



Safety Culture Ladder step 5 interpretation document

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SAFETY CULTURE LADDER

NEN

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1 Introduction

This document contains supplementation to the auditor guidelines in the Safety Culture Ladder 4.0 Certification Scheme. Instructions for step 5 assessment are therefore being refined. Requirements have not been adjusted or increased. Supplementation corresponds with the philosophy as summarised in the certification scheme and Safety Culture Ladder manual.

This interpretation document was motivated by signals received by the Safety Culture Ladder BoS combined with own ideas concerning the importance of forming a clear vision of the distinguishing qualities of step 5 organisations prior to issuing the initial step 5 certificate. The BoS stresses the importance of establishing an appropriate example with the first certification process. For this reason, step 5 audits are temporarily suspended until this vision can be developed further.

In this interpretation document, the auditor guidelines for step 5 are further elaborated and defined to ensure that the initial recipient of a step 5 certificate is an accurate reflection of the highest step on the Safety Culture Ladder.

Numbering of the requirements in section 3 corresponds to the numbering in the certification scheme. The right column contains the actual interpretation in the form of an elaboration of the criteria and supplementation of the auditor guidelines.

2 The Safety Culture Ladder

2.1 Supplemented Step 5 Description

Reliable, high-quality and safe practices and continued learning and improvement are central to the manner of thinking and acting within a step 5 (safety) culture: in unwritten rules and convictions and in patterns of thinking, acting, communication, interaction and learning. Safety is fully integrated into the business processes and is viewed as an inherent aspect of an organisation's performance; entirely equal to other aspects such as financial health, quality, timeliness, reliability. This is wholly self-evident, both within the organisation and in the interaction with the chain and sector to which the organisation belongs. Safety is not seen as an expense but rather as an opportunity to increase profitability or reduce costs.

Stimulation of a higher level of reliability is no longer the exclusive domain of management. Management has a primarily facilitative role in this. Employees personally accept their responsibility and encourage one another. Ongoing focus on safety and reliable performance is ingrained in the actions and thinking of all employees. Individuals are unconsciously skilled, in a manner of speaking. Collective leadership is also present in addition to individual leadership – within the management teams and within workplace teams alike. Individuals with the most substantive expertise concerning operational topics have an important say and even hold authority for decisions which facilitate safe operations.

The primary process is central, as part of management and department support alike. Their base attitude is: what does the primary process (of the own organisation in addition to that of

the clients and contractors) require in order to conduct business activities in a good, safe and reliable manner?

Prevention (management of known risks) is in good order yet individuals are aware that small, unexpected incidents can happen each day. The management of unexpected or even unknown events receives additional attention. The emphasis shifts from the investment in systems, regulations and procedures to the communal behaviour of individuals. For this reason, significant attention is given to the context within which negative situations can occur in addition to the prevention of known risks. There is a culture of collective awareness and alertness, one of chronic unease in the positive sense of the word. Attention is paid to minor discrepancies, miscommunication, irritations, errors. Weak signals are taken seriously, issues are resolved in the early stages. Individuals are accustomed to taking immediate action, here and now.

Rules, agreements and procedures are always functional or are adjusted to achieve functionality. There is a culture of 100% compliance, linked to a *questioning attitude*: an ongoing critical attitude toward routines and agreements formed.

Individuals are accustomed to asking questions directly to determine what is truly necessary and functional in terms of safety and reliability. Blindly applying rules is not appreciated, and neither are arrangements to bypass them. Deviation is permissible, but must be motivated and made explicit.

'Maximum trust' can be found within an organisation at step 5 of the Safety Culture Ladder and employees demonstrate 'maximum responsibility'. This can be recognised by the following brief, specific aspects:

- Safety is fully integrated in all business processes (including design, implementation and maintenance). It is a set component of reflection and evaluation within the organisation *and* with industry partners. Safety is ingrained into the thoughts and actions of all employees;
- All employees are future-focused. Risks are identified and assessed, and action is taken to respond to these issues. Employees also initiate these actions themselves and feel a sense of shared responsibility;
- Safety is not a discussion;
- Safety truly comes first;
- Safety culture is a selection mechanism for employees: *you work here safely, or you don't work here at all*;
- The business is used as an example within the industry by enforcement authorities. Inspectors no longer need to stop by, in a manner of speaking. The company holds an exemplary role within the sector;
- The company is considered a pioneer when it comes to resolving sector-specific challenges;
- Step 5 has an extensive scope: this broad scope reaches the external environment including suppliers, clients, competitors and interest groups. It extends past the company itself;
- The company conducts missionary work in the field of the Safety Culture Ladder;

- With its exemplary role, the company involves other businesses, provides insights, supports other organisations and convinces other companies of the importance of upholding the highest level of safety culture;
- The company has no secrets when it comes to safety: information concerning accidents, near accidents and solutions are shared within the sector;
- The business shares this information once this becomes possible without causing unnecessary damage to involved parties;
- Everyone within the organisation is involved in 'safety';
- The business is innovative in its manner of working in order to optimise safety;
- Safety is serious, but also *fun*;
- The company never settles for suboptimal situations in terms of safety: there is always room for improvement – from practical tricks to large technical innovations;
- The company is actively involved in sector-wide initiatives, is a frontrunner in the field of safety and is a proactive member within the sector;
- Organisation holds a prominent position within Platform or discussion bodies to eventually advance safety performance (own organisation and sector-wide);
- The company grants its employees maximum trust and maximum responsibility in terms of safety and encourages employees to embrace this;
- The company ensures that its employees, the sector and the chain are optimally informed of all aspects in terms of safety;
- The company involves relevant stakeholders in the search for improvements and solutions.

2.2 Terms and definitions

The following definitions form the foundation of this interpretation document;

Industry

Sector

Organisations which conduct the same business activities and have the same specialisations. The scope of an organisation, in terms of revenue, number of employees and number of sectors, does not play a role in this.

Chain partners

Businesses which are involved in the organisation's operation activities as direct or indirect subcontractors and which influence the organisation's Safety-relevant processes/activities. Clients are also considered chain partners.

Integrated H&S policy

An organisation's intentions and direction, as formally stated by its management team, with respect to the prevention of work-related injury and health issues for employees and the provision of safe and healthy working environments coherent with all aspects of the organisation.

H&S Plans

Plans for the prevention of work-related injury and health issues for employees and the provision of safe and healthy working environments.

Management

Manager

Management is defined as: an organisation's highest body which establishes policy and supervises its implementation. During an audit of a branch office, the audit is directed at the branch management. During an audit of a business group/organisation with multiple sectors, the audit is directed at head office management and branch management alike. Other applicable terms include the 'board', 'management team', 'managing board'.

Operational employees

All individuals who work within the scope of the organisation's activities. This includes individuals employed by the company either directly or indirectly as temps, self-employed personnel and other individuals contracted by the organisation.

