 1: Pathological

The organisation does not see the point of working safely or more safely. Attention to safety costs time and money. It's all about sales and profits. 'Accidents can always happen; you have very little control over that'. The organisation believes that it really knows what it is doing; after all, things have been going well for years.

### **Step 2: Reactive**

The company has a habit of changing only after something has gone wrong. Responses are based on ingrained patterns. People in the company feel like victims rather than responsible themselves. 'But that's hardly my fault, is it?' 'Incidents are caused by people, and they don't last long in our company.' Any change in behaviour is often ad-hoc and temporary.

### **Step 3: Calculating**

Safety is seen as added value; this is evident in what is said, written (policy/system) and done (commitment). Attention to H&S comes mainly from the board of directors, management and immediate supervisors towards the shop floor. Operators still feel limited responsibility for H&S. The H&S manager is often seen as the engine of daily H&S practice.

### **Step 4: Proactive**

Everyone in the organisation is aware of the importance of safety – for themselves, for colleagues, and for the employees of contractors and third parties. Everyone knows and acknowledges their share in and responsibility for H&S. Important safety information is shared and reported with each other top-down and bottom-up, both inside and outside the organisation itself. Mistakes are allowed; they're honestly admitted. Efforts are made to prevent recurrence. Initiative to work more safely is demonstrated.

### **Step 5: Progressive**

Safety has been fully integrated into the business processes. It is a regular part of reflection and evaluation within the organisation itself and with industry peers. Safety is ingrained in how all employees and contractors' employees think and act; they are not used to anything else.

## **5.3 Themes and sub-themes**

SCL 2.0, which forms the basis for the assessment, consists of five themes:

- policy and leadership;
- knowledge and skills;
- primary and secondary processes;
- cooperating with external parties;
- learning and improving.

Each theme has several sub-themes and is divided into 'preconditions' and 'behaviour'.

## **5.4 Other documents**

An explanatory document and a casebook are available in addition to the standards document and this scheme. The explanatory document and casebook are both informative documents.

The explanatory document contains general background information about the SCL and the thinking behind it. It also includes examples. This is a living document that continues to be supplemented based on the needs of SCL users. The explanatory document is published on the SCL website.

## **Certification scheme SCL 2.0**

The casebook is a document that provides guidance for auditors. It includes best practices related to assessment. These best practices have emerged from various sources, including harmonisation among certification bodies, and are intended as a tool to support unambiguous assessment. They are not meant to prescribe how the assessment must be done. The casebook is distributed to CBs and not published for the general public.

## **6 Relationship with safety management systems**

### **6.1 NEN-ISO 45001**

NEN-ISO 45001 specifies requirements for an occupational health and safety management system (OH&S) and provides guidance on its use, enabling organisations to provide healthy and safe workplaces by preventing work-related injuries and health problems and by proactively improving OH&S performance. This document applies to any organisation seeking to establish, implement and maintain a OH&S management system to improve working conditions, eliminate hazards and minimise OH&S risks (including system deficiencies), take advantage of OH&S opportunities and address deviations from the OH&S management system related to its operations.

### **6.2 VCA, VCU, VCO**

VCA stands for the Health, Safety and Environment Checklist for Contractors (in Dutch). This checklist assesses contractors on their policy and performance. The VCA thus focuses on the health and safety of employees and is not just meant to demonstrate compliance with the Working Conditions Act (*Arbowet*). It is primarily a programme designed to reduce accidents and increase safety .

Besides the checklist for contractors, there are also the Health and Safety Checklist for Temporary Employment Organisations (VCU in Dutch) and the Health, Safety and Environment Checklist for Clients (VCO in Dutch). The VCU is about managing the health and safety of assigned employees in cooperation with the hiring organisation(s). The VCO is for clients who want to create the right conditions so that parties performing high-risk work for them or on their premises can achieve optimum HSE performance. The VCO lays down requirements and details the leadership to be shown by the client in this situation. The starting point is that the client has an HSE management system that at least meets the requirements of the VCA.

### **6.3 Relationship between the SCL and safety management systems**

The above documents apply to all types of organisations. The documents all focus on managing and continuously improving quality and safety within the organisation through QHSE (quality, health, safety and environment) management systems. In recent years, it has become increasingly clear that in addition to having the right resources and systems, the human factor is essential, especially for safe performance of work in practice. This brings more attention to the 'soft' side of the QHSE management system, such as implicit healthy and safe working.

The Safety Culture Ladder is not a new standard for assessing an H&S-management system, but a standard to objectively measure attitudes and behaviour in the area of corporate health and safety. The Safety Culture Ladder aims to contribute to health and safety awareness in companies, thus promoting the healthy and safe performance of work and encouraging improvement in this area.

The Safety Culture Ladder thus complements how an organisation has set up its processes, whether or not through 'system standards' such as NEN-ISO 45001 and the VCA/VCU/VCO and current laws and regulations, such as the Working Conditions Act and sector guidelines.

## 7 Assessment arrangements

### 7.1 Competent certification bodies

Only CBs that have entered into a licensing agreement with NEN are entitled to perform certifications on the SCL. At least the following conditions apply to enter into a licensing agreement with NEN:

- The CB is accredited by the Dutch Council for Accreditation (RvA) or by a member of the International Accreditation Forum (IAF) in accordance with NEN-EN-ISO/IEC 17021-1.
- The CB is accredited by the RvA for VCA and management systems such as ISO 9001, ISO 14001 or ISO 45001.
- The CB undertakes to perform the assessment in accordance with the requirements of this scheme.
- Each CB states in advance which new or existing auditors will be used for the assessment, including competency files, demonstrating that the auditor is competent for assessment.
- The CB spends sufficient time educating and training auditors in the Safety Culture Ladder principles and associated certification standard/scheme. The education/training must be documented as part of the competency file.
- Personnel who have been involved in management system consultancy at the company to be certified or who have been employed by the company to be certified in the two-year period before the certification activities cannot be used for Safety Culture Ladder audits. Auditors may have conducted ISO, VCA or BTR audits at that company;

NOTE: BTR stands for Sector-Focused Explanation on Rail Infrastructure (in Dutch).

NEN may always suspend or cancel the licensing agreement if the above conditions are not met. The CBs authorised by NEN to carry out Safety Culture Ladder certification are registered at [www.safetycultureladder.com](http://www.safetycultureladder.com).

### 7.2 Competent lead auditor/auditor and assessor

The CB only assigns staff with the right qualifications, i.e.

- the lead auditor/auditor(s). The lead auditor/auditor is responsible for conducting the certification audit, assessing the results, audit reporting, recommending certification, and conducting the annual follow-up audit and reassessment. The lead auditor (team leader) does the audit preparation and manages the audit process. The lead auditor does the introduction and completion of the certification assessment. The lead auditor and auditor reach an opinion together;
- the assessors. The assessor is responsible for making decisions about issuing and reissuing a certificate.

The qualified lead auditor / auditor and assessor work for a CB that has been declared competent by NEN. The lead auditor/auditor and assessor can be hired, provided they are demonstrably qualified for audits on the Safety Culture Ladder.

Only lead auditors/auditors who have been authorised by NEN can do SCL assessments. NEN will authorise them if they meet the qualification requirements listed in Appendix B and their attendance has been successfully completed. Every new auditor starts auditing up to and including level 3.

## **Certification scheme SCL 2.0**

To be authorised to also audit at step 4/5, the lead auditor/auditor must meet satisfy additional conditions: the lead auditor/auditor must have sufficient experience of auditing on the SCL and have followed an extra training course (the masterclass for step 4/5). Before they are assigned at this level, an additional authorisation is issued.

Appendix B details the qualification requirements for auditors, lead auditors and assessors against which NEN tests them for the purpose of the authorisation.

### **7.3 SCL assessment requirements**

#### **7.3.1 Conducting audits**

The following conditions apply:

- For each audit, the CB prepares an audit plan. At a minimum, this plan sets out:
  - the design of the assessment (including scope of the audit);
  - the organisational boundaries (department, company or legal structure, relevant establishments);
  - the number of workers;
  - the step that will be assessed;
  - the SCL product name;
  - the initial audit or follow-up audit;
  - the number of man-days;
  - the composition of the audit team and the division of its duties;
  - programme assessment;
  - the report/account.
- An SCL assessment is conducted by a team of two auditors, one of whom is a qualified lead auditor. Auditors do not necessarily have to work at the same CB. An alternating audit team may be used, provided there is a good handover between the auditors.
- Four methods are used when conducting the SCL assessment (see Table 1).

**Table 1 – SCL assessment methods**

Method	Objective
Self-assessment by the company	Self-assessment on quality requirements and criteria, safety awareness and conscious safe behaviour.
CB self-assessment analysis	Analysing actual data from the party being assessed on the application of conscious safe behaviour.
Interviews by the CB	Verification of factual data, self-qualification and actual implementation of quality criteria.
Observations and working visit by the CB	Observation of application and enforcement of conscious safe behaviour and conduct in the work environment and its meaning for the organisation.

