

**CoE Safety Culture Ladder NEN**

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## Decision

### Additions to the Safety Culture Ladder (SCL) Manual for the purpose of the pilot project

TenneT decided in 2016 to start using the Safety Culture Ladder when cooperating with suppliers so as to have a tool for enhancing safety awareness in the supply chain. In the call for tenders and performance phases of the cooperation agreement, TenneT will specify the level of safety culture that the suppliers must attain.

Given the large variety of suppliers and activities, TenneT adopted the Safety Culture Ladder system, but amplified it by adding a number of 'products'. These products were discussed with the Committee of Stakeholders (CoS) and it was decided provisionally to approve TenneT's proposed additions to the Safety Culture Ladder system. In 2016-2017 the additions will be treated as a pilot project. TenneT will run the pilot project; an analysis and final evaluation will be supplied by TenneT in the second half of 2017 to the Committee of Experts (CoE) and the CoS and subsequently a decision will be made on whether and how to incorporate the additions in the manual.

This document contains the additional system requirements that will be imposed on suppliers that participate in the pilot project. The requirements will apply supplementary to and, where applicable, instead of the matters specified in the Safety Culture Ladder 4.0 Certification Schedule and the Safety Culture Ladder Manual 3.0.

### Additional products

Based on a risk classification and the scale of work to be performed, TenneT will specify for the contracting party a product (SAQ, SAQ + or SCL certification) and the step on the Safety Culture Ladder. This will be referred to as the required level.

### Self-Assessment Questionnaire (SAQ)

The Safety Culture Ladder manual refers to self-assessment/self-qualification (i.e. the SAQ) in the initial phase of the certification process. An SAQ may be in any form, but chapter 4.7 of the manual stipulates: *'Based on the current information, the company shall perform a self-assessment using the certification schedule of the Safety Culture Ladder'*.

Notwithstanding the contents of the manual, TenneT will also specify the SAQ as a stand-alone product and for that reasons wants to standardise the SAQ one-to-one with the certification schedule. Therefore, all LCIs will use the SAQ in this way in the audit plan, including for the existing certification process in conformity with the manual.

At year-end 2016, an SAQ will also be available on-line at the Netherlands Standardization Institute (NEN). The tool meets the requirements specified in the most recent certification schedule.

TenneT will use the SAQ for several purposes:

- as an SAQ (assessment questionnaire) within an SAQ+ (reference audit) or certification process;
- as an SAQ for a supplier of activities classified as medium risk. In this case, TenneT will request each year:
  - a summary of the SAQ;
  - a gap analysis and summary of the plan of action to attain the required level;
  - the results must be recorded in an SAQ statement (see annex 2) issued by an LCI, based on an audit in accordance with the worked time table (see annex 1). In the SAQ statement, the LCI will assess the presence and quality of the SAQ, gap analysis and plan of action. The statement must give TenneT an insight into the status of the suppliers safety culture, its ambition and a realistic plan of action for attaining the required level;
  - an SAQ statement will be valid for three years at most. In the two intermediate years, an assessment will be made of whether the plan of action is being carried out in accordance with the plan. The plan of action will in the first instance provide for attainment of the required level and subsequently attainment of the full score of the required level.
- SAQ statements and their validity will be recorded in the register on the Safety Culture Ladder website.

### **Experience Audit Team of TenneT (i.e. SAQ+)**

An experience audit, within the meaning of the manual, will be used by TenneT for several purposes as stated below.

- An experience audit in accordance with the manual will be performed in preparation for the full certification audit:
  - the scale of this audit has been set at 40% of a full certification audit;
  - it will assess at least the managing board, senior managers and operational workers and one work site will be visited;
  - the audit will be conducted as standard at step 3;
  - the audit will not result in the issue of a score or a certificate;
  - the LCI may not make any pronouncements about whether or not a step has been attained.
- Additionally, TenneT has specified an experience audit as a check on the safety culture of suppliers that perform for TenneT activities classified as medium or high risk (to a limited extent). TenneT has defined the experience audit as a separate product, notwithstanding the definition given in the manual:
  - the scale of this audit has been set as 40% of the scale of a full certification audit

- and at least two man-days per auditor;
- an experience audit must include at least the results (each for 25%) of:
  - leadership and commitment;
  - work environment and procedures;
  - irregularities and communication;
  - organisation and contractors/subcontractors.
- an alternative is to include the questions with a score of  $\geq 100$  points in an experience audit (accounting for more than 40% of the total number of requirements);
- an experience audit must take place at the required level;
- the results will be recorded in an experience statement (i.e. the summary of the report). In the experience statement, the LCI will assess the presence and quality of the safety culture, gap analysis and plan of action. The statement must give TenneT an insight into the status of the supplier's safety culture and a realistic plan of action for attaining the required level.
- an SAQ+ will be valid for three years. In the two intermediate years, an assessment will be made of whether the plan of action is being carried out in accordance with the plan. The plan of action will in the first instance provide for attaining the required level and subsequently for attaining the full score of the required level;
- experience statements and their validity will be recorded in a separate register intended for that purpose on the Safety Ladder website (clearly separated from the certification register).

Summarising, TenneT will use the experience audit as an interim audit (as part of formal certification) and as an end-product with an assessment in the form of an experience statement. The experience audit will be variable in terms of content, will be performed at the required level and like the experience audit at ProRail will be equal to 40% of the formal final certification.

### Insight into audit results

Supplementary to the matters specified in the manual, TenneT will ask suppliers to provide a copy of:

- the summary of the final results (of the formal certification, experience audit and/or SAQ);
- a summary of the plan of action with, as the final objective, the required level on the Safety Culture Ladder;
- the certificate, or the SAQ statement, or the experience statement.

TenneT reserves the right to attend audits at its suppliers either fully or partly.

The statements will be in the public domain, but the requested annexes will be viewable only by TenneT and the Netherlands Standardization Institute.

### Validity of certification

TenneT will specify the 'Safety Culture Ladder product' (certificate, SAQ or SAQ +) for each supplier, including the level on the Safety Culture Ladder. TenneT will accept a validity of three years<sup>1</sup> for a certificate and/or a statement:

- with annual interim audits of plans of action for SAQ and SAQ+;

<sup>1</sup> As the Safety Culture Ladder certificates are valid for one year, TenneT will in fact be accepting certificates that have expired by not more than two years, on condition that an annual experience audit is performed.

- with an annual interim experience audit for Safety Culture Ladder certification.

It is possible that the three-year cycle will be interrupted because:

- TenneT amends a requirement, possibly for the same or modified activities;
- a company fails to meet or ceases to meet the requirements (see manual, 5.9) and the requirements contained in this document.

In such cases, the rules will apply to the new requirements.

The validity of the Safety Culture Ladder certificate applied by TenneT means that, for other clients who use only the manual, the certificate not be valid in years 2 and 3 unless renewed.

## Annex 1 Time assessment table for TenneT extras

	year 1	year 2	year 3	year 4
SCL certificate	man-days manual table	experience audit  40% manual	experience audit  40% manual	man-days manual table
SAQ+ statement = experience audit	man-days manual table *40%	check on plan of action  0.5 man-day	check on plan of action  0.5 man-day	man-days manual table *40%
SAQ	1 man-day	check on plan of action  0.5 man-day	check on plan of action  0.5 man-day	1 man-day

Man-day means 2 auditors

## **Annex 2 SAQ statement**

In this SAQ statement, the LCI will assess the presence and quality of the SAQ, gap analysis and plan of action. The statement must give TenneT an insight into the status of the supplier's safety culture, its ambition and a realistic plan of action for attaining the required level.

## **Annex 3 Statement for experience audit**

In this experience statement, the LCI will assess the presence and quality of the safety culture, gap analysis and action plan. The statement must give TenneT an insight into the status of the organisation's safety culture.