3 Certification Scheme Supplementation

3.1 Company aspect 1: Leadership and involvement

1.1 Management interest

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Implementation of H&S policy	
T5-1.1.1	Requirement	The Board integrates its H&S policy with that of the sector.	
	Criterion	The Board integrates its H&S policy with that of all (in)directly involved parties with whom structural cooperation takes place.	Note H&S policy-making is an integral component of the organisation, also in collaboration with other organisations. The organisation works together with sector parties to integrate the organisation and industry H&S policies and continue to raise it to a higher level.
		Not [0]; Partly [80]; Largely [160]; Completely [200].	[Not] - [Partly] when H&S policy is developed together with all (in)directly involved industry partners. [Largely] when this policy is implemented. [Completely] when management also coordinates non-integrated policy with industry partners which regularly collaborate with the organisation.
	Auditor Guideline	Integration of H&S policy means that the sector jointly develops and implements policy. This can be supplemented with nonintegrated policy, which is then aligned with the sector parties with whom structural cooperation takes place.	LCA ladder assessment The auditor assesses this (also at project level) based on observations and discussions concerning the effect of the H&S policy on the company and within the sector. Aspects recorded in the general policy are reflected in all projects and discussions in practical implementation.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		H&S policy implementation	
T5-1.1.2	Requirement	The management plans H&S activities and projects together with sector parties.	
	Criterion	The executive management uses integrated H&S plans in projects.	Note Implementation of H&S policy is an integral component of the organisation, also in collaboration with other organisations. For this reason, the H&S project activities/plans/risks are planned and implemented together with sector parties.
		Not [0]; Partly [80]; Largely [160]; Completely [200].	[Not] - [Partly] when the implementational management uses integrated H&S plans in all projects. [Largely] when the integrated H&S plans are established collectively and are up to date at all times. Examples of current affairs can be listed. [Completely] when management discusses the integrated H&S plans, as well as the amendments to this based on current affairs, with all direct stakeholders.
	Auditor Guideline	Every project has integrated H&S plans (preparation and implementation) that cover the activities of all parties involved. The integral parts are drawn up in mutual consultation and are constantly updated. The integrated H&S plans, including the updates, are discussed with all parties directly involved. The auditor tests this on the basis of the number of visited projects.	LCA ladder assessment The auditor assesses this based on the number of projects visited. The statutory roles held by these individuals must be respected fully in this.

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Involvement during H&S consultation		
(T4-1.1.3)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

1.2 Employee involvement

Step 5 – Certification Scheme 4.0		Step 5 interpretation
		Communication concerning undesirable H&S behaviour
T5-1.2.3	Requirement	(Operational) Employees exchange experiences among themselves.
	Criterion	(Operational) Employees exchange learning points, knowledge and experiences (best practices).
		<p>Not [0]; Partly [60];</p> <p>Largely [120];</p> <p>Completely [150].</p>
	Auditor Guideline	The (operational) employees can submit examples of the work-transcending exchange of best practices between colleagues at the same level. The examples clearly show the handling of learning points and best practices.
		<p>Note (Operational) employees exchange learning points, knowledge and experience (best-practices) within the company. (Operational) employees are confident in their own capacity to increase safety within the organisation. They possess the required practical knowledge and insight of the work activities. They are also motivated by the campaigns and examples from management as well as the demand for a personal (substantive) contribution.</p> <p>[Not] - [Partly] when (operational) employees of equal level are able to provide an example of an exchange of best-practices extending beyond work activities. [Largely] when (operational) employees are able to discuss multiple examples of this. [Completely] when the examples clearly demonstrate how learning points and best-practices are integrated for improvement within the whole organisation and the sector.</p> <p>LCA ladder assessment During interviews, employees are asked to list examples of exchange and application of best-practices.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Discussion of undesirable H&S behaviour/situations	
T5-1.2.4	Requirement	(Operational) Employees personally evaluate H&S results and behaviour.	
	Criterion	(Operational) Employees personally evaluate the H&S (behavioural) aspects of the performed activities and report any problems or bottlenecks.	Note Employees feel that they collectively determine the level of safety. It is therefore customary for colleagues to hold each other accountable for unsafe behaviour/complement each other for proper conduct directly following (and where necessary/possible during work activities). Employees are knowledgeable of H&S aspects, see the value of safe working and are familiar with the risks of unsafe work. Discussion of H&S outcomes and behaviour is imbedded in the organisation culture.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when activities are evaluated following completion by operational employees. [Largely] when employees report any issues or challenges arising from the evaluations. [Completely] when employees report any issues or challenges arising from the evaluations and discuss these readily with one another. Employees can discuss matters with each other without compromising their working relationship. There is no difference in the manner in which matters are discussed between colleagues and with contractors. Solutions are presented and implemented in line with company planning.
	Auditor Guideline	The evaluation can be based, for example, on the risk assessment carried out shortly before commencement of the work and/or \at the end of the workday/work. The auditor can assess the effectiveness on the	LCA ladder assessment The auditor assesses the effectiveness based on discussions addressing the registered outcomes (examples, reports, action points, improvements, etc.)t or

		Discussion of undesirable H&S behaviour/situations	
		basis of the registered results (reports, action points, etc.) or other manner of assurance, as well as on the basis of interviews with persons involved in the selected projects.	another manner of assurance and based on interviews with stakeholders for selected projects.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Reporting and combating risks	
T5-1.2.5	Requirement	(Operational) Employees play an active role in H&S.	
	Criterion	(Operational) Employees have appointed colleagues in their own work environment as H&S contact.	<p>Note</p> <p>The intention is for (operational) employees to have active control over safety in the workplace. They communicate with each other and with management concerning practical H&S matters. A colleague (or colleagues) has/have been appointed as point of contact. In this way, emergent risks are resolved directly using the knowledge present. This is therefore not only relevant for the legally required H&S coordinators. What's important is that everyone is aware of the relevant point of contact for H&S matters. The standard does not dictate who the point of contact should be. This could be the H&S coordinator, for example. Active involvement of operational employees toward all relevant stakeholders in and outside of the organisation is clearly recognisable.</p>
		<p>Not [0]; Partly [60];</p> <p>Largely [120];</p> <p>Completely [150].</p>	<p>[Not] - [Partly] when employees have appointed colleagues as H&S points of contact. [Largely] when the H&S points of contact are always directly approachable for practical H&S matters. [Completely] when the H&S points of contact play a proactive role in the advancement of bottom-up and top-down communication and are facilitated by the</p>

		Reporting and combating risks	
			organisation by means of training/qualifications (communication) and are allotted additional time.
	Auditor Guideline	<p>This does not concern the H&S coordinators who are prescribed by law. The intention is that (operational) employees have appointed a direct colleague, who they can approach with practical H&S issues. These contacts, appointed from the pool of (operational) employees, play an active role in promoting communication both bottom-up and top-down.</p> <p>The auditor will during the work visits verify that these H&S contacts are present, whether (operational) employees can identify them and whether the communication process is effective. That requires the interviewing of both the (operational) employees and the contacts.</p>	<p>LCA ladder assessment</p> <p>During the work visits, the auditor verifies whether these H&S points of contact have been appointed, whether (operational) employees know who this is and whether the communication is effective. (Operational) employees as well as the points of contact are interviewed. These H&S points of contact are not managers who have been appointed by a colleague.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Evaluation of H&S behaviour	
(T4-1.2.7)	Requirement	Not defined, step 4 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

1.3 Performance reward

Step 5 – Certification Scheme 4.0			Step 5 interpretation
Sanctioning and rewarding of H&S achievements			
T5-1.3.6	Requirement	The Board fully integrates H&S in assessment and reward systems.	
	Criterion	The Board has integrated H&S in the assessment and reward system of the company. No distinction is made between own personnel and that of (sub)contractors.	Note The sanctioning of and remuneration for H&S achievements are an integral component of the organisation, also in collaboration with other organisations. For this reason, H&S forms a balanced component of performance measurements, salary development and personal goal setting of own (operational) employees and for the (employees of) (sub)contractors.
		<p>Not [0]; Partly [60];</p> <p>Largely [120];</p> <p>Completely [150].</p>	<p>[Not] - [Partly] when H&S is integrated into all assessment and remuneration systems at all levels within the organisation for own employees. [Largely] when management also uses the system for (employees of) (sub)contractors using the awarding of prizes and/or accolades. [Completely] when management also uses the system for (employees of) clients and suppliers using the awarding of prizes and/or accolades.</p>
	Auditor Guideline	Instead of a separate reward system, H&S forms a comprehensive element in performance measurements, salary development, personal objectives, etc. Comprehensive means: integrated in all assessment and reward systems at all levels of the company. H&S forms an integral part of the assessment and reward system, also for non-(operational) employees.	LCA ladder assessment The auditor assesses this during the interviews in the organisation and with clients and subcontractors at work locations based on questions concerning the assessment and remuneration systems. Examples are also requested.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		The rewarding of contractors, suppliers (company level) and their employees (individual level) is integrated in the reward system.	