- Interviews are chosen to cover all layers of the organisation (from high to low) with a focus on operational employees. In addition, the interviews are chosen so that their results, together with what is observed in the working environment, are verifiable in other interviews.
- Besides interviews of individuals, projects in progress are also visited. All work awarded by clients to the companies to be assessed can be assessed, provided they are representative in number and type (large, small, complex, simple, standard, unique, and so forth). At least one work or project visit takes place. An assessment based solely on a desk review is insufficient and is therefore not acceptable.
 

Note: If an audit is conducted at a business service provider where no project can be visited or the visit does not add value, this rule can be deviated from with justification. However, it is preferable to always visit a project.
- The scope of the audit includes all employees performing work under the company’s responsibility.
 

Note: If work (reflecting the scope of the certificate) is performed by subcontractors, subcontractors and their projects must be part of the audit. Subcontractors can also be addressed and observed during the visit.
- The number of interviews to be held and work locations to be visited is explained in the man-day table (see Table 2).
- The assessment is performed based on interviews, observations, monitoring and verifications.
- The assessment ends with an audit report. This report presents the conclusions of the assessment (step). A copy of this audit report remains with the CB and must be able to be produced at NEN’s request.
- Each certification audit must be completed within 13 weeks (one quarter) after commencement. Phase 1 of the audit is regarded as the starting moment. The certification audit is completed once the certificate or statement has been issued. It is not possible to change the CB during this period. If a certification audit cannot be completed within the period of 13 weeks, the audit will be invalid and no valid certificate or statement can be issued. If a company still wants to be validly certified, it will have to undergo another full certification audit. The company is free to choose the CB at that time.
- If substantial changes occur during the certification audit (reorganisations, etc.) that make the original scope of the audit no longer representative, the certification audit must be discontinued.

## **Certification scheme SCL 2.0**

For the company to receive a valid certificate or statement based on the new/changed scope, another full certification audit will have to be scheduled. The company is also free to choose the CB at that time.

- If a started audit cannot be fully completed because of circumstances and actions of the assessed company, it must then be completed within a period of three months from the start of the audit.

### **7.3.2 Group interviews**

Group interviews are allowed in an SCL audit under the following conditions:

- the quality of group interviews must be at least equal to the quality of individual interviews;
- group interviews must supplement individual interviews; group interviews must not be conducted alone;
- group interviews must not affect the total audit time;
- the audit report must include the names of all group interview participants;
- the group to be interviewed must not exceed ten people (a maximum of three people may participate remotely in hybrid meetings);
- in a group interview, auditors must ensure that all those present at the interview are actually involved and ensure that dissenting opinions can be expressed and also heard;
- the presence of a supervisor at a group or other interview is at the audit team's discretion;
- group interviews can be used for all SCL audits involving an audit team (i.e. not for the Approved Self-Assessment (see 8.4) and not for assessing the action plan).

### **7.3.3 Phase 1 and phase 2 examination**

#### **7.3.3.1 Phase 1**

An SCL audit consists of a phase 1 and a phase 2 examination. The primary purpose of the phase 1 examination is to check/determine the following:

- the presence of a self-assessment;
- defining the scope;
- verifying and confirming company details, such as the company name, Chamber of Commerce extract, number of operating companies, branch offices and number of employees;
- preparing an audit plan.

Second, the purpose of the examination is to get to know the organisation and its activities and to check with the organisation whether the expectations regarding the step to be achieved are realistic. Additional documents may be requested to enable thorough audit planning (e.g. safety/culture programme, internal audit result, management review).

Phase 1 of the certification assessment applies to an initial certification audit and applies to SCL Original, SCL and SCL Light.



Phase 1 may be conducted by one auditor; this is at the team leader’s (lead auditor’s) discretion. If the Phase 1 examination is conducted by one auditor, this is always the team leader of the audit team. The team leader is responsible for sharing the information obtained with the other auditor(s) from the audit team.

**7.3.3.2 Phase 2**

Phase 2 concerns the certification assessment of the health and safety perception in practice and the assessment of the five themes.

To ensure objectivity, phase 2 of the certification assessment is conducted by a team of two auditors, consisting of a lead auditor and an auditor. The lead auditor (team leader) does the audit preparation and manages the audit process. The lead auditor handles the introduction and completion of the certification assessment. The lead auditor and auditor form a joint opinion.

**7.4 Certification man-days table**

As a time commitment for certification, Table 2 applies for the minimum number of man-days. The highest legal entity under certification is regarded as the establishment; the accompanying or underlying legal entities are regarded as branch offices.

Table 2 shows the certification examination **for step 2** of the SCL, which consists of phases 1 and 2.

**Table 2 – Man-days table**

Number of workers	Audit term in man-days	Number of workers	Audit term in man-days
5-65	See Table 3	1,176-1,550	13
		1,551-2,025	14
		2,026-2,675	15
66-125	6	2,676-3,450	16
126-175	7	3,451-4,350	17
176-275	8	4,351-5,450	18
276-425	9	5,451-6,800	19
426-625	10	6,801-8,500	20
626-875	11	8,501-10,700	21
876-1,175	12	> 10,700	The above progression follows in accordance with the last step (+ 500 people) 10,700 people (+ 2,200) 13,400 people (+ 2,700) 16,600 people (+ 3,200)

## Certification scheme SCL 2.0

The following provisions accompany Table 2:

- The time spent on the certification assessment in man-days increases by a factor indicated below for each subsequent step:
  - step 3, factor 1.5;
  - step 4, factor 2.0;
  - step 5, factor 2.5.
- The calculation of the number of man-days for an SCL follow-up audit (year 2 and 3) and an SCL Light audit (year 1) is 40% of a full certification audit, with a minimum of two man-days for step 2 and three man-days from step 3.
- The audit term in man-days is rounded up to half-days.

For companies with 5 to 65 people working for them (both own staff and hired staff), Table 3 applies. The table provides a breakdown for the audit term in man-days for each step and audit scope.

**Table 3 – Man-days table for small organisations**

Number of workers	Audit	Step 2	Step 3	Step 4	Step 5
		Audit term in man days	Audit term in man days	Audit term in man days	Audit term in man days
5–10	40%	2	3	3	3
	100 %	2	3	4	5
11–25	40%	2	3	3	3
	100%	3	4	5	6
26–35	40 %	2	3	3	3
	100 %	3	5	6	8
36–50	40%	2	3	3	4
	100%	4	6	8	10
51–65	40%	2	3	4	5
	100%	5	8	10	13

### Conditions applicable to Table 2 and 3:

- an audit is conducted separately from certification for NEN-ISO 45001, VCA, etc.;
- reduction opportunities from MD documents (e.g. but not exclusively MD1, MD5, MD11 and MD22) do not apply to time allocation and audits for the Safety Culture Ladder;

NOTE: MD stands for Mandatory Documents.

— when auditing two BVs (private limited companies) with one board of directors/management, combining interviews with the board of directors/management is allowed under the following conditions:

- the board of directors/management must consist of the same people;
- the BVs, including with regard to H&S, are managed by the same people;
- there must demonstrably be one policy for both BVs.

If these conditions are met, then the board of directors/management can be included in the calculation of the number of man-days in one of the two audits. However, the minimum number of man-days applies to both audits;

- if an organisation wishes to be certified on two different steps for different business units, two separate audits will need to be performed. In cases where specific groups, such as management, need to be audited twice, the selection of persons to be audited can be set up so that the same person cannot be interviewed twice. Furthermore, overlap is the consequence of the organisation's choice to have two audit paths. No discount is given on the number of man-days;
- The SCL products (see Chapter 8) apply to companies with a minimum of five people working. People working are defined as the sum of own staff plus hired staff;
- The total number of people working refers to those of the establishment and relevant branch offices (pertaining to the scope of the certification assessment). The number of people working is the sum of the company's own staff plus hired staff, and the auditors decide which people will be interviewed. In determining the number of people working in terms of hiring/borrowing, the number of employees assigned on average on a one-year basis is considered. The minimum number of people to be interviewed is  $0.6\sqrt{M}$  for the board of directors, management, advisory staff, etc., and  $1,2\sqrt{M}$  for operational employees. M equals the total number of people working. A 40% audit involves talking to at least 40% of the required number of people interviewed.
- if the company has N projects simultaneously in progress on average per year, at least  $0.6\sqrt{N}$  projects will be visited and tested during the audit, with the auditors deciding which projects to visit. The total number of projects refers to the number of projects from all establishments and branch offices. The projects to be visited should be divided equally between the establishment and branch offices to be visited. In a 40% audit, at least 40% of the required number of projects to be visited are visited. At least one project must always be visited.

### Branch offices

Branch offices can be visited on a sample basis according to Table 4. In this table (X) represents the total number of branch offices and  $(\sqrt{x})$  represents the minimum number of branch offices to be visited. The choice of branch offices should consider:

- a good reflection of the commissioned work;
- the safety risks and related attitudes and behaviour;
- as representative as possible picture of the establishment as a whole.

**Table 4 – Visit of branch offices**

(X)	(√x)
2 < 6	2
6 < 12	3
12 < 20	4
20 < 30	5
30 < 42	6
37 ... etc.	

If an operating company/branch office falls under the scope of the certificate, it can be added to the certificate provided that the follow-up audit includes the entire audit process of the operating company/branch office (separate from the overall organisation). If the achieved step is equal to that of the overall organisation, the operating company/branch office can then be included in the audit process of the overall organisation.

