

COS-3-03 / RP 75 4TH EDITION

GUIDELINES FOR SEMS MATURITY SELF-ASSESSMENTS

FIRST EDITION | JULY 2025



**SEMS AUDIT &
CERTIFICATIONS**



**GOOD PRACTICE
DEVELOPMENT**



**DATA COLLECTION,
ANALYSIS & REPORTING**



**SHARING INDUSTRY
KNOWLEDGE**

SPECIAL NOTES

Center for Offshore Safety (COS) and American Petroleum Institute (API) publications necessarily address topics of a general nature. Local, state, and federal laws and regulations should be reviewed to address particular circumstances.

COS, API, and their respective employees, members, subcontractors, consultants, committees, or other assignees make no warranty or representation, either express or implied, with respect to the accuracy, completeness, or usefulness of the information contained herein, or assume any liability or responsibility for any use, or the results of such use, of any information or process disclosed in this publication. COS, API, and their respective employees, members, subcontractors, consultants, or other assignees do not represent that use of this publication would not infringe upon privately owned rights.

COS publications may be used by anyone desiring to do so. Every effort has been made to assure the accuracy and reliability of the data contained in them; however, the COS and API make no representation, warranty, or guarantee in connection with this publication and hereby expressly disclaim any liability or responsibility for loss or damage resulting from its use or for the violation of any authorities having jurisdiction with which this publication may conflict.

COS publications are published to facilitate the broad availability of offshore safety information and good practices. These publications are not intended to obviate the need for applying sound judgment regarding when and where these publications should be utilized. The formulation and publication of COS publications is not intended in any way to inhibit anyone from using any other practices. Questions or requests for clarification regarding this document may be directed to the Center for Offshore Safety/API, 15377 Memorial Drive, Suite 250, Houston, TX 77079 and Global Industry Services Department, American Petroleum Institute, 200 Massachusetts Avenue, NW, Suite 1100, Washington, DC 20001.

Questions concerning the interpretation of the content of API RP 75 or comments and questions concerning the procedures under which API Recommended Practice 75 was developed should be directed in writing to the Director of Standards, American Petroleum Institute, 200 Massachusetts Avenue, NW, Suite 1100, Washington, DC 20001.

Requests for permission to use in other published works or translate all or any part of the material published herein should be addressed to Global Industry Services Department, American Petroleum Institute, 200 Massachusetts Avenue, NW, Suite 1100, Washington, DC 20001.

TABLE OF CONTENTS

1.0 INTRODUCTION.....1

2.0 DEFINITIONS 2

3.0 GUIDANCE 2

4.0 SEMS MATURITY SELF-ASSESSMENT EXECUTION PER ELEMENT 5

APPENDIX A - SEMS MATURITY SELF-ASSESSMENT TEMPLATE..... 23

1. INTRODUCTION

This Center for Offshore Safety (COS) publication provides guidance for companies to internally assess the maturity of their Safety and Environmental Management System (SEMS) by providing:

- a model of management system maturity that highlights the steps on the journey to maturity;
- a self-assessment tool to help measure the maturity of a company's SEMS.

1.1 BACKGROUND

Management systems allow companies to achieve their objectives through a systemic, standardized, and structured approach. They can be used in a variety of ways, including systemically managing safety and environmental performance (i.e., SEMS). However, in a changing environment, these systems cannot remain static if they are to remain effective. They must be responsive to internal and external factors to be successful in driving appropriate behaviors and facilitating positive performance.

A maturity approach is one way to evaluate the ability of a management system to remain responsive and effective in a changing environment and to continuously improve. This approach serves to indicate where a company's management system is in relation to a fully mature system and may help identify areas for improvement in the system. It can also help companies identify granular detail about their management system, including the linkages and interactions between elements and components.

1.2 SEMS MATURITY MODEL

The intent of this guidance is to help companies understand the maturity of the elements of their SEMS and where opportunities may exist to improve. The elements in this document follow the outline of API Recommended Practice 75, Safety and Environmental Management System for Offshore Operations and Assets.

A standardized maturity model and assessment tool is provided in Section 4 to conduct internal self-assessments on the maturity of a company's SEMS. These self-assessments can be used to:

- set a baseline to judge the initial maturity of a management system;
- periodically assess the management system to ensure that it remains responsive to current conditions;
- identify improvement opportunities;
- provide an indicator of the overall health of the management system.