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Exceptional H&S performance	
(T3-1.3.9)	Requirement	Not defined, step 3 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Sanctions in the event of behaviour violations	
(T3-1.3.10)	Requirement	Not defined, step 3 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

3.2 Company aspect 2: Policy and Strategy

2.4 Causes of accidents

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Ongoing improvement of H&S behaviour and awareness	
T5-2.4.7	Requirement	The Board continuously improves H&S awareness in cooperation with the sector.	
	Criterion	The Board stimulates and takes initiative to continuously measure and improve sector-wide programmes in the field of H&S awareness.	Note The ongoing improvement of H&S behaviour and awareness is an inseparable component of the organisation. For this reason, management stimulates H&S behaviour in collaboration with the sector via communal plans and programmes and/or proactively supports existing initiatives.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when management shares and discusses results from the monitoring programme with the sector. [Largely] when management participates in sector-wide programmes aimed at the ongoing measurement and improvement of H&S awareness. [Completely] when management takes initiative in the sector-wide programmes and stimulates other businesses to conduct improvement plans and evaluates/monitors these plans in terms of effectiveness.
	Auditor Guideline	The results of the own monitoring programme are shared and discussed with the sector in order to perform joint improvement plans.	LCA ladder assessment The auditor discusses the collaboration with the sector and with management and requests concrete examples of improvement plans and the method of monitoring these plans.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Active management of H&S behaviour	
T5-2.4.8	Requirement	The management has fully integrated H&S behavioural management at all levels of the organisation.	<p>Note</p> <p>The active management of H&S behaviour is an inseparable component of the organisation. For this reason, all management levels are actively involved in management of H&S behaviour. Top-down communication of rules and actions no longer applies, but H&S behaviour management is fully integrated in the daily activities and communication across all levels. Colleagues point out H&S behaviour to one another on a daily basis and communicate and resolve limitations for optimum H&S behaviour. Colleagues voice their observations without adverse effects to their professional relationships.</p>
	Criterion	All management levels of the organisation actively manage H&S behaviour.	
		<p>Not [0];</p> <p>Partly [40];</p> <p>Largely [80];</p> <p>Completely [100].</p>	<p>[Not] -</p> <p>[Partly] when H&S behaviour management is integrated in several of the daily activities and communication at all levels.</p> <p>[Largely] when H&S behaviour management is integrated into the majority of daily activities and communication at all levels.</p> <p>[Completely] when H&S behaviour management is integrated into all daily activities and communication at all levels.</p>
	Auditor Guideline	All levels of management are actively involved in the management of H&S behaviour. H&S behaviour is no longer the top-down communication of rules and actions, instead H&S behaviour management is fully integrated in the daily activities and communication at all levels. Challenging one another on H&S behaviour and the communicating and tackling of the	<p>LCA ladder assessment</p> <p>The auditor assesses this based on discussions with the management board, management, (operational) employees and employees of clients and subcontractors at the work locations.</p>

		Active management of H&S behaviour	
		restrictions to desired H&S behaviour takes place daily.	The charting of projects where safety was of the required level/ best practices which contributed to safety is also interesting to include.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Stimulating H&S awareness	
T5-2.4.9	Requirement	(Operational) Employees confront one another with undesired H&S behaviour.	
	Criterion	(Operational) Employees regularly confront one another, managers or other persons with high-risk behaviour and the failure to apply the correct control measures.	Note Stimulation of H&S awareness is second nature to employees in the organisation. For this reason, (operational) employees regularly hold each other, managers or other individuals accountable for hazardous behaviour and failure to apply the correct control measures. This includes individuals with the company or outside of it.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when management instils a feeling of responsibility for own safety and that of others among employees. [Largely] when the employees truly feel responsible. [Completely] when the majority of employees are able to handle accordingly based on this feeling of responsibility. Examples may be provided. Employees can confront each other in a way that does not damage the professional relationship.
	Auditor Guideline	This can concern both internal and external employees. (Operational) Employees assume responsibility for the safety of themselves and of their colleagues and are empowered to act accordingly. This is stimulated by the management.	LCA ladder assessment The auditor verifies whether (operational) employees regularly confront one another and others (such as individuals outside of the organisation) or are confronted by others. This includes discussions with (operational) employees and managers.

		Stimulating H&S awareness	
		The auditor will during the selected work visits verify whether (operational) employees regularly confront one another. For example, on the basis of interviews with (operational) employees and superiors.	

2.5 Profitability and continuity

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Requirement	Consideration of safety expenses
T5-2.5.10	Requirement	The Board systematically opts for the highest H&S level.
	Criterion	The Board prescribes measures regarding the highest H&S level and invests in improving the H&S level of working practices.
		<p>Not [0]; Partly [40];</p> <p>Largely [80];</p> <p>Completely [100].</p>
	Auditor Guideline	<p>The management continuously strives towards improving the highest level. The highest H&S level is recorded in best practices and/or sector agreements.</p> <p>The Board applies a documented approval process to cases that involve a deviation from the highest H&S level. Approval takes place on the basis of a thorough H&S risk analysis. If health and safety</p>
		<p>Note Working toward the highest H&S level is an integral component of the organisation. Management consistently works toward improving the highest achievable level and takes the occupational health strategy into consideration. This is demonstrated in measures from a high H&S level and investments in improving working methods. The management has determined the highest level of safety and its base characteristics and uses this as a foundation.</p> <p>[Not] - [Partly] when the highest H&S level is recorded in best practices and/or sector agreements. [Largely] when management applies an approval process for situations which deviate from the highest H&S level. Approval is based on a thorough H&S risk analysis. [Completely] when the work is not conducted if health and safety cannot be fully guaranteed according to the highest determined level.</p> <p>LCA ladder assessment The auditor assesses this based on examples and discussions with (operational) employees involved in the approval process concerning the approval process and best practices and/or sector agreements.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Consideration of safety expenses	
	cannot be guaranteed, the work will not be carried out.	

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	H&S investments	
T5-2.5.11	Requirement	The management integrally includes H&S in its operations.
	Criterion	The Board has integrated H&S in all primary operating processes.
		<p>Note Health and safety are an integral component of the organisation. For this reason, it is integrated into each of the organisation's processes. Wherever you look in the process and whoever you speak to, H&S is visibly present.</p>
		<p>Not [0]; Partly [40];</p> <p>Largely [80];</p> <p>Completely [100].</p>
		<p>[Not] - [Partly] when H&S is fully integrated into several business processes. [Largely] when H&S is fully integrated into the majority of business processes. [Completely] when management has integrated H&S in all business processes.</p>
	Auditor Guideline	H&S is fully integrated in all operational processes, from idea/plan, via budgeting/resources to performance and evaluation. Wherever you look in the process, whoever you talk to, H&S is always clearly present.
		<p>LCA ladder assessment The auditor assesses this based on discussions with management and (operational) employees who are involved in the various business processes.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Measures for H&S (budget) issues	
T5-2.5.12	Requirement	(Operational) Employees personally take measures to guarantee the highest H&S level.	
	Criterion	(Operational) Employees personally think about the correct measures and can take actions to guarantee the highest appropriate H&S level.	Note Taking measures during H&S issues is the norm within the organisation. For this reason, on the one hand, measures and procedures provide (operational) employees with opportunities to take H&S measures where necessary. On the other hand, (operational) employees are happy to take this opportunity. Safety departments can always be consulted for advice.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when procedures are available for (operational) employees so that they can independently take the correct measures if H&S is jeopardised. [Largely] when management also has position-, team-, project- or organisationally-linked H&S budgets for additional measures to guarantee this highest level of H&S. [Completely] when (operational) employees assume responsibility and have a mandate for H&S during implementation.
	Auditor Guideline	(Operational) Employees personally assume responsibility for H&S during the performance of work. Procedures are available for (operational) employees, enabling them to autonomously take the correct measures when H&S is under threat. The management has position or team-linked H&S budgets for additional necessary measures to guarantee H&S at the highest level.	LCA ladder assessment The auditor assesses this based on discussions with (operational) employees, including the budgets, practical examples of H&S interventions conducted and the relevant procedures.

3.3 Company aspect 3: Organisation and contractors

3.6 Contractors

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Integration of H&S systems	
T5-3.6.13	Requirement	The Board has integrated the own H&S management system with that of its strategic partners.	
	Criterion	The Board maintains a close, long-term relationship with its strategic partners, whereby H&S resources, knowledge and capacities have been integrated.	Note The H&S approach together with partners is a set component of the organisation's working method. For this reason, management has a close, long-term relationship with its strategic partners. These strategic partners have the objective of improving the H&S of all partners. A conscious level of mutual dependence exists. In dealings with and attitude toward one another, the rules of mutual trust and equality apply. Examples may be provided.
		No [0]; Yes [150].	[No] - [Yes] when management upholds a close, long-term relationship with its strategic partners in which H&S resources, knowledge and capacity are integrated.
	Auditor Guideline	The purpose of the strategic alliances is to improve the H&S of all partners. The parties are aware of their mutual interdependence. The relationship is based on mutual trust and equality.	LCA ladder assessment The auditor assesses this based on discussions with management and strategic partners. Employees of subcontractors/hired employees must be able to indicate that the relationship exists and what this entails.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
Selection and evaluation of contractors			
T5-3.6.14	Requirement	The management makes H&S improvement plans together with the sector.	
	Criterion	The management together with clients and contractors take measures aimed at improving H&S.	<p>Note Working toward better H&S behaviour and performance is ingrained in the organisation. Improvement is most often achieved with sector partners. This includes both sector partners as chain partners. For this reason, management, together with clients and contractors, takes initiative for improving H&S behaviour and performance alike.</p>
		<p>Not [0]; Partly [60];</p> <p>Largely [120]; Completely [150].</p>	<p>[Not] - [Partly] when management contributes to client and contractor initiatives for H&S improvement. [Largely] when management contributes to the planning phases of these initiatives. [Completely] when management takes multiple initiatives in the improvement plans within the sector.</p>
	Auditor Guideline	This concerns both H&S behaviour and H&S performance.	<p>LCA ladder assessment The auditor assesses this based on discussions with management and sector partners (in)directly involved at the work locations. The auditor also requests examples to demonstrate what has effectively been improved or changed.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
H&S formalisation			
T5-3.6.15	Requirement	The management has integrated its H&S management system with that of the sector.	
	Criterion	The management has integrated the activities of the most determinative clients and contractors in the own H&S management system.	<p>Note The H&S management system is an integral part of the organisation, also in collaboration with other</p>

		H&S formalisation	
			organisations. Sector refers to sector partners and chain partners alike. For this reason, management has integrated the activities of the most influential sector partners, clients and contractors into its own H&S management system. To determine who the 'most influential clients and contractors' are, the number, level and impact of the assignments are taken into consideration.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when management has integrated the activities of several clients into its own H&S management system. [Largely] when the activities of several contractors are also integrated. [Completely] when the activities of the most influential clients and contractors have been integrated.
	Auditor Guideline	Not defined	LCA ladder assessment The auditor assesses this based on the H&S management system whereby specific insight is requested into the manner in which the most influential clients and contractors were determined. He also uses information from discussions and observations and listed practical examples. This is demonstrable within all levels within the chain.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Supervision of H&S behaviour of contractors	
(T3-3.6.18)	Requirement	Not defined, step 3 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

3.7 Competence and training

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Requirement	Satisfying H&S qualifications
T5-3.7.16	Requirement	The Board has defined the competences for the management of desired H&S behaviour.
	Criterion	The Board has defined specific H&S competences for every position.
		<p>Not [0]; Partly [40];</p> <p>Largely [80];</p> <p>Completely [100].</p>
	Auditor Guideline	H&S competences comprise knowledge and skills in aspects such as organisation, communication, motivation, confronting of (operational) employees, management of desired H&S behaviour.
		<p>Note A high level of H&S competence is expected of all employees in the organisation. For this reason, management has recorded specific H&S qualifications for each position. H&S qualifications include knowledge and skill in aspects such as organisation, communication, motivation, confronting (operational) employees, and H&S behaviour as required by management. All of this also applies to improving the determined qualifications: qualifications must form an integral component together with H&S behaviour which must be trained and mentally developed.</p> <p>[Not] - [Partly] when management has specified distinct H&S qualifications for the most important positions and arranged procedures for improving these. [Largely] when distinct H&S qualifications have been specified for each position and procedures have been arranged for improving these. [Completely] when employees know the distinct H&S qualifications and employees are facilitated in developing and improving these qualifications. The latter has also been recorded in the procedures.</p> <p>LCA ladder assessment The auditor assesses this based on job descriptions, discussions with employees, managers and HRM. Examples are available. This is also a component of evaluations and performance reviews.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Continued improvement of H&S qualifications	
T5-3.7.17	Requirement	(Operational) Employees participate in the defining of H&S competences.	
	Criterion	(Operational) Employees actively participate in defining the H&S competences of (their) positions.	Note The ongoing monitoring of H&S qualifications is an integral component of the organisation. For this reason, (operational) employees actively participate in the determination of the H&S qualifications for (their) positions.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when a selection of (operational) employees is involved in determining the H&S qualifications for (their) positions and how these can be improved. [Largely] when all (operational) employees participate to some degree in determining the H&S qualifications for (their) positions and how these can be improved. [Completely] when all (operational) employees proactively participate in determining the H&S qualifications for (their) positions and are involved in determining training requirements for developing / reinforcing the H&S qualifications. Periodic evaluation is also conducted to determine to which extent this is being met and how these can be improved.
	Auditor Guideline	Only the discussion of competence profiles in the works council is not enough. Active participation by (operational) employees is required.	LCA ladder assessment The auditor assesses this based on discussions with (operational) employees, managers and HRM employees. It must become clear how employees exercise influence over the qualification requirements applicable to their situation. Employees demonstrate their involvement and feeling of responsibility by demonstrating ownership. This is done

		Continued improvement of H&S qualifications	
			by taking the initiative to bring attention to certain topics, such as with a 360-degree feedback.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		H&S qualifications of external employees	
T5-3.7.18	Requirement	The Board aligns the H&S competences with the sector.	
	Criterion	The management works together with the sector to develop H&S competences and stimulate desired H&S behaviour.	Note Management views H&S qualifications as essential to the organisation, also in collaboration with other organisations. For this reason, they work together with the sector to develop and improve H&S qualifications and advance H&S behaviour.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when management collaborates with the sector to develop and improve H&S qualifications. [Largely] when this collaboration is also used to advance and improve positive H&S behaviour. [Completely] when management 'delivers' rather than simply 'collects'.
	Auditor Guideline	The company can provide one or more examples of interactive cooperation with the sector. This involves both "give" and "take".	LCA ladder assessment The auditor assesses this based on examples of proactive collaboration with the sector.

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Input of (operational) employees for H&S qualifications	
T5-3.7.19	Requirement	(Operational) Employees assess their own H&S performance.	
	Criterion	(Operational) Employees periodically assess their own H&S performance as input for the interview with the manager on personal development.	Note Ongoing improvement of H&S performance is an integral component of the organisation. For this reason, (operational) employees periodically assess their own H&S performance as input for discussions with their manager concerning personal development.
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when (operational) employees periodically assess their own H&S performance. [Largely] when the self-assessment is used as input for discussions with management concerning personal development. [Completely] when the self-assessment aspects cover own H&S performance in terms of attitude, behaviour, knowledge and skills.
	Auditor Guideline	The self-evaluation comprises aspects such as the own H&S performance in the relevant areas, attitude, behaviour, knowledge and skills.	LCA ladder assessment The auditor assesses this based on discussions with (operational) employees and their managers. Attention is given to H&S qualifications, knowledge and skills for aspects such as organisation, communication, motivation, confronting (operational) employees and H&S behaviour as required by management.