## 7.5 Unannounced working visits

An unannounced working visit is intended to additionally establish whether an organisation is meeting the requirements of the Safety Culture Ladder in its daily practice 'at any point in time'. An unannounced working visit takes place from step 4 onwards during the certification audit. The certification body offers to schedule an unannounced working visit when offering a step 3 audit. In the case of a step 3 audit, the client decides whether this should be included.

The following conditions apply:

- For step 4 and 5, at least one unannounced working visit takes place during each audit. In an initial audit, the unannounced working visit is carried out during the phase 2 audit. For small organisations (with ten or fewer people working), the unannounced working visit takes no more than half a day.
- The client provides a list of ongoing projects during the scheduled audit days to the auditor.
- The auditor agrees when this list must be delivered with the client.
- The auditor chooses a project to be visited from this list and informs the client on the same day which project will be visited.
- The unannounced working visit is scheduled in the audit plan (without the name of the project).
- The results of the unannounced working visit form part of the relevant audit report (not a specific or separate report).
- The unannounced working visit is part of the number of man-days for the overall assessment.

An unannounced working visit consists mainly of observations, but sometimes also discussions.

Observations are designed to assess whether safety-conscious work is being done. It is possible to engage with staff, if necessary. The aim here is not to have detailed discussions, but to have a short conversation to gain a better sense of – or background to – the displayed behaviour. These conversations are preferably held during breaks or before or after work.

How these unannounced working visits take place depends on the type of organisation. In general, the following principles apply:

- implementing organisation: observe work on the construction or other site;
- service organisation: observe operations and hold brief discussions at construction sites (if applicable), observe employees at the office (going around and talking to employees) and attend sessions/meetings.

The aim here is to observe employees in their natural working habitats as much as possible.

**Exceptions:**

If it is impossible to carry out an unannounced working visit (e.g. for an offshore audit), dispensation can be requested from NEN. The application must be submitted with proper substantiation before the audit.

## **7.6 Language requirement for SCL audits**

### **7.6.1 SCL audits outside the Netherlands**

The starting point is that the audit is conducted in the country's official language or the company's working language. Certifying bodies wishing to conduct SCL audits outside the Netherlands must train local SCL auditors in the country concerned. The audit team must have at least one native speaker. The second auditor must have a demonstrable command of the language at B2 level.

The following is permitted to start in a 'new' country:

- For the first three clients or the first 20 audit days in two years for each certification body in a country in which no significant SCL activities are yet being developed, an SCL audit can be conducted with SCL auditors who do not speak the country's official language/the company's working language accompanied by an interpreter. The audit team must then always include a S4/S5 auditor.
- If there is one SCL-trained auditor on the team who is a native speaker, an interpreter **MUST** still be involved for the auditor who does not speak the relevant language. If an auditor is not a native speaker, but has sufficient command of the language, this must be at demonstrable B2 level (also see Appendix B).
- A certification body pursuing certification activities in a country has a best-efforts obligation to actively develop the market in that country, together with the scheme manager, other certification bodies and other stakeholders.
- A broad committee determines for each country whether and how SCL activities will be further developed in a 'new' country. Certification bodies already carrying out activities in the new country are obliged to participate in this committee.

## **Certification scheme SCL 2.0**

### **7.6.2 Language requirements for offshore audits and audits of internationally oriented organisations**

For audits where the company's working language is English (offshore audits and audits at internationally oriented organisations), it is sufficient that both auditors have English language competence based on a B2-level language test.

English as a working language here means that all employees who come under the scope of the audit communicate in English. If employees who do not communicate in English are interviewed, an interpreter must be used.

### **7.6.3 Language requirements for audits at a Dutch company where most employees are not proficient in Dutch**

An SCL audit at a Dutch company where most employees are not proficient in Dutch can be conducted by Dutch SCL auditors using an interpreter. If employees are of multiple nationalities (and speak different languages), the largest group of non-native speakers is identified and interviewees are chosen from this group. The interviews take place with an official interpreter. During follow-up audits in years 2 and 3, another group of non-native speakers can be interviewed (if this group is representative). Under no circumstances must discussions be held with the foreman alone. The foreman may not act as an interpreter.

## **7.7 Specific assessment arrangements**

### **7.7.1 Certifying a project**

The following additional requirements apply if a project is involved. For example, the construction of rail infrastructure from A to B for a three-year period.

#### **Certificate and scope**

The scope is the determining factor for the certificate and must be consistent with the activities being assessed. A certificate is issued for each scope. This means that several certificates can be issued/valid for one project. These certificates can have different steps. It is indicated in the scope which phase or phases apply. A phase can be 'engineering' or 'execution', for example. If the scope contains multiple phases, these phases must be active at the time of the audit. A phase can consist of several sub-activities. The sub-activities don't all have to be active during the audit. Project certification also applies to a project in a one company.

#### **Time spent on an audit**

The time spent on the audit is related to the scope.

#### **Validity of certificate**

The certificate is valid until the end of the project or until the end of the project phase. If the project or project phase lasts longer than one year, the monitoring activities are carried out in accordance with the arrangements in Chapter 8. If the auditor has doubts during the follow-up audit (e.g. whether the previously determined level still applies to the SCL), the standard arrangements as set out in Chapter 8 apply.

### **7.7.2 Certifying a department**

Certifying part of a company relates to a certain distinctive activity that a company performs. In larger companies, such a component is named as a business unit or equivalent or even placed in a separate legal entity. The smallest possible 'certification unit' is a department.

### 7.7.3 Certifying an offshore company

If activities that take place offshore fall within the scope of the assessment, additional arrangements apply that are included in Appendix A.

## 7.8 Assessment method

### 7.8.1 General

SCL 2.0 consists of five themes. The themes are divided into sub-themes that contain descriptions of what you encounter at an organisation, each matching a particular step of the SCL.

The descriptions have been divided into 'preconditions' and 'behaviour'.

The descriptions under 'preconditions' say something about what an organisation must have set up and organised in relation to H&S. These are like 'preconditions' that an organisation organises so that every employee knows what to do. Consider the organisation around H&S, the availability of resources and clear tasks, and the responsibilities and authorities relating to H&S. These conditions can be part of a management system, although such a system is not mandatory. Nor does an organisation need to have anything on paper about this. If this is useful for the organisation, it is obviously allowed, but it is not compulsory.

Behaviour describes how the organisation and its employees deal with certain issues in the organisation on a certain step, and what is visible and audible.

Each theme is assessed. This involves a separate assessment of the 'preconditions' (P) and 'behaviour' (B). Since assessing culture is mainly about the effectiveness of the efforts and tools being implemented, the behaviour assessment has a heavier weighting.

NOTE 1: As an auditor, how you deal with a description in the standard if it does not apply to a specific company?

It is audited 'in the spirit of the standard', which means looking at the intent of the description. An example of this is how the term contractor (such as contractors/subcontractors) is viewed.

NOTE 2: Which stakeholders being certified across the organisation can be identified as contractors?

These are not just the 'real' contracting firms, but all parties that perform – and therefore contract for – work in the broadest sense. These parties have a direct or indirect impact on security. Examples, besides the aforementioned contracting firms, include organisations that provide catering in the office, the painting company that paints its own office building or a wholesale or logistics company that drives onto the property to supply products.

### 7.8.2 Green, red and orange rating

The assessment includes green, red and orange ratings.

A green rating shows that a theme is assessed as satisfactory.

A theme is assessed as satisfactory (green) if the auditors feel that the characteristics of that theme are largely met. This does not require full compliance with the characteristics of a theme on a particular step because behaviour cannot be determined 100%. There will always be people who exhibit different behaviour. This is about the most common behaviour patterns, habits, unwritten rules, and so on – the overall picture.

A red rating shows that a theme is assessed as insufficient.

## Certification scheme SCL 2.0

An orange rating shows that the organisation partially meets the descriptions associated with a theme **and** that the organisation is making efforts to achieve a satisfactory (green) rating.

### 7.8.3 Steps are not cumulative

Each theme contains descriptions appropriate to the level of a particular step. Behaviour at a higher step generally looks different from what is described at lower steps. For example: at step 1, H&S is not a topic of discussion and receives no attention; at step 5, everyone continuously talks to each other so as to improve H&S.

The higher the step, the more parties are also involved: first mainly just the board of directors, then the management, the immediate supervisor and finally the employees. The higher the step, the more the employees themselves take the initiative to work healthily and safely and the more responsibility they take for this purpose.

An organisation is assessed on the descriptions (column of descriptions) of the step being audited. The assessment is based on the image matching the highest step. The underlying steps are not 'coloured green' in the process.

If the description of a particular step is not appropriate for the organisation, the description of higher or lower steps is considered.

For example, if a company wants to be certified for step 3, the descriptions of step 3 are considered. If a requirement is not met, the descriptions of the underlying steps are considered. Based on the results of this assessment, a certificate appropriate to the lower step is issued to the organisation.

However, an organisation might not comply with the descriptions of Step 3, but it could score higher for a particular theme. The auditor then checks at which level the organisation is at for this theme: step 4 or step 5. This is recorded in the report so that the organisation gets a clear picture of how it is performing in this area and whether any growth potential exists to progress to a higher step.