Companies may adjust the tool to align with their management system as needed.

2. DEFINITIONS

- **Effective:** The extent to which the desired result or outcome is achieved.
- **Established:** When a management system or component has been developed and, if required by regulation or by the organization, is documented.
- **Formal:** Documented, approved, and repeatable.
- **Implemented:** When a management system or component is put into effect or action.
- **Informal:** Reliant on individual experience, skills, and knowledge.
- **Maintained:** Management system element or component continues to achieve the desired result, is evaluated, and corrections or adjustments are made as needed.
- **Management system component:** A policy, practice, procedure, or process that is a part of the overall safety and environmental management system of a company.
- **Maturity:** The extent to which the management system is established, implemented, maintained, effective, and continually improved.

3. GUIDANCE

3.1 WHAT IS A SEMS MATURITY SELF-ASSESSMENT?

A SEMS Maturity Self-Assessment is a process that utilizes a standardized tool to evaluate the maturity of a company's SEMS in a way that is comparable and repeatable. It is important to note that it is not a formal audit; rather, it is an internal assessment designed to collect information about the maturity of the levels of design and use of a company's SEMS.

This tool specifically measures the maturity of various elements of a company's SEMS. The maturity self-assessment does not measure whether those elements are achieving the desired results, which may be evaluated during SEMS audits, and is not a measure of compliance with laws and regulations.

Each company will have to determine the desired level of maturity it wants to reach for each element and how best to achieve those levels.

3.2 WHY CONDUCT A SEMS MATURITY SELF-ASSESSMENT?

A SEMS Maturity Self-Assessment is designed to give a systems view of the various elements of a company's SEMS. Specifically, it is designed to measure to what extent the elements are:

- in place and documented as required (established);
- in effect/in use (implemented);
- working as designed and fixed as necessary (maintained);
- achieving the desired outcomes (effective);
- reviewed and enhanced (continual improvement).

The SEMS Maturity Self-Assessment can also act as a driver for the management review of improvement opportunities, both to resolve deficiencies and to identify enhancements. These opportunities, whether identified as part of the SEMS Maturity Self-Assessment or elsewhere (e.g., SEMS audits), can be evaluated using the matrix in Section 4 (or Appendix A).

3.3 WHO SHOULD CONDUCT THE SEMS MATURITY SELF-ASSESSMENT?

The SEMS Maturity Self-Assessment can be used by any company interested in assessing the maturity of their SEMS. Although this tool is designed specifically to align with API RP 75, 4th Edition, it is flexible enough to be used in part or whole to help assess other management systems.

It is intended to be used internally, either as a stand-alone self-assessment or in conjunction with a SEMS audit. The team should include personnel who are knowledgeable of the company's SEMS, as well as those who understand the level of use of the management system in the field (e.g., offshore facilities). Any opportunities identified during the assessment are communicated to those with the responsibility and authority to make decisions on improvements and enhancements.

3.4 WHEN SHOULD A SEMS MATURITY SELF-ASSESSMENT BE CONDUCTED?

SEMS Maturity Self-Assessments can be carried out at any stage of a company's SEMS implementation. Additional value can be obtained from repeating the self-assessment on a regular basis. A fully mature system would be one that regularly uses such an assessment to drive continual improvement. SEMS Maturity Self-Assessments can be carried out at different intervals, depending on the intended purpose.

A SEMS Maturity Self-Assessment can be used to set a baseline measurement of the management system prior to an initial systemic assessment or audit (e.g., first SEMS audits, new internal audit). This can gauge the company's readiness for a systemic assessment/audit and provide a control measurement from which to measure improvement.

A SEMS Maturity Self-Assessment can also be conducted on a more periodic basis, either as part of a company's review of their SEMS or in response to learnings. These learnings could come from a variety of sources, including SEMS audits, other external audits and/or internal assessments (i.e., internal audits), and events such as incidents or significant company/regulatory changes.