3.8 H&S department

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Organisation of H&S department	
T5-3.8.20	Requirement	The H&S department actively cooperates with the Board.
	Criterion	The H&S department focuses on the company strategy, improvement initiatives and innovation of the H&S processes and products.
		<p>Not [0]; Partly [20];</p> <p>Largely [40];</p> <p>Completely [50].</p>
	Auditor Guideline	The operational H&S management is fully integrated in the line. The H&S department supports the Board in formulating matters such as vision, mission, strategy and policy. It also supports the Board in supervising the implementation thereof.
		<p>Note</p> <p>The H&S department is an integral component of the organisation. For this reason, the department actively collaborates with management toward business strategy, improvement initiative and innovation of the H&S management and products, the OR and employees from all layers of the organisation.</p> <p>[Not] - [Partly] when the operational H&S management is fully integrated in the line. [Largely] when the H&S department supports management with the formulation of matters such as vision, mission, strategy and policy. [Completely] when they also support management in providing knowledge and insight. There is a clear division between what the staff does and the line – i.e. the staff advises, the line initiates and coordinates.</p> <p>LCA ladder assessment</p> <p>The auditor assesses this based on discussions with employees, management of the H&S department, the OR and/or management.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Role of H&S department	
T5-3.8.21	Requirement	The H&S department actively cooperates with the sector.	
	Criterion	The H&S department structurally communicates with the sector on H&S and on H&S behaviour in particular.	Note H&S (behaviour) is an essential point of attention in the organisation, also in collaboration with other organisations. For this reason, the H&S department communicates with the sector about H&S an H&S behaviour in particular to identify and resolve H&S behaviour issues in the sector.
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when the H&S department and H&S specialists of the business communicate with similar departments/specialists in the sector ad hoc to identify and resolve H&S behaviours issues in the sector. [Largely] when this communication takes place regularly. [Completely] when the H&S department and H&S specialists assume a proactive role in this.
	Auditor Guideline	The H&S department and the H&S specialists of the company actively communicate with comparable departments/specialists in order to identify and tackle H&S bottlenecks in the sector.	LCA ladder assessment The auditor assesses this based on discussions with managers and employees from the H&S department. Examples are available which demonstrate that this is observed within the whole management chain, through to the work floor, and within the sector.

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Learning as an organisation		
(T4-3.8.24)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

3.4 Company aspect 4: Workplace and procedures

4.9 Work planning

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		H&S plans	
T5-4.9.22	Requirement	The management shares H&S best practices with the sector.	
	Criterion	The management shares its best practices with regard to H&S plans and activities with the parties in the sector.	Note Learning from good H&S practices is an inseparable component of the organisation, also in collaboration with other organisations. For this reason, management shares its best practices in relation to H&S plans and activities with sector parties. The manner in which this is shared can be determined freely (sector associations or consultation with sector parties) if sharing of knowledge with a representative number of sector partners applies.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when management shares best practices relative to H&S plans and activities with sector parties on an ad hoc basis. [Largely] when these best practices are shared often. [Completely] when these best practices are shared on a structural basis.
	Auditor Guideline	The form in which it takes place is free (sector association or consultation with sector parties) as long as it involves knowledge sharing with a representative number of sector parties.	LCA ladder assessment The auditor assesses this based on demonstrably shared best practices.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
Evaluation and update of H&S plans			
T5-4.9.23	Requirement	The management evaluates important projects together with the sector parties involved.	
	Criterion	The management structurally and systematically performs work evaluations with all sector parties, aimed at improving H&S cooperation during the project.	Note The use of current H&S plans is the standard way of working in the organisation, also in collaboration with other organisations. For this reason, management systematically conducts work evaluations directed at improving mutual H&S project collaborations with all involved sector parties. This concerns projects for which the evaluation has identified that insufficient collaboration during the development of H&S plans resulted in issues.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when a number of projects were selected and evaluated with the sector based on evaluations from past projects. [Largely] when the evaluation is focused on improving the mutual H&S collaboration on projects. [Completely] when collaborative evaluation is regularly conducted.
	Auditor Guideline	Based on analyses of past projects, a number of projects are selected and evaluated with the sector. This concerns projects of which evaluation has shown that insufficient cooperation in the making of H&S plans has led to problems. Joint evaluation takes place regularly.	LCA ladder assessment The auditor assesses this during interviews based on a number of selected projects and their evaluations.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
Assessment of H&S plans			
(T4-4.9.27)	Requirement	Not defined, step 4 is the highest achievable step.	
	Criterion		

	Auditor Guideline			
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Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Cross-operational H&S consultation		
(T4- 4.9.28)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

4.2 Workplace safety

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Adoption and use of H&S measures	
T5-4.10.24	Requirement	The management evaluates the effectiveness of H&S methods and techniques together with the sector.	
	Criterion	The management together with sector parties systematically assesses, on the basis of evaluation reports, the effectiveness of existing methods and techniques for safety awareness at work.	Note Working toward a safe working situation is an integral component of the organisation, also in collaboration with other organisations. For this reason, management systematically assesses the effectiveness of existing methods and techniques for consciously safe working practices together with sector parties based on evaluations, and takes improvement measures.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when management systematically assesses the effectiveness of existing methods and techniques for consciously safe working practices together with sector parties. [Largely] when this assessment is conducted based on evaluation reports. [Completely] when improvement measures are taken based on the evaluation.
	Auditor Guideline	The management together with sector parties regularly test the effectiveness of H&S methods and techniques on the basis of evaluation reports and take improvement measures.	LCA ladder assessment The auditor assesses this based on discussions with management concerning working together, learning together, improving together.

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Ongoing improvement of H&S measures	
T5-4.10.25	Requirement	The management innovates H&S methods and techniques.	
	Criterion	The management regularly applies new methods, measures and techniques aimed at (improvements in) H&S at the workplace.	Note Ongoing improvement of H&S methods and techniques is a set component of the organisation. For this reason, management regularly applies new methods, resources and techniques for safe/safer and healthy/healthier working practices. Examples include planning and organisation techniques, methods applied in hazardous or complex projects, informing (operational) employees of relevant changes more effectively, etc.
		Not [0]; Partly [60]; Largely [120]; Completely [150].	[Not] - [Partly] when management consistently searches for improvement of H&S in the working environment. [Largely] when they are often successful in this and apply new methods, resources and techniques for safe/safer and healthy/healthier working practices. [Completely] when experiences are actively fed back to the organisation (management and employees) and new methods and techniques are integrated into the H&S policy.
	Auditor Guideline	The management can show that it is continuously seeking to improve H&S in the work environment and that it is regularly successful in this respect. Examples include planning and organisation techniques, applied methods in complex or high-risk projects, informing (operational) employees more effectively about changes, etc. Experiences gained are actively communicated to the organisation (management and employees).	LCA ladder assessment The auditor assesses this based on discussions with the parties responsible for H&S innovation and operational employees.

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Supervision of H&S behaviour contractors		
(T4-4.10.31)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

4.11 Procedures

Step 5 – Certification Scheme 4.0			Step 5 interpretation
	Requirement	Preparation of H&S procedures The management aligns H&S procedures with the sector.	
T5-4.11.26	Criterion	The management regularly consults with the sector on important H&S procedures.	Note The H&S procedures form an important component of the organisation, also in collaboration with other organisations. For this reason, management regularly consults with the sector concerning important H&S procedures. Important in terms of risks and collaboration in the sector (optimum, uniform, consistent, etc.).
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when management consults with the sector concerning important H&S procedures on an ad hoc basis. [Largely] when this consultation occurs regularly. [Completely] when agreements are formed with the sector concerning the frequency of the regular consultation.
	Auditor Guideline	Agreements exist with the sector on the frequency of the regular consultations. This is important in the sense of risk and cooperation within the sector (optimal, unequivocal, consistent, etc.).	LCA ladder assessment The auditor assesses this based on discussions with management concerning the adjustment and coordination of H&S procedures. Themes and structure of the discussions are clear. The discussion partners can demonstrate this with documentation if requested.

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Following H&S procedures	
T5-4.11.27	Requirement	(Operational) Employees submit own improvement proposals for H&S procedures.	
	Criterion	(Operational) Employees make own improvement processes for H&S procedures and are involved in their development.	Note Ongoing improvement of the H&S conditions is common practice for the organisation and its employees. For this reason, (operational) employees independently provide improvement proposals for H&S procedures and are involved in the implementation.
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when an approachable system exists for improvement proposals and involvement in the implementation. [Largely] when management facilitates improvement proposals and best practices throughout the organisation. [Completely] when employees are personally involved in the communication and implementation of this.
	Auditor Guideline	The system applied for improvement proposals and being involved in the development is easily accessible. Improvement proposals and best practices are implemented by the organisation wherever they have added value. The management facilitates this. Employees are explicitly involved in the communication and implementation process.	LCA ladder assessment The auditor assesses this based on discussions with (operational) employees who submitted improvement proposals.

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Review of H&S procedures		
(T4-4.11.34)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

3.5 Company aspect 5: Deviations and communication

5.12 Reporting of incidents

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Reporting incidents	
T5-5.12.28	Requirement	(Operational) Employees communicate solutions when reporting incidents.	
	Criterion	(Operational) Employees communicate solutions when reporting and registering incidents, including those of clients and contractors.	Note Collaboration during the analysis of incidents and formation of solutions to prevent future incidents is self-evident for own incidents and those of clients and contractors. For this reason, employees contribute to the reporting and registration of incidents.
		<p>Not [0]; Partly [60];</p> <p>Largely [120];</p> <p>Completely [150].</p>	<p>[Not] - [Partly] when (operational) employees contribute solutions when reporting own incidents. [Largely] when (operational) employees contribute solutions when reporting the incidents of clients and contractors. [Completely] when (operational) employees contribute solutions when reporting all incidents. This applies when there is a substantial proportion between (potentially) serious accidents and accidents versus other incidents.</p>
	Auditor Guideline	All incidents are assumed to be reported if the ratio between (potentially serious) accidents and incidents is approximately 1:100.	LCA ladder assessment The auditor assesses this based on discussions concerning registrations (also in logbooks, etc.) of (potentially) serious accidents, accidents and incidents. The auditor also asks whether employees personally contribute solutions and what is done with this within the organisation.

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Incident registration	
T5-5.12.29	Requirement	The Board shares statistics and analyses on important H&S incidents with the sector.	
	Criterion	<p>a) The Board uses the incident information system to inform the sector about incidents with a high risk</p> <p>b) The management applies the high-risk criteria set by the sector, which are transparent and effective.</p>	<p>Note</p> <p>Improvement of safety is an integral component of the organisation, also in collaboration with other organisations. For this reason, management shares statistics and analyses concerning important H&S incidents with the sector and upholds transparent and effective sector criteria. Criteria include, for example: potential injury and damage to time, financial and reputation.</p>
		<p>a) Not [0]; Partly [36]; Largely [72]; Completely [90].</p> <p>b) No [0]; Yes [60].</p>	<p>a) [Not] - [Partly] when management occasionally informs the sector concerning high-risk incidents with a. [Largely] when management structurally shares statistics and analyses concerning high-risk incidents via the incident information system. [Completely] when the criteria for high risks are documented and applied in such a way as to result in actual improvement to safety.</p> <p>b) [No] - [Yes] when management upholds transparent and effective sector criteria for high risk.</p>
	Auditor Guideline	<p>Criteria include: potential injury, loss in terms of time, money and image.</p> <p>The criteria for high risk are documented and applied in such a manner that they lead to improved safety in practice.</p>	<p>LCA ladder assessment</p> <p>The auditor assesses this based on discussions with management concerning past incidents and the registration and analyses of these.</p>

5.13 Investigation of incidents

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Incident analysis	
T5-5.13.30	Requirement	The management analyses incidents together with the sector.	
	Criterion	<p>a) The management investigates all incidents, including those of clients and contractors, for root causes.</p> <p>b) The management uses investigations of external incidents..</p>	<p>Note Learning from H&S incidents and accidents is an integral component of the organisation, also in collaboration with other organisations. For this reason, management investigates incidents based on basic causes, including those of the clients and contractors. Incident analyses from other sectors and stakeholders are also used. Management has a set structure for drawing knowledge from relevant incidents and research results from its clients and contractors which occurred within its own projects and/or comparable projects. This refers to the identification of potential incidents, which (may) also occur and the measures taken for improvement.</p>
		<p>a) Not [0]; Partly [24];</p> <p>Largely [48];</p> <p>Completely [60].</p> <p>b) Not [0]; Partly [16];</p>	<p>a) [Not] - [Partly] when management investigates several incidents from clients and contractors for root causes. [Largely] when management investigates the majority of incidents from clients and contractors for root causes. [Completely] when management investigates all incidents for root causes, including those of clients and contractors and make the behavioural elements and demeanour comprehensible for analyses and solutions alike.</p> <p>b) [Not] -</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		<p>Largely [32];</p> <p>Completely [40].</p>	<p>[Partly] when management occasionally uses investigations of external incidents.</p> <p>[Largely] when management regularly uses them.</p> <p>[Completely] when management always uses them and has made sure that demeanour and behavioural elements are separately explained when making analyses and improvement proposals.</p>
	Auditor Guideline	<p>The management has a fixed procedure for learning lessons from relevant incidents and investigation results of its clients and subcontractors regarding incidents that have taken place during its projects.</p> <p>The management also uses the investigation results of parties from the own or other sectors. This concerns the identification of possible incidents, which (could) occur in the own company and the resulting improvement measures.</p>	<p>LCA ladder assessment</p> <p>The auditor assesses this based on accident reports and discussions with management. The auditor will also assess whether the organisation is capable of learning and improving in response to the incidents. Both the causes and the lesson and improvements are thoroughly analysed during the discussions about the influence of demeanour and behavioural elements.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Research procedures	
(T4-5.13.38)	Requirement	Not defined, step 4 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Research methodology	
(T4-5.13.39)	Requirement	Not defined, step 4 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

5.14 Follow-up of incidents

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Organisational actions after incidents	
T5-5.14.31	Requirement	The Board visits the site of (potentially) serious accidents.	
	Criterion	The Board visits the site of every serious accident.	Note Communicating the control measures taken and encouraging operational employees to contribute to discussions is an integral component of the organisation. For this reason, management visits the location of each (potentially) serious incident.
		<p>Not [0]; Partly [20];</p> <p>Largely [40];</p> <p>Completely [50].</p>	<p>[Not] - [Partly] when management has a procedure which requires a member of the management team to visit the location of the serious incident within 24 hours. [Largely] when management has a procedure which requires a member of the management team to visit the location of the serious incident within 24 hours and does so occasionally as well. [Completely] when management visits the location of each (potentially) serious incident.</p>
	Auditor Guideline	The Board has a procedure that requires that a director visits the site of a serious accident within 24 hours. The Board shows that this procedure is complied with. Enquiries with (operational) employees or direct colleagues show that the Board has visited the site of a serious accident within 24 hours.	LCA ladder assessment Inquiries with (operational) employees or direct colleagues about a randomly selected serious incident indicate that management visited the location of the (potentially) serious incident within 24 hours. If no incidents have occurred but the procedures do exist, the score is 'completely'.

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Measures and informational involvement of management.	
T5-5.14.32	Requirement	The Board leads investigations.	
	Criterion	<p>a) The Board leads the investigation of (potentially) serious accidents.</p> <p>b) The Board actively aims to achieve the exclusion of (potentially) serious accidents.</p>	<p>Note Safety involvement from management is an integral component of the organisation. For this reason, management personally conducts the inspection of (potentially) serious incidents. Management is actively involved in the investigation and plays a leading role in this.</p>
		<p>a) Not [0]; Partly [12]; Largely [24]; Completely [30].</p> <p>b) Not [0]; Partly [8]; Largely [16]; Completely [20].</p>	<p>a) [Not] - [Partly] when management occasionally leads the investigation of (potentially) serious accidents. [Largely] when management often conducts this investigation. [Completely] when management always conducts this investigation.</p> <p>b) [Not] - [Partly] when management occasionally actively provides guidance following (potentially) serious accidents. [Largely] when management always actively provides guidance following (potentially) serious accidents [Completely] when management always receives a written report of the incident, injured victims and their development within 24 hours.</p>
	Auditor Guideline	The Board is actively involved in the investigation, in which it plays a leading role. The Board regularly receives written reports on the incident, the victims and their progress.	<p>LCA ladder assessment The auditor assesses this based on discussions with management and involved parties with an investigation of the reports from the (potentially) serious accidents.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Informing stakeholders and sector, supporting victims	
T5-5.14.33	Requirement	The Board shares incidents with the sector.	
	Criterion	The Board actively shares incidents and proven effective measures with the sector.	Note Transparency surrounding incidents is an integral component of the organisation. For this reason, management actively shares incidents and effective measures with the sector. The sector includes sector organisations. The preconditions which play a role in any legal investigations are taken into consideration.
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when management occasionally shares incidents and effective measures with the sector. [Largely] when incidents and effective measures are often shared with the sector. [Completely] when management systematically shares incidents and effective measures with the sector.
	Auditor Guideline	The external communication of incidents is systematic, transparent and demonstrable. The sector includes sector organisations.	LCA ladder assessment Conversations and observations have shown that the external communication of incidents is systematic and transparent. If the interviewee deems it necessary, this can be demonstrated.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Involvement following incidents	
T5-5.14.34	Requirement	The Board investigates (potentially) serious accidents together with the sector.	
	Criterion	The Board reports serious accidents together with sector partners to all stakeholders.	Note

Step 5 – Certification Scheme 4.0			Step 5 interpretation
			The management considers an accident to be a collective responsibility. For this reason, management together with involved chain partners reports serious accidents to all stakeholders. Each serious accident is summarised in one collective report from all involved parties. The objective of this is to achieve collective responsibility for the nature, causes and corrective measures. Stakeholders include: board members, enforcers, emergency services, press, private individuals, (operational) employees from the own company, etc. Privacy is guaranteed, in addition to conditions possibly stemming from a criminal perspective.
		<p>Not [0]; Partly [20];</p> <p>Largely [40];</p> <p>Completely [50].</p>	<p>[Not] - [Partly] when management occasionally investigates serious accidents together with the sector. [Largely] when management structurally investigates (potential) serious accidents together with the sector [Completely] when the results of this investigation are reported to all stakeholders.</p>
	Auditor Guideline	Every serious accident is summarised in a single joint report by all parties involved. The purpose is to realise joint responsibility for the cause, results and measures to be taken. Stakeholders comprise: directors, enforcement authorities, emergency services, press, private individuals, (operational) employees, own company, etc.	<p>LCA ladder assessment</p> <p>The auditor assesses to which extent individuals are familiar with (which) investigation reports from the past year and how the communication concerning the incidents was conducted. The involvement and awareness of the sector is also monitored in the discussions.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Learning from others		
(T4-5.14.44)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

5.15 Daily monitoring

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Requirement	Conducting H&S inspections The management performs joint H&S work environment inspections together with the sector.
T5-5.15.35	Criterion	<p>a) The management regularly performs joint H&S work environment inspections with clients and contractors.</p> <p>b) The Board communicates the analyses of joint H&S work environment inspections to the sector..</p>
	Auditor Guideline	<p>a) Not [0]; Partly [12]; Largely [24]; Completely [30].</p> <p>b) No [0]; Yes [20].</p> <p>The company performs inspections of a project environment, whereby the manager of the company together with a manager of a contractor jointly assess the work environment in terms of attitude and behaviour. A director regularly</p>
		<p>Note The implementation of H&S working environment inspections is an integral component of the organisation, also in collaboration with other organisations. For this reason, management conducts collective H&S inspections with clients and contractors and communicates analyses from collectively conducted H&S working environment inspections with the sector. The analyses for the sector cover the most important measures and their effects in addition to the challenges and related causes.</p> <p>a) [Not] - [Partly] when management regularly conducts collective H&S working environment inspections with clients and contractors. [Largely] when these inspections are planned based on risk analyses. [Completely] when a manager regularly participates in these H&S inspections.</p> <p>b) [No] - [Yes] when management communicates analyses from collectively conducted H&S working environment inspections with the sector.</p> <p>LCA ladder assessment The auditor assesses this based on discussions with management concerning the reports from the collective H&S inspections and the analysis for the sector. The</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	participates in these joint H&S work environment inspections. The planning is based on risk analyses. The analyses for the sector comprise, besides bottlenecks and the causes, also the most important measures and the resulting effects.	involvement of the sector is also addressed in these discussions.

Step 5 – Certification Scheme 4.0		Step 5 interpretation
	Quality of H&S inspections	
T5-5.15.36	Requirement (Operational) Employees perform H&S work environment inspections.	
	Criterion (Operational) Employees daily perform and report on H&S work environment inspections	Note The quality of H&S inspections is an integral component of the organisation. For this reason, (operational) employees personally conduct H&S working environment inspections and enter in discussions with employees and contractors concerning safety.
	Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when (operational) employees personally conduct H&S working environment inspections at least once per week. [Largely] when these inspections are reported to the first line managers, including the self-identified improvement actions. [Completely] when the daily H&S working environment inspections are conducted in such a way (i.e. progressive observations) that all representative working environments have been inspected within a given period (or a programme has been prepared aimed at gaining a representative image) and multiple (operational) employees are involved, which together leads to a safety culture within which no unsafe situations are observed by the auditor. The manner in

		Quality of H&S inspections	
			which this is recorded is not determined, as long as it is recorded.
	Auditor Guideline	The daily H&S work environment inspections are performed in such a manner that all work environments are inspected within a certain period, whereby several (operational) employees are involved. The H&S work environment inspections, including the self-identified improvement actions, are reported to first-line managers.	LCA ladder assessment The auditor assesses this based on discussions with (operational) employees concerning reports from the H&S working environment inspections. The auditor also assesses whether the dialogue with employees and contractors takes place.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Follow-up of H&S inspections	
T5-5.15.37	Requirement	The management works together with the sector to structurally improve H&S inspections.	
	Criterion	The Board works together with the sector to improve the effectiveness of H&S work environment inspections.	Note Follow-up of H&S inspections is an integral component of the organisation. For this reason, management works together with the sector to improve the effectiveness of the H&S working environment inspections.
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when management occasionally works with the sector to improve the effectiveness of H&S working environment inspections. [Largely] when this collaboration takes place regularly. [Completely] when this collaboration takes place structurally.
	Auditor Guideline	The management can present examples showing this.	LCA ladder assessment Management can draw upon examples which demonstrate their collaboration with the sector to improve the effectiveness of H&S working environment inspections.

Step 5 – Certification Scheme 4.0			Step 5 interpretation	
		Quality of inspections		
(T4-5.15.48)	Requirement	Not defined, step 4 is the highest achievable step.		
	Criterion			
	Auditor Guideline			

5.16 Meetings

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Planning H&S consultation	
T5-5.16.38	Requirement	First-line managers use a dynamic planning for H&S consultations.	
	Criterion	First-line managers plan H&S consultations on the basis of current developments.	Note Planning of H&S discussion moments is an integral component of the organisation. For this reason, first line managers have recorded the H&S discussion moments in an annual plan. The frequency of the discussions is adjusted (shortened) if practice so dictates (current planning).
		Not [0]; Partly [40]; Largely [80]; Completely [100].	[Not] - [Partly] when the current planning and work activities are used to determine the topics and timing of the H&S discussion moments. [Largely] when the current (H&S) challenges are used for this as well. [Completely] when reported (behavioural) incidents are also used.
	Auditor Guideline	The subjects and the time of the H&S consultations are determined by the current planning, work, bottlenecks and reported (behavioural) incidents.	LCA ladder assessment The auditor assesses this in discussions with first line managers.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Content of H&S consultation	
T5-5.16.39	Requirement	(Operational) Employees are actively involved in the H&S consultations.	
	Criterion	(Operational) Employees regularly fulfil a leading role in H&S consultations.	Note (Operational) Employees are active during H&S discussion moments. This may also include (operational) employees of (in)directly involved parties.

		Content of H&S consultation	
			This ensures that employees find the H&S meeting to be interesting, personal and valuable.
		<p>Not [0]; Partly [40];</p> <p>Largely [80];</p> <p>Completely [100].</p>	<p>[Not] -</p> <p>[Partly] when (operational) employees occasionally fulfil a leading role in H&S discussion moments.</p> <p>[Largely] when (operational) employees often fulfil a leading role in H&S discussion moments.</p> <p>[Completely] when (operational) employees regularly fulfil a leading role in H&S discussion moments.</p>
	Auditor Guideline	A large number of the H&S consultations are led by (operational) employees. This may also concern the (operational) employees of (in)direct stakeholders.	<p>LCA ladder assessment</p> <p>The auditor assesses this by means of discussions with (operational) employees concerning the H&S discussion moments.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Bottom-up communication	
(T4-5.16.51)	Requirement	Not defined, step 4 is the highest achievable step.	
	Criterion		
	Auditor Guideline		

3.6 Company aspect 6: Audits and statistics

6.17 Audits and reviews

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Implementation of H&S audits	
T5-6.17.40	Requirement	The Board performs H&S behavioural audits together with the sector.	
	Criterion	The Board regularly has sector-driven H&S behavioural audits performed in the company.	<p>Note H&S behaviour audits are an integral component of the organisation, also in collaboration with other organisations. For this reason, management conducts H&S behaviour audits with the involved chain partners. These H&S behaviour audits from the sector are primarily directed at the interfaces between cross-company processes and are implemented by audit teams from within the organisation with other relevant chain partners including client and contractors.</p>
		No [0]; Yes [50].	[No] - [Yes] when management conducts H&S behaviour audits from the sector at least once per quarter.
	Auditor Guideline	These sector-driven H&S behavioural audits are aimed in particular at interfaces between company transcending processes and are performed by audit teams of the company together with other sector parties, such as clients or contractors.	<p>LCA ladder assessment The auditor assesses this based on discussions with management members and (if possible) managers concerning possible observations from the reports from the H&S behaviour audits and on projects involving chain partners.</p>

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Quality of H&S audits	
T5-6.17.41	Requirement	The management applies multiple H&S review methods for H&S behavioural measurements.	

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Quality of H&S audits	
	Criterion	The Board applies other review methods alongside audits, in order to test the compliancy of H&S behaviour.	Note The quality of H&S audits is an integral component of the organisation. For this reason, management applies multiple review methods for H&S behaviour measurements. Other review methods may include: surveys, perception measurements, self-evaluation.
		No [0]; Yes [50].	[No] - [Yes] when management applies other review methods in addition to audits to assess compliance of H&S behaviour.
	Auditor Guideline	Other review methods can be: questionnaires, perception measurements, self-assessments.	LCA ladder assessment The auditor assesses this in a discussion with management and officials responsible for reviews (most likely the H&S department) concerning the H&S behaviour measurements.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Exit interviews	
T5-6.17.42	Requirement	The management systematically uses exit interviews to identify H&S improvement points.	Note The identification of H&S improvement points is an integral component of the organisation. For this reason, management systematically uses exit interviews to identify H&S points of improvement.
	Criterion	The management records exit interviews of departing (operational) employees and managers.	
		Not [0]; Partly [20]; Largely [40];	[Not] - [Partly] when management conducts and documents exit interviews with departing (operational) employees and managers. [Largely] when safety culture receives sufficient attention in the exit interviews.

Step 5 – Certification Scheme 4.0			Step 5 interpretation
		Completely [50].	[Completely] when points of improvement and actions required to achieve those improvements are also discussed and documented in the exit interviews.
	Auditor Guideline	Sufficient attention is given to the safety culture in the exit interviews. Exit interviews can be held and recorded, including improvement points and actions. The company can show to what degree exit interviews are used.	LCA ladder assessment The auditor assesses this based on discussions whether exit interviews are applied and whether safety culture receives sufficient attention in these interviews. The auditor also assesses whether the points from the exit interviews are in fact used for learning and improving.

6.18 Trends and statistics

Step 5 – Certification Scheme 4.0		Step 5 interpretation
		Internal use of H&S statistics
T5-6.18.43	Requirement	The Board compares the H&S company performance with that of the best performer.
	Criterion	The Board regularly compares the own H&S performance with that of the best performer and adjusts the company strategy and policy wherever necessary.
		<p>Not [0];</p> <p>Partly [20];</p> <p>Largely [40];</p> <p>Completely [50].</p>
	Auditor Guideline	<p>Best performers in the sector, but also from other sectors, other countries.</p> <p>The purpose of the comparison is to learn from other parties with better H&S performance and to improve the performance by means of targeted actions.</p>
		<p>Note</p> <p>A safety-focused approach is an integral component of the organisation. For this reason, management compares H&S company performance with that of the best performer based on the benchmark in the sector. The objective of the comparison is to learn from other parties with better H&S performance and by improving own practices with focused efforts. If no benchmark exists within the sector for this theme, the organisation will take the initiative in establishing this.</p> <p>[Not] -</p> <p>[Partly] when management regularly compares the company's own H&S performance with that of the best performer.</p> <p>[Largely] when management adjusts company policy, where necessary, based on this information.</p> <p>[Completely] when management looks at not only the best performers within the sector but also those from other sectors and other countries.</p> <p>LCA ladder assessment</p> <p>The auditor speaks with management and determines whether benchmarking with respect to H&S performance is harnessed to improve own performance.</p>

Step 5 – Certification Scheme 4.0		Step 5 interpretation	
		Providing information concerning H&S statistics	
T5-6.18.44	Requirement	The Board improves the joint performance indicators together with the sector.	
	Criterion	The Board works together with the sector to improve the joint performance indicators for H&S behavior.	Note Transparency surrounding H&S performance is an integral component of the organisation, also in collaboration with other organisations. For this reason, management works with the industry to improve the collective performance indicators. Improvement can be: more effective and predictive indicators, added uniformity in the sector, etc.
		Not [0]; Partly [20]; Largely [40]; Completely [50].	[Not] - [Partly] when management works with the industry occasionally (rather than structurally) toward improving the collective performance indicators for H&S behaviour. [Largely] when management commits to this with added frequency (multiple occasions per year, planned ad hoc) together with the industry and involved employees. [Completely] when management regularly commits to this (several times per year, structurally planned) with the industry and involved employees.
	Auditor Guideline	Improvement may concern: more effective and predictive indicators, improved uniformity in the sector, etc.	LCA ladder assessment The auditor discusses the development of the performance indicators with management and monitors the development of this in past years. Management's manner for involving employees is also assessed.

4 Colophon

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