A company has at least step 1 of the SCL if it has a completed assessment and an ambition to continue progressing on the Safety Culture Ladder.

The fact that one or more themes are at a higher level than the level at which the audit was requested/initiated does **not** result in the award of a higher step.



7.8.4 Detailed assessment examples

Table 5 – Example 1: the organisation is assessed at step 4 but awarded step 3

Themes	Step 1		Step 2		Step 3		Step 4		Step 5	
	P	B	P	B	P	B	P	B	P	B
1							Green	Green	Grey	Grey
2					Green	Green	Yellow	Red	Grey	Grey
3							Green	Green	Grey	Grey
4							Green	Green	Grey	Grey
5							Green	Green	Grey	Grey
<b>Final assessment</b>	This organisation will not receive a S4 certificate because all B themes have not been assessed as satisfactory. The organisation will receive a T3-certificate.									

Table 6 – Example 2: the organisation is assessed at step 4 and awarded step 4

Themes	Step 1		Step 2		Step 3		Step 4		Step 5	
	P	B	P	B	P	B	P	B	P	B
1							Green	Green	Grey	Grey
2							Yellow	Green	Grey	Grey
3							Green	Green	Grey	Grey
4							Green	Green	Grey	Grey
5							Green	Green	Green	Green
<b>Final assessment</b>	This organisation will receive a S4 certificate. Although one theme does not yet score as satisfactory, the organisation shows that it already partially complies and is making efforts to achieve a satisfactory assessment. On B, all themes score as satisfactory, with the assessment of one theme at S5 level. The auditor will mention this in the report.									

## **Certification scheme SCL 2.0**

### **7.8.5 Ability to 'go open' into audits up to step 3**

If the organisation to be certified so wishes, it can choose to 'go open' into the audit. In this case, a particular step is not chosen in advance, but the auditor sees where the organisation ends up.

This option is offered up to step 3.

The anchor point in this audit is step 3. For this audit, the man-days associated with step 3 apply.

The outcome of the assessment can be step 1, step 2 or step 3.

### **7.8.6 No audit possible at step 1**

Step 1 contains many descriptions of matters that the organisation has not yet arranged. The descriptions show that certain desired health and safety behaviour is not yet in place. An audit therefore cannot be conducted on this step.

However, it is possible to issue a certificate at step 1 as the outcome of an audit at a higher step.

### **7.8.7 Assessment at the initial audit or recertification**

The initial audit refers to the first certification that takes place in year 1. Recertification takes place in year 4, 7, and so on. For initial certification and recertification:

- all themes are assessed on P and B;
- when assessing P, at least four out of five themes must be rated 'satisfactory' (green). The theme that does not have a green score must score orange for a positive assessment. A red rating means the step has not been met;
- when assessing B, all themes must be rated 'satisfactory' (green).

## **7.9 Audit report**

### **7.9.1 General arrangements**

As a minimum, the audit report must set out the results of the Safety Culture Ladder requirements and state at which step on the ladder the audit took place. The names of interviewees are included in the audit report, with statements not being traceable to individuals. The company's inability to demonstrate or yet demonstrate compliance with the requirements is mentioned separately in the audit report. Each audit report must include a conclusion on the step on the Safety Culture Ladder as determined by the auditor. The audit result can only result in a positive report if the minimum requirements of the step have been met. If an audit report is positive, the conclusion states the step met and makes a recommendation to the CB to issue or change the step on the certificate.

The CB's certification decision is made on the basis of:

- a full audit report with positive conclusion on the achieved step and a recommendation for certification;
- generally required appendices such as a management statement on the activities and business entities, for contextualising; if possible with a copy of the legal organisational structure from the annual audit report;

— specifically required appendices such as the assessor's report of the audit report, the auditors' notes and findings, a substantiation for the auditors' assessment.

The CB provides the report to the company's board of directors within 15 business days of the last audit day. The audit report remains an integral part of the certificate to substantiate the step on the Safety Culture Ladder. The audit report is confidential and as a report per se, does not have the status to demonstrate compliance with the requirements of the Safety Culture Ladder to third parties.

NEN has no influence over the audit report and audit results. NEN also receives no reporting. NEN may see audit reports as a sample for CB/auditor assessment and if the audited party complains.

### **7.9.2 Accountability and substantiation of findings**

Proper accountability and substantiation to the client is essential in the Safety Culture Ladder assessment system. This is done in three steps:

- 1) an oral summary of the interview is given after each interview;
- 2) at the end of each audit day, oral feedback is given at a somewhat more abstract level about the entire audit to that point. This is not a preliminary conclusion. This prevents the assessment from happening only at the end of the audit and leaving a client with unpleasant surprises;
- 3) the presentation and preliminary final assessment of the audit are given at the end of the entire audit process, as agreed with the client.

Before the report is provided to the client, it is first reviewed internally at the CB.

### **7.9.3 Reporting requirements**

Besides accountability and substantiation, proper reporting is essential. The five themes with their sub-themes are assessed during the audit. The audit team identifies strengths and areas for improvement based on this. By summarising these strengths and areas for improvement, the organisation obtains an idea of its position within a step, and thus the potential for growth within each theme.

The auditors do not give advice but present their findings in the report: what did the auditor observe? This description contains no value judgements and no opinions.

The report must not be traceable to an individual. Personal matters must not be part of the reporting.

A general picture of the culture encountered in the organisation is presented first. This also includes a final assessment with the announcement of the step.

The substantiation for this final assessment is then provided by theme as follows:

- For each theme, reports are written for the individual sub-themes, stating what is good and what could be improved. A final conclusion with substantiation is also provided for each theme .
- A final conclusion with substantiation is provided for each theme. A rating is shown for each theme (on preconditions and behaviour): green, orange, red. P and B are assessed in conjunction with each other.

## Certification scheme SCL 2.0

- The summary by theme must be culture-oriented. If the auditor has spotted something unusual, they must mention it, adding what they think it means for the culture. If the auditor encounters aspects that have a direct relationship with elements described under 'preconditions', these must also be mentioned. When assessing 'preconditions', the relationship to and consequence for the culture is established. The overall picture with regard to the theme is the guiding principle here.
- The strengths and areas for improvement in the area of culture are reported on for the underlying sub-themes in each theme. The relationship to and the consequence for the culture is established for any observations about the preconditions.

Why the theme has received a particular rating must be traceable in the substantiation. In this way, the audit team takes responsibility for properly conducting the audit and its findings can also directly help the organisation move to a higher step.

The CB is free to use its own layout for this purpose.

### 7.10 Issuance of certificate and statement

The name of the certificate/statement reads: 'Safety Culture Ladder certificate or statement step N', where N can take the value 1, 2, 3, 4 or 5. A certificate or statement indicates the highest step attained and the date on which the certificate or statement was issued. Each certificate or statement is a unique document the size of an A4 page with a unique number. This number is provided by the CB. The CB issues the certificate or statement to the company.

If an SCL audit is conducted at a holding company with multiple establishments, one certificate is issued. The holding company is listed on the main certificate and the branch offices/operating companies are listed in the appendix.

At least the following information is mentioned on the certificate and statement:

- the legal name, address details with place of business and the Chamber of Commerce number of the business entity or entities covered by the Safety Culture Ladder certification; if a branch office has no Chamber of Commerce number, the main establishment's Chamber of Commerce number is used;
- the name of the CB as stated in the authorisation;
- the step attained (or indicative step in a statement) on the Safety Culture Ladder (steps 1, 2, 3, 4 or 5);
- the scope of the certificate/statement;
- the name and signature of the CB representative;
- a reference to the version number of the Safety Culture Ladder standard used (Safety Culture Ladder 2.0, stating the version date)
- the date of first issue and the date of change;
- the certificate/statement registration number issued by the CB. A certificate issued by a CB is submitted by that CB to NEN for publication in the certificates register.

### **7.11 Validity of certificate and statement**

A 'Safety Culture Ladder certificate or statement step N' issued by a CB is valid for three years, subject to an annual follow-up audit. From ten months to no later than twelve months after certification, a follow-up audit is necessary to maintain the validity of the original certificate or statement.

If a company believes it go higher up the ladder, it is free to request a new assessment from a CB. This cannot be done earlier than six months after obtaining the certificate. If a company does not meet – or no longer meets – the requirements, it may hold an additional audit within a thirteen-week period to demonstrate that the first audit contains a measurement error and that the requirement is met. The review then takes place specifically on the alleged 'incorrectly' assessed themes. The CB draws up an audit plan for this purpose.

If the second measurement also shows that the company does not meet – or no longer meets – the requirements, the company loses its certificate at step N and, based on the CB's recommendation, is certified for a lower step. Changing the CB or auditors within the thirteen-week period is not allowed. A company may change after that, provided that prior notice is given to NEN. A statement issued with the Approved Self Assessment product is also valid for three years.

A certificate/statement can be taken over by another CB under the conditions set out in IAF MD2 Mandatory Document for the Transfer of Accredited Certification of Management System. It is important that a proper handover takes place.

### **7.12 Trial audit**

If a company wishes to experience what a Safety Culture Ladder audit entails but does not yet want to have a real 'certification' done, it is possible to 'test' on a limited scale whether certain topics meet the requirements and to gain experience with a Safety Culture Ladder audit. The trial audit is limited in scope and does not lead to the issue of a score, certificate or statement. The scope is set at 40% of a full certification audit, with a minimum of one and a half man-days per auditor (a total of three man-days). The board of directors, management and operational employees are assessed and a project is visited at a minimum. A trial audit is always carried out at step 3 level. The CB may not state whether a step has been achieved.

## 8 Safety Culture Ladder products

### 8.1 General

The following products are available for the Safety Culture Ladder (see Table 7).

**Table 7 – SCL products**

<b>Product</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>
<b>SCL Original</b>  <i>applicable up to level 5</i>	100% audit — SCL Original certificate; — valid for three years with a step indication; — free choice of self-assessment; — man-days according to Table 2 or 3; — two auditors.	100% audit — retention of certificate; — free choice of self-assessment; — man-days according to Table 2 or 3; — two auditors.	100% audit — retention of certificate; — free choice of self-assessment; — man-days according to Table 2 or 3; — two auditors.
<b>SCL</b>  <i>applicable up to level 4</i>	100% audit — SCL certificate valid for three years with a step indication; — free choice of self-assessment; — man-days according to Table 2 or 3; — two auditors.	Follow-up audit 40% — retention of certificate; — free choice of self-assessment; — man-day table 40%; — two auditors.	Follow-up audit 40% — retention of certificate; — free choice of self-assessment; — man-day table 40% — two auditors.
<b>SCL Light</b>  <i>applicable up to level 3</i>	SCL Light audit 40% — statement is valid for three years with a step indication; — man-day table 40%; — SAQ; — assessment gap analysis and action plan; — two auditors.	Check on action plan — retention of statement; — one man-day; — one auditor.	Check on action plan — retention of statement; — one man-day; — one auditor.

Product	Year 1	Year 2	Year 3
<b>Approved</b>  <b>Self</b>  <b>Assessment</b>  <i>no step indication</i>	Review of self-assessment — declaration by CB valid for three years without mention of step; — SAQ; — assessment gap analysis and action plan; — one man-day; — one auditor;	Check on action plan — retention of statement; — 0.5 man-days, — one auditor.	Check on action plan — retention of statement; — 0.5 man-days, — one auditor.
<sup>a</sup> one day as time spent includes the time needed to travel from one location to the next and excludes commuting travel time.			

The sections below set out the arrangements applicable to the assessment of individual SCL products.

## 8.2 SCL Original

For the SCL Original, the CB assesses the health and safety culture through an audit as described in Chapter 7. A 100% audit is conducted in year 1 and in years 2 and 3. The SCL Original certificate is valid for three years if the same step is attained in years 2 and 3. If the same step is not attained, the issued certificate will no longer be valid. A step increase or scope extension is possible in year 2 or year 3. In that case, a new certificate will be issued in that year and will be valid for a period of three years. It is possible to switch from SCL Original to SCL in year 2. In that case, a new SCL certificate will be issued with a remaining period of two years. The SCL Original applies to all steps.

### Assessment requirements:

All themes are assessed on P (preconditions) and B (behaviour).

When assessing P, at least four out of five themes must be rated 'satisfactory' (green). The theme that does not have a green score for R must score orange for a positive assessment. A red rating means the step has not been attained.

When assessing B, all themes must be rated 'satisfactory' (green).

The starting point for SCL Original is continuing to meet the assessment requirements. This may involve the same theme continuing to score orange or another theme scoring orange for P.

If the company no longer meets the assessment requirements, but it is clear from the audit results that a lower step has been attained, a new certificate can be issued for a lower step.

## Certification scheme SCL 2.0

### 8.3 SCL

#### 8.3.1 General

For the SCL, the CB assesses the health and safety culture as described in Chapter 7. A 100% audit is conducted at the initial audit or recertification. The SCL certificate is valid for three years, with an assessment carried out in the two intervening years by means of a 40% audit. All themes are assessed in each audit. The SCL applies up to step 4.

#### 8.3.2 Year 1

The audit in the first year is a full certification audit (100%), as described in Chapter 7.

#### 8.3.3 Years 2 and 3

The follow-up audit in years 2 and 3 meets the following conditions:

- In terms of scope, the audit counts for at least 40% of a full certification audit as described in Table 2 or 3, with a minimum of two man-days for step 2 and three man-days as from step 3.
- All themes are assessed in each audit. 40% implies that the sample to be taken is set at 40% for employees to be interviewed.
- The results are recorded in a report including a summary.
- At least the board, management and executives must be assessed during the audit.
- At least one work or project visit takes place.
- A scope extension or step increase in year 2 or 3 is viewed as an 'initial certification'. In that case, a 100% audit must be performed. A new certificate is issued that is valid for three years.

#### **Assessment requirements:**

All themes are assessed on P (preconditions) and B (behaviour).

When assessing P, at least four out of five themes must be rated 'satisfactory' (green). The theme that does not have a green score for R must score orange for a positive assessment. A red rating means the step has not been attained.

When assessing B, all themes must be rated 'satisfactory' (green).

The starting point for the follow-up audits is continuing to meet the assessment requirements. This may involve, for example, the same theme continuing to score orange for P or another theme scoring orange for P.

If an auditor is unable to confirm that the assessment requirements are met in the follow-up audit in year 2 or year 3, a 100% audit must be conducted within three months. 100% means that the remaining 60% of the audit is carried out.

If this audit shows that the company no longer meets the requirements, but it is clear from the audit results that a lower step has been achieved, a new certificate can be issued on a lower step.



## 8.4 SCL Light

### 8.4.1 General

In the SCL Light, the CB indicates the health and safety culture, gap analysis and action plan. The initial audit or recertification is 40% of a full certification audit as described in Chapter 7. As no full assessment of culture is performed, a 'SCL Light statement' is issued (in case of a good result) instead of a certificate. The SCL Light statement has a step indication and is valid for three years, with an assessment taking place in the two intervening years to check if the action plan has been implemented according to plan. The SCL Light applies up to step 3.

### 8.4.2 Year 1

The SCL Light audit in year 1 meets the following requirements:

- The CB assesses the SAQ, the gap analysis and the action plan drawn up by (or on behalf of) the organisation concerned.
- to conduct the self-assessment, the SAQ is mandatory. The SAQ is available from NEN (<https://www.webtoolscl.nl/en/>). This instrument is then linked to the online file, in which the reports can be uploaded.

#### Gap analysis

A gap analysis is a method to make a comparison between an existing and a desired situation. In this case, the results from the SAQ are compared with the step the organisation aims to obtain.

The gap analysis is drawn up by (or on behalf of) the organisation concerned in year 1 and again in year 4. The CB assesses this gap analysis before issuing an SCL Light statement. Assessment means: checking whether it contains the minimum information.

The gap analysis contains at least the following information:

- the date/period in which the SAQ was carried out;
- the outcomes of the self-assessment;
- the identification of what is below the desired level;
- an analysis of the existing versus desired situation;
- an overview of necessary measures to get from the existing to the desired situation. Here, the CB assesses whether measures have been formulated that match the 'gaps'. The CB does assess whether the measures have been formulated specifically and measurably and whether they are related to the identified 'gaps', but the CB does not substantively assess their effectiveness.

#### The action plan

The action plan is drawn up by (or on behalf of) the organisation concerned. The action plan sets out for the coming years which actions will be carried out in practice to implement the necessary measures identified in the gap analysis. This involves setting up a step-by-step plan for each measure from the gap analysis to get from the existing to the desired situation.

## **Certification scheme SCL 2.0**

The step-by-step plan consists of at least:

- a description of specific actions and the intended result;
- a detailed schedule with deadlines for each action;
- the names and positions of the action holders.

It allows for priorities to be set and for specific actions to be put on the agenda for the following years. The action plan also contains a description of how the implementation of the actions is monitored and how they are adjusted if necessary. If applicable, the action plan also contains an overview of the actions and results of the previous years.

### **The 40% audit**

In terms of scope, the audit counts for at least 40% of a full certification audit as described in Table 2 or 3, with a minimum of two man-days at step 2 and three man-days as from step 3.

- All themes are assessed. 40% implies that the sample to be taken is set at 40% for employees to be interviewed.
- The results are recorded in a report including a summary.
- At least the board, management and executives must be assessed during the audit.
- At least one work or project visit takes place. The auditor chooses the location. Considerations for determining the location are its representativeness (within the scope of the audit), the scope of the audit, the risks, and previous experiences at the client (in the context of the SCL).
- The audit does not result in a certificate being issued, it merely provides a statement indicating that the step has been indicatively attained.
- A scope extension or step increase in year 2 or 3 is viewed as an 'initial certification'. In this case, a 40% audit has to be performed. A new statement with a step indication is issued and valid for three years.

### **Assessment requirements**

All themes are assessed on P (preconditions) and B (behaviour).

When assessing P, at least four out of five themes must be rated 'satisfactory' (green). The theme that does not have a green score must score orange for a positive assessment. A red rating means the step has not been attained.

When assessing B (behaviour), all themes must be rated 'satisfactory' (green).  
A step is not issued, only a step indication.

### **8.4.3 Years 2 and 3: assessment of action plan**

The action plan is assessed in years 2 and 3.

The purpose of this assessment is not to check whether the issued step indication is still correct. But it is more than just a documentary assessment by means of the check on the action plan. It also includes a site visit in which observations are made and interviews are conducted.

Through the check on the action plan and the site visit, it is assessed whether the intended progress has been made or not, or if hardly any progress has been made at all. If the findings indicate that the intended progress has not been made, another year -1 assessment will again take place in year 2 (40% audit). An element of this is that the auditor will request an analysis of why the intended progress has not been made and how this will be prevented in the future. From year 4, the normal cycle starts again (40% audit – check on action plan – check on action plan).

#### **8.4.4 Switching from SCL Light statement to SCL certificate**

If an organisation has an SCL Light statement and wishes to obtain an SCL certificate, an additional 60% audit suffices provided that the following conditions are met:

- the additional 60% audit is conducted within the three-month period of the initial 40% audit (i.e. this refers to the 40% audit for attaining the SCL Light statement);
- there have been no significant scope or organisational changes at the organisation;
- there has been no step increase.

The new certificate shows the date of issue of the new certificate.

### **8.5 Approved Self Assessment (ASA)**

#### **8.5.1 General**

The Approved Self Assessment consists of a self assessment, a gap analysis and an action plan.

The Approved Self Assessment (ASA) is an assessment in which no decision is made about the step. The Approved Self Assessment is an independent confirmation which reasonably establishes that the self-assessment, gap analysis and action plan have been properly conducted and prepared.

It must be clear to all parties that a CB in no way analyses or checks the level of the safety culture in an ASA. The auditor merely checks whether the organisation has carried out the self-assessment in accordance with the arrangements. This may only lead to the following statement: ‘The auditor has established that the Approved Self Assessment has been carried out in accordance with the applicable NEN regulations.’

#### **Self-assessment and gap analysis**

The SAQ, which is available from NEN (<https://www.webtoolscl.nl/en>) must be used for the self assessment. The self assessment is an evaluation of an organisation’s safety culture, carried out by the organisation itself. This instrument is then linked to the online file, in which the reports can be uploaded. These reports show how an organisation assesses itself in terms of attitude and behaviour on a particular theme.

The results of the SAQ are used as input for the gap analysis, which is in turn used to compare the existing situation of the safety culture with the desired situation.

The gap analysis is drawn up by (or on behalf of) the organisation concerned in year 1 and again in year 4. The CB then assesses the gap analysis. Assessment means checking the presence and verifying whether it contains the minimum information.

## **Certification scheme SCL 2.0**

The gap analysis contains at least the following information:

- the date/period in which the SAQ was carried out;
- the outcomes of the self-assessment;
- the identification of what is below the desired level;
- an analysis of the existing versus desired situation;

### **The action plan**

The action plan is drawn up by (or on behalf of) the organisation concerned. It sets out for the coming years which actions will be carried out in practice to implement the necessary measures identified in the gap analysis. This involves setting up a step-by-step plan for each measure from the gap analysis to get from the existing to the desired situation.

The step-by-step plan consists of at least:

- a description of specific actions and the intended result;
- a detailed schedule with deadlines for each action;
- the names and positions of the action holders.

It allows for priorities to be set and for specific actions to be put on the agenda for the following years. The action plan also contains a description of how the implementation of the actions is monitored and how they are adjusted if necessary. If applicable, the action plan also contains an overview of the actions and results of the previous years.

### **8.5.2 Year 1**

The audit day consists of the following parts:

- the preparation;
- the examination (performed on site);
- the reporting.

#### **Preparation**

The auditor receives (is given access to):

- self-assessment – a substantiation of the results;
- the organisation's gap analysis – a substantiation of the results;
- the plan of approach/action plan – detailing the areas for improvement to be worked on in the coming period, with responsibilities and a time frame.

Based on the documents received, the auditor prepares a day plan (see Table 8).

#### **Examination**

The auditor conducts an on-site examination. The auditor determines the location. This could be an office visit or a project visit. Project-related scope always requires a project visit. The auditor observes

passively ('what stands out?'). The examination consists of a documentary examination and interviews aimed at determining the following matters:

- cross-checks to see whether there is a logical connection between the provided answers;
- identification of the bottlenecks and main issues for which the organisation gives itself a noticeably low or noticeably high score or declares them not applicable. A required field has been included in SAQ to substantiate 'n/a' answers. If the substantiation is unfounded on too many occasions, the examination can be stopped;
- whether the SAQ has been completed by a sufficient number of respondents from all layers of the organisation to arrive at a reliable outcome. The calculation tool from the SAQ indicates the number of respondents needed for a realistic picture; the calculation tool is mandatory for the SAQ;
- how has the organisation followed up the outcomes of the various respondents: have they been discussed? What were the follow-up actions?
- any results from observations (issues the auditor has passively observed).

The auditor also receives relevant information regarding safety performance, including:

- information on the trend of incidents spanning several years, how the company has dealt with them and what it has learned from them;
- information on serious incidents (incidents involving absence from work, permanent injuries and fatalities) in the past year, including a brief description of how the company has dealt with them and what has been learned from them;
- information on sanctions relating to undesirable H&S behaviour and the assessment of desired H&S behaviour within the organisation in the past year;
- the leadership and exemplary behaviour of the management.

The auditor assesses the action plan, which consists of:

- a phased schedule of when to take which action;
- a step-by-step plan for each measure from the gap analysis to move from the existing to the desired situation, consisting of at least:
  - a description of specific actions and intended results, as well as resources that will be used for this purpose;
  - a detailed schedule with deadlines for each action;
  - the motivation if choosing not to implement an action (yet);
  - appointment of action holders (names and positions);
- a description for each measure of how the result of the actions is quantified;
- an overview of all implemented measures and actions and measurement of the lasting result.

**Table 8 – Sample day plan**

Activity	People
Welcoming the auditor Getting acquainted Interview with the board of directors	Board of directors, supervision
Assessing the self-assessment: — attempting to decipher the outcomes of the self-assessment; — assessing the gap analysis, checking on action plan with supporting documents.	Board of directors, supervision
On-site: document examination and interview(s) with employee(s) from the organisation. The action plan is also discussed. The auditor determines the location.	Employees(s), supervision
Lunch	
Preparing feedback Preparing feedback internal review at own discretion	Auditor
Giving feedback on findings	Board of directors, supervision

**Reporting**

The report is limited to issuing Approved Self Assessment statement and a report containing the people who were spoken to, the location that was visited and positive and negative findings. The statement mentions the scope.

**Technical Review**

A technical review is not required for an Approved Self Assessment.

**8.5.3 Year 2 and year 3**

A check on the action plan is carried out in years 2 and 3. As this is a desk review, no site visit is required. It looks at whether the intended progress has been made fully, partially, or not at all. If it is found that the intended progress has not been made, another year -1 assessment will take place in year 2 or 3. An element of this is that the auditor will request an analysis that explains why the intended progress has not been made and how this will be prevented in the future. From year 4, the normal cycle starts again

## 9 Quality assurance and supervision of certification bodies

### 9.1 General

The basic principle for certification of the Safety Culture Ladder (SCL) is that there is justified confidence on the part of the stakeholders that the assessment by the certification body is carried out in a uniform, reliable and independent manner.

NEN uses a number of instruments at various levels of the governance model to promote this method of assessment. These instruments are shown in the next table (Table 9).

**Table 9 – Instruments of the governance model**

<b>GOVERNANCE MODEL</b>	MANAGEMENT/ORGANISATION	Stakeholder representation Complaints procedure	<b>CONTROL MEASURES</b>
	CERTIFICATION DOCUMENTS	Interpretation documents CoE decisions Version management	
	CERTIFICATION BODY	Harmonisation consultation NEN-EN-ISO/IEC 17021 accreditation Incident administration Office visits	
	AUDITOR	Auditor training Authorisations Shadowing days Attendances	
	AUDIT	Audit plans checks (random)	

### 9.2 Attendance

‘Attendance’ (see Table 9) refers to attending the audit team. By attending, NEN wants to get a picture of the competencies of the assigned audit teams and of the individual auditor(s).

Attendance additionally shows whether the auditors’ decision-making and assessment process is sufficiently harmonised between different CBs.

Attendance takes place at any auditor who wishes to be certified to audit SCL 2.0. The auditor receives a report on the findings during the attendance with any areas for improvement to be worked on.

If the attendance is successfully completed, the auditor is authorised. If the attendance is not successfully completed, a new attendance will take place within six months. If this attendance is not successfully completed, it will be concluded that the auditor concerned is not suitable to work as an SCL auditor and no authorisation will be issued.

## **Certification scheme SCL 2.0**

If the CB does not agree with the outcome of the attendance, an attendance can be carried out by an external agency (second opinion). The outcome of this attendance is binding. The costs of this attendance are payable by the party requesting the reassessment.

Attendances also take place for the supplementary authorisation at step 4/5. After this, a follow-up attendance takes place at least once every four years unless abnormalities are found during an attendance. If this happens, no additional attendance takes place.

NEN does not carry out the attendances itself; the attendances are carried out by independent and qualified attendees appointed by NEN for this purpose.

The CB notifies NEN of the date of the planned audit at least four weeks before the auditor (or a S4/5 authorised auditor) is assigned. NEN schedules the attendance and confirms the date to the CB. The attendee receives the audit plan no later than five business days before the day of attendance.

The organisation concerned cannot refuse an attendance. NEN may decide to replace the attendance at the company with a review at the CB. The attendee observes, meaning they do not interfere in the CB's audit process. However, this does not prevent the attendee from exchanging additional information, requesting additional clarifications and so on from the CB auditors at regular intervals. Note: these interventions can occur only outside the presence of the client (company). This means that the necessary time must be built into the audit schedule. The CB ensures that the presence and purpose of attendance, including the attendee's task/role, are clearly explained to the company in advance. NEN will treat all information provided during the attendance as confidential.

An attendance report is made of each attendance. The attendance report will focus solely on the main aspects (professional and harmonisation aspects). This attendance report can serve as input for improvement measures for the CB. Generally applicable observations will be discussed for harmonisation (anonymously) in the harmonisation meeting with the CBS' auditors.

## **10 Organisation**

### **10.1 Who manages the Safety Culture Ladder?**

As the managing body, NEN has established a Committee of Experts (CoE) in the Netherlands for which NEN provides project management and secretariat services.

The CoE in the Netherlands is the highest body of the SCL. Input from committees in other countries will be considered during the decision-making. The role of this Dutch CoE is transitional. Once a functioning international board of directors has been established, this role will form part of this international board.

The composition of the Safety Culture Ladder structure is as follows:

- The Committee of Experts (CoE) is primarily responsible for keeping the certification scheme up-to-date and acts as the contact for the certification bodies. The CoE is a representative board. This means that members have no personal interest, but represent the interest of the entire sector, industry and/or country. The CoE's composition was decided on the basis of a stakeholder analysis.
- The CB Harmonisation Platform consists of representatives of certification bodies (CBs) with which NEN has entered into a licensing agreement. The representatives must be involved in the certification process as lead auditors/auditors or as the individual that makes the certification decision (assessor). CBs assess companies partly on the basis of this harmonisation. The CBs may



submit assessment problems, possibly with the company concerned (as the CB's client), to NEN. If necessary, the scheme will be adjusted.

- Where necessary, working groups will be created whose members are technical experts put forward by clients, contractors and certification bodies. The CoE must agree to the composition of the working group. Working group members may come from the CoE.

## **10.2 Financing**

The Safety Culture Ladder is a market initiative. It is neither subsidised nor supported by government. The principle of the SCL is that all companies and organisations involved jointly finance the SCL and contribute proportionally to its costs. Among other things, these costs pay for the website, the help desk, continued development, guidance on initiatives, management of the scheme, administration, and so on. Working actively with the Safety Culture Ladder thus requires a modest contribution. The requested contributions will be kept as low as possible.

Contributing parties are all companies and organisations that actively use SCL as an instrument to:

- issue tenders;
- become self-certified;
- be active in business in other ways (such as consulting, training, research, certification).

In this way, the use of the Safety Culture Ladder should generate enough income to keep the SCL updated and applicable in the future.

A list of fees and rates can be found at [www.safetycultureladder.com](http://www.safetycultureladder.com).

## **10.3 Document/version management**

NEN bears the substantive responsibility for developing and managing the standard and the Safety Culture Ladder scheme. The Committee of Experts prepares, adopts and ratifies the versions.

Comments and/or remarks on the Safety Culture Ladder documents can be submitted to NEN through [info@safetycultureladder.com](mailto:info@safetycultureladder.com).

Current versions of the documentation are published at [www.safetycultureladder.com](http://www.safetycultureladder.com). All previous versions then cease to apply.

## **10.4 Complaints**

Complaints, comments and remarks relating to the underlying scheme or the relevant CB can be submitted in writing to NEN through [info@safetycultureladder.com](mailto:info@safetycultureladder.com).

## **Bijlage A** (normative)

### **Additional requirements for an offshore assessment**

#### **A.1 Scope of the assessment**

We speak of an offshore assessment if the scope of the assessment contains activities that take place offshore. This includes all maritime activities: at sea, in the port, at the quay and in the air. These activities relate, for example, to the work on the wind turbines offshore through to pulling and connecting the power cables onshore.

This relates to:

- the preparatory work (e.g. engineering and route selection);
- the work carried out by means of ships and/or helicopters;
- the work carried out on installations positioned at sea.

Other examples are offshore companies that pursue activities in the oil and gas industry. The definition means that if offshore assessment is involved, the high-risk preparatory activities at the quay/in the port must also be included.

If the activities or work only take place at the quay or in the port, this does not constitute offshore assessment and the term 'offshore' is not mentioned on the scope of the certificate.

Note: In the case of an assessment of the preparatory work, a similar project in progress will suffice.

#### **A.2 Point of attention: arrangement between certification body and client**

It is important that the certification body makes proper arrangements with the client in advance regarding the scope, the project locations to be audited (offshore / onshore), the specific conditions such as the required education and training of the auditors, and other details including extra costs or man-days.

#### **A.3 Interpretation for offshore assessment**

Table A.1 (right-hand column) describes the interpretation for the purpose of offshore assessment. The relevant texts from the cited sections of the manual are provided for information in the left-hand column.

**Table A.1 – Interpretation of offshore assessment**

SCL Certification Scheme 2.0	Interpretation for offshore assessment
<p>Appendix B Qualification requirements for auditors</p>	<p>The qualification requirement ‘Completed education at least at senior secondary vocational education (MBO) level relating to H&amp;S’ includes an equivalent diploma. The CoE assesses and determines the equivalence of a diploma.</p> <p>The following additional requirements apply to auditors who do assessments at an offshore site:</p> <p>The auditor who is assessing at an offshore location must have a valid NOGEPA 0.5A basic Offshore Safety or OPITO BOSIET certificate.</p> <p>The auditor has undergone a standard medical examination with a positive result.</p> <p>In consultation with the client and depending on the elected project visit, the following additions apply:</p> <ul style="list-style-type: none"> <li>— additional safety training;</li> <li>— a valid certificate for a completed NOGEPA, OPITO or GWO training programme;</li> <li>— a shoulder width measurement.</li> </ul> <p>‘NOGEPA’ stands for: Certified NOGEPA training for offshore North Sea area.</p> <p>‘OPITO’ stands for: Certified trainings for worldwide offshore installations, approved by OPITO.</p> <p>‘GWO’ stands for: Global Wind Organisation, training programme details are registered in WINDA.</p>
<p>SCL assessment requirements</p> <p>Performing an assessment involves at least one on-site working visit by the CB. An assessment based solely on a desk review is insufficient and is therefore not acceptable.</p> <p>The number of interviews to be held and working locations to be visited is explained in the man-day table (see Table 2 or 3).</p> <p>7.3.1 Conducting audits</p> <p>Each certification audit must be completed within thirteen weeks (one quarter) of commencement. Phase 1 of the audit is regarded as the starting moment. The certification audit is completed once the certificate has been issued. It is not possible to change the CB during this period. If a certification audit cannot be completed within thirteen weeks, the</p>	<p>Working visits must also be carried out in the event of an offshore assessment.</p> <p>If offshore activities fall within the scope of the certificate, performing a working visit at an onshore activity or a supporting activity does not suffice on its own.</p> <p>The location choice for the working visit must be related to the scope of the certificate. In other words, the total number of work locations visited must together cover the context of the scope. The CB may opt to substantiate why the project site it has visited adequately reflects other project locations.</p> <p><b>Offshore assessment in year 1</b></p> <p>An offshore project visit must be performed in year 1.</p> <p>If it is not possible to assess offshore in the first year, only those activities that have actually been assessed must be stated on the scope of the certificate.</p> <p>Note: For the calculation of the number of man-days, this means that if a scheduled offshore project visit cannot take place, the total audit time may be spread over three years.</p>

## Certification scheme SCL 2.0

SCL Certification Scheme 2.0	Interpretation for offshore assessment
<p>audit will be invalid and therefore no legally valid certificate can be issued.</p>	<p>However, any mention of the term offshore on the certificate can be made only in the year that the project has actually been assessed offshore. This is regarded as a postponed project visit, and only on the condition that offshore is part of the initial application.</p> <p><b>Offshore assessment in years 2 and 3</b>            If an offshore assessment has been carried out in year 1, assessing the offshore activities in years 2 and 3 is determined on the basis of risk analysis and the outcome of the year-1 offshore assessment.</p> <p>Note: If the risk analysis shows that the risks have been sufficiently covered, the requirement to perform offshore assessments in years 2 and 3 ceases to apply.</p> <p><b>Expansion of scope with offshore in year 2 or 3</b>            If an organisation wishes to expand the scope to include offshore activities in year 2 or 3, a full audit (100%) must be conducted.</p> <p><b>To summarise</b>            If offshore is part of the scope of the certificate:</p> <p>year 1: offshore assessment is an unconditional requirement;</p> <p>years 2 and 3: whether or not an offshore assessment is performed is determined on the basis of risk analysis and the outcome of the year-1 offshore assessment;</p> <p>Starting point for interpretation matters: the scope of the certificate is the guiding principle.</p> <p><b>Exceptions</b>            Exceptions can be submitted to NEN for evaluation. In such situations, NEN will consult with the client. Client means the client of the certificate, such as TenneT.</p> <p><b>Term for completion of audit</b>            A certification audit involving offshore activities must be completed within 26 weeks of commencement.</p> <p>During the offshore project visit, the auditor <i>passively</i> observes the activities. This means that the auditor does not enter the water with a diver or climb a mast.</p>