3.5 ADDRESSING THE PRINCIPLES OF RP 75, 4TH EDITION

API RP 75, 4th Edition, identifies four principles for the establishment, implementation, maintenance, effectiveness, and continual improvement of a company's SEMS:

- commitment;
- risk management;
- human performance; and
- continual improvement

When conducting this assessment, companies should examine how the principles are integrated within the company's SEMS. This can be done by reviewing how the principles are documented in the structure of the SEMS, how they are implemented, and whether objectives are achieved. Companies should consider how the principle is demonstrated within each element when determining maturity. A fully mature system is one in which the principles have been fully integrated into each element.

4. SEMS MATURITY SELF-ASSESSMENT EXECUTION PER ELEMENT

Section 4 contains targeted guidance on how to conduct SEMS Maturity Self-Assessments for each of the 13 elements of SEMS. For standardization and ease of use, each element-specific guidance follows the same template; however, element-specific guidance is offered to better explain how to use the tool for that specific element. The template is in black text; comments and instructions are in underlined italic red text. It is recognized that the elements within the management system are not independent from each other. The requirements in one element may depend on, or trigger the delivery of, requirements in another element in order to be effective. The inter-relationship of the SEMS Elements is part of the evaluation of the maturity of the SEMS.

ELEMENT NAME: The name of the specific SEMS element being assessed.

PURPOSE: A short description of the purpose of the element.

CONSIDERATIONS: Items specific to the particular element. These considerations could range from describing the specific scope to be assessed to discussing specific nuances in conducting the assessment. If no special considerations are required, “No specific considerations” will be stated.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
SPECIFIC ELEMENT HERE	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES: Optional area to capture opportunities identified in the SEMS Maturity Self-Assessment; can also be used to capture other items (i.e., correction actions from SEMS audits, etc.) that could affect the assessment.

4.1 ELEMENT 1: LEADERSHIP

PURPOSE:

The company's management is accountable for the establishment, implementation, maintenance, effectiveness, and continual improvement of the SEMS.

CONSIDERATIONS:

Complete the assessment of this element after all others have been completed.

For the purposes of this element, the term "leader" encompasses all who influence or direct the action of others, regardless of their title or formally defined responsibilities. For the purposes of this element, the term "management" specifically refers to leaders who have formally defined authority and accountability for the establishment, implementation, maintenance, effectiveness, or continual improvement of the SEMS.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
LEADERSHIP	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.2 ELEMENT 2: SEMS INTERFACE MANAGEMENT

PURPOSE:

The company identifies, agrees on, establishes, communicates, implements, and maintains applicable SEMS interfaces with other entities.

CONSIDERATIONS:

This element does not just apply to operator/contractor interfaces. It should take all interfaces into consideration (e.g., operating partners, operator/contractor, contractor/subcontractors).

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
SEMS INTERFACE MANAGEMENT	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.3 ELEMENT 3: RISK ASSESSMENT AND RISK CONTROLS

PURPOSE:

The company identifies hazards; assesses risk; determines and implements risk controls for assets, activities, and tasks; and communicates these to affected personnel.

CONSIDERATIONS:

This element is intended to cover risk from a facility level to an activity and task level. As part of the maintenance and continual improvement of this element, the company should consider if risk controls are continually assessed to determine if they remain adequate.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
RISK ASSESSMENT & RISK CONTROLS	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.4 ELEMENT 4: PROCEDURES

PURPOSE:

The company manages risks associated with specific activities and tasks through development and use of procedures to consistently achieve the desired results.

CONSIDERATIONS:

No specific considerations

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
PROCEDURES	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.5 ELEMENT 5: SAFE WORK MANAGEMENT AND SAFE WORK PRACTICES

PURPOSE:

The company uses safe work management, which includes safe work practices, to accomplish offshore work safely.

CONSIDERATIONS:

In the context of this element, systematically managing safe work includes the planning, preparation, risk assessment, authorization, execution, monitoring, and closeout of the work.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
SAFE WORK MANAGEMENT & SAFE WORK PRACTICES	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.6 ELEMENT 6: KNOWLEDGE AND SKILLS

PURPOSE:

The company manages the knowledge and skills of personnel such that individuals can safely perform assigned roles or work.

CONSIDERATIONS:

The assessment should include a review of all knowledge and skills components that impact offshore safety and/or environmental performance. This may include both onshore and offshore personnel.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
KNOWLEDGE & SKILLS	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.7 ELEMENT 7: ASSET DESIGN AND INTEGRITY

PURPOSE:

The company manages the integrity of its assets so that the assets are fit for purpose and perform their intended functions throughout their life cycle.

CONSIDERATIONS:

The assessment should include critical equipment not owned by the company (i.e., contracted equipment). This may be addressed via the company's maintenance program, an interface agreement, contractor maintenance program, etc.

The assessment of this element may be conducted multiple times, focusing on the specific constituent activities (i.e., design/fabrication, maintenance/testing/inspection, installation, etc.).

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
ASSET DESIGN & INTEGRITY	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.8 ELEMENT 8: MANAGEMENT OF CHANGE

PURPOSE:

The company manages changes that have the potential to introduce or affect safety and environmental risks and the accuracy of SEMS information.

CONSIDERATIONS:

This element should include a review of how both temporary and permanent changes are managed.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
MANAGEMENT OF CHANGE	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.9 ELEMENT 9: PRE-STARTUP REVIEW

PURPOSE:

The company uses a pre-startup review to confirm that assets are ready for safe startup and operations.

CONSIDERATIONS:

No specific considerations.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
PRE-STARTUP REVIEW	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.10 ELEMENT 10: EMERGENCY PREPAREDNESS AND RESPONSE

PURPOSE:

The company prepares for and responds to emergencies to mitigate safety and environmental consequences.

CONSIDERATIONS:

No specific considerations.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
EMERGENCY PREPAREDNESS & RESPONSE	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.11 ELEMENT 11: INVESTIGATING AND LEARNING FROM INCIDENTS

PURPOSE:

The company investigates incidents, identifies causes, and acts on the results to eliminate, reduce, or mitigate safety and environmental risks.

CONSIDERATIONS:

No specific considerations.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
INVESTIGATING & LEARNING FROM INCIDENTS	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.12 ELEMENT 12: EVALUATION AND IMPROVEMENT OF SEMS

PURPOSE:

The company evaluates and improves the SEMS to assure its suitability, adequacy, and effectiveness.

CONSIDERATIONS:

The company should take into consideration the full range of evaluation methods used to assess its SEMS. Typical evaluation activities (internal or external) can include but are not limited to audits, assessments, performance indicators, observations, and formal reviews.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
EVALUATION & IMPROVEMENT OF SEMS	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

4.13 ELEMENT 13: SEMS INFORMATION

PURPOSE:

The company identifies, manages, and uses accurate, available, current, and historical (if relevant) SEMS information throughout the full scope of offshore operations.

CONSIDERATIONS:

No specific considerations.

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
SEMS INFORMATION	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:

APPENDIX A: SEMS MATURITY SELF-ASSESSMENT TEMPLATE

PURPOSE:

CONSIDERATIONS:

MATURITY MATRIX:

SEMS ELEMENT	ISSUE	E	D	C	B	A
SPECIFIC ELEMENT NAME HERE	ESTABLISHED?	No component in place	Component informally in place, but not consistent with requirements	Component informally in place that is consistent with requirements	Component formally in place, but not fully consistent with requirements	Component formally in place that is fully consistent with requirements
	IMPLEMENTED?	No component in place	Component is not communicated	Component is communicated to applicable personnel	The component has been fully communicated, is understood by applicable personnel, but is not fully applied and documented	The component has been fully communicated, is understood by applicable personnel, and is fully applied and documented
	MAINTAINED?	No component in place	Component has not been reviewed to determine whether it works as designed	Component is informally reviewed to determine if it works as designed	Component is formally reviewed to determine if it works as designed	Component has been through multiple formal review cycles per an established schedule to determine if it works as designed
	EFFECTIVE?	No component in place to measure	Component is informally in place to measure effectiveness	Component is formally in place to measure effectiveness but does not feed into the continual improvement of the SEMS	Component is formally in place to measure effectiveness but only informally feeds into the continual improvement process	Component is formally in place that measures effectiveness of the system and feeds into the continual improvement of the SEMS
	CONTINUAL IMPROVEMENT?	No component in place	Informal feedback on component is available	Formal feedback on component is available	Formal feedback on component is reviewed and documented	If appropriate, action is taken to drive appropriate improvements in component

OPPORTUNITIES:



