



Guidelines for SEMS Maturity Self-Assessments

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1.0 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 systematically 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 factor changes to be successful in driving appropriate behaviors and facilitating positive performance.

A maturity approach is one way in which to evaluate the ability of a management system to remain responsive and effective in a changing environment. 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 components.

1.2 SEMS Maturity Model

The intent of this guidance is to help companies in the oil & gas industry understand the maturity of the elements of their safety and environmental management system, and where opportunities may exist to improve. The elements included will generally follow the SEMS elements as outlined in U.S. SEMS regulations (30 CFR 250, Subpart S) and API's Recommended Practice 75 Safety and Environmental Management Program (more commonly referred to as RP 75), though some variation may exist as deemed appropriate.

A standardized maturity model and assessment tool is provided 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 it remains responsive to current conditions
- Identify improvement opportunities
- Provide an indicator of the overall health of the management system

2.0 Definitions

Component – A policy, standard, practice, process, procedure or control

Continual Improvement – A set of recurring activities that are carried out in order to enhance performance

Established – Management system or component is in place, and documented if required by regulation or by the company.

Formal – Documented, approved, and repeatable

Implemented – Management system or component is put into effect or action

Informal – Reliant on individual experience, skills, and knowledge

Maintained – Management system or component continues to work as designed, is checked, and corrections or adjustments are made, if required.

Maturity – The extent to which the management system is established, implemented, maintained and continually improved

3.0 Principles

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 levels of design and use of a company's SEMS.

This tool specifically measures the maturity of various elements of a company's SEMS. It is designed to give a multi-layered view of the various components that constitute the specific elements, including whether such elements have been systematically established, implemented, and maintained. It 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)
- 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 (i.e. SEMS Audits), can be tracked in this tool. It could also be used as input to review the company's SEMS.

Finally, the SEMS Maturity Self-Assessment provides one way to gauge the current state of a company's SEMS and its ability to systematically manage safety and environmental performance.

3.3 Who should conduct the SEMS Maturity Self-Assessment?

This SEMS Maturity Self-Assessment tool can be used by any company interested in assessing the maturity of their SEMS. Although this tool is designed specifically to assess SEMS within