## Bijlage B (normative)

### Qualification requirements for auditors and assessors

#### B.1 Requirements as from step 1

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
At least higher vocational education (HBO+) intellectual and professional level (up to level 3).	A completed higher vocational education (+) training course or comparable through education or experience.	Diploma.  CV.  If not demonstrable by diploma or CV: assessment showing level.	Yes	Yes	-
Knowledge and understanding of managing health and safety risks.	Completed education at least at senior secondary vocational education (MBO) level related to H&S or comparable through training or experience.	Diploma (at least MVK or equivalent).  CV.	Yes	-	-
Qualification of lead auditor (team leader)	Completed Lead Assessor Course (LAC 17021).  Qualified for QMS/SMS.  If not qualified for QMS/SMS, qualification on the basis of 'qualified SCL-auditor' is also possible. This requires a minimum of fifteen days auditing on the SCL in the last two years.  Minimum three years of relevant work experience in H&S or behaviour and culture.	LAC diploma.  For QMS/SMS, must have NEN-EN-ISO/IEC 17021-related audit experience.  For SCL qualification: monitoring by CB/audit log.	Yes	-	-
Qualification for auditor	Internal or other audit course with demonstrated independent conduct of audits (this may include internal audits).  Minimum three years of relevant work experience in H&S or behaviour and culture.	Certificate for internal or other audit course.  Monitoring by CB/logbook.	-	Yes	-

## Certification scheme SCL 2.0

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
Familiarity with the principles and content of the Safety Culture Ladder.	Knowledge relating to: <ul style="list-style-type: none"> <li>— Safety Culture Ladder standard</li> <li>— Safety Culture Ladder certification scheme</li> <li>— Other supplementary Safety Culture Ladder documents.</li> </ul>	Attendance. CB assessments. CB review audit reports.	Yes	Yes	
Official two-day SCL-auditor training course	Attended demonstrable training course.	NEN participation certificate.	Yes	Yes	
Two shadowing days with audits.	Demonstrable two audit days shadowing an experienced SCL-auditor.  If shadowing days are not possible: alternative kick-off training in consultation with NEN.	Audit plan for audits.  Or: participation in kick-off training.	Yes	Yes	
Familiarity with health and safety risks in the area of application and country.	Auditor is familiar with health and safety risks in the area of application (rail, energy, housing, healthcare, and so on)  Auditor is familiar with best practices in the area of application.  Auditor is familiar with the culture of the country concerned.	Attendance. CB assessments. Review of audit reports. CV.			Yes

## B.2 Additional requirements as from step 4

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
SCL Masterclass 'What is 4/5 culture?'	Demonstrable attendance of Masterclass.	NEN diploma certificate.	Yes	Yes	-
Has extensive audit experience with the SCL.	The lead auditor has completed at least 25 days of step 3 auditing in the past year, conducted at a minimum of two companies.  The auditor has completed at least 15 days of step 3 auditing in the past year, conducted at a minimum of two companies	CB logbook	Yes	Yes	

### B.3 Skills

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
Experience with management systems.	Auditor knows the difference between management systems and the SCL, so that the SCL audit follows the SCL methodology and not a management system audit.	Two-day auditor training.	Yes	Yes	
Language skills suitable for communication at all levels within the client's organisation.	<p>Auditor is proficient in the working language (of the company) verbally and in writing (including on the shop floor).</p> <p>The minimum level of language proficiency is B2.</p> <p>Auditor can have a pleasant conversation (dialogue).</p>	<p>CV.</p> <p>Attendance.</p> <p>CB assessments.</p> <p>Review of audit reports.</p> <p>For non-native speakers: test by a recognised language institute.</p> <p>The audit team must have at least one native speaker.</p>	Yes	Yes	-
Knows the customs and practices in the country concerned or arrangements are made to supplement that within the audit team.	The lead auditor/auditor (or the hired external auditor) was born or raised in, or has at least two years of working experience in, the country concerned.	<p>CV (also from external).</p> <p>Attendance.</p> <p>CB assessments.</p> <p>Review of audit reports.</p>			Yes
Good reporting skills.	<p>Auditor can:</p> <ul style="list-style-type: none"> <li>— summarise and analyse well;</li> <li>— clearly report areas for attention and improvement;</li> <li>— substantiate the assessment given;</li> <li>— report broadly (what I found based on culture);</li> <li>— produce a concise and smoothly written report;</li> <li>— distinguish between main and secondary issues and identify the main message;</li> <li>— active writing, without passive voice and knows how to captivate the reader.</li> </ul>	<p>Attendance.</p> <p>CB assessment/ statement.</p>	Yes	Yes	

## Certification scheme SCL 2.0

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
Convincing presentation.	Auditor can present themselves well, present the results of an audit fully and well and can motivate/explain the results.	Attendance. CB assessment/ statement.	Yes	Yes	

### B.4 Skills – Soft skills

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
Interview skills.	<p>Auditor:</p> <ul style="list-style-type: none"> <li>— can apply good and different questioning techniques, eventually uncovering the required information (follow-through questions);</li> <li>— can listen, summarise and persist with their questions;</li> <li>— can observe well, is sharp and alert;</li> <li>— puts the client first during the audit, let's the client talk, can keep quiet;</li> <li>— can recognise a difference in attitude and behaviour;</li> <li>— is able to recognise the different levels of attitude and behaviour;</li> <li>— reads a situation well and makes the right assessment;</li> <li>— recognises non-verbal behaviour and body language;</li> <li>— is analytical and can adopt quickly (responding to responses, criss-crossing the scheme, and so on);</li> <li>— can make connections between an interview and observations/monitoring;</li> <li>— is neutral, has no bias, is not impressionable;</li> <li>— is good at asking open-ended questions.</li> </ul>	<p>Attendance.</p> <p>CB assessment/statement.</p> <p>Assessment.</p>	Yes	Yes	



## B.5 Personal qualities

Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
Social/communicative.	Auditor: — can put the audit subject at ease and help them feel relaxed; — can communicate pleasantly and effectively.	Attendance. CB assessment/statement. Assessment.	Yes	Yes	
Diplomatic/tactful.	Auditor: — has tactful agility; — can goad or confront the audit subject.	Attendance. CB assessment/statement. Assessment.	Yes	Yes	
Calm, dependable personality.	Auditor: — is not chaotic and does not appear tense; — can put people at ease.	Attendance. CB assessment/statement. Assessment.	Yes	Yes	
Attentive/interested.	Auditor: — takes time for the audit subject; — allows the audit subject to talk and listens attentively.	Attendance. CB assessment/statement. Assessment.	Yes	Yes	

## B.6 Retained qualification

As from step:	Requirement	Criteria	Assessment	Lead auditor	Auditor	Team
1	Participation in annual NEN harmonisation day.	Mandatory attendance at auditors' day.	NEN attendance registration.	Yes	Yes	-
1 to 3	Regular audits.	At least 20 days (including preparation and reporting, of which at least five days per year of on-site SCL audits were conducted in the past year.  On-site monitoring/review once every three years by an experienced SCL auditor to be appointed from the CB, in accordance with NEN-EN-ISO/IEC 17021.	Audit log (dispensation possible because of market conditions).			
4	Very regular audits.	A minimum of 35 days in two or three completed SCL audits over the past two years, of which a minimum of 10 days per year should be on-site, of which a minimum of 20 days should be at step 3.  Once every three years, on-site monitoring/review by an experienced SCL auditor to be appointed from the CB, according to NEN-EN-ISO/IEC 17021.	Audit logbook.  Reporting and monitoring/attendance by team leader.  For new CBs that have not yet conducted sufficient audits on the SCL, there will be a check to see whether at least two audits on step 3 have been conducted in the past 12 months.	Yes	Yes	-

## B.7 Qualification requirements for assessors

Requirement	Criteria	Assessment
<p>Has at least three years of proven experience as lead auditor for the SCL.</p>	<p>Has at least three years of proven experience as lead auditor for the SCL. The lead auditor must be qualified as a lead auditor for the step they must assess.</p> <p>For new CBs, the requirement of three years of demonstrable experience may not be met. Dispensation can then be requested from NEN for this purpose.</p>	<p>CB audit logbook.</p>

## **Bibliography**

NEN-ISO 45001, *Managementsystemen voor gezond en veilig werken – Eisen met richtlijnen voor gebruik (Management systems for health and safety at work – Requirements with guidelines for use)*

SSVV (Safety Cooperation Foundation), *Veiligheid, Gezondheid en Milieu Checklist Aannemers (Health, Safety and Environment Checklist for Contractors)*, April 2018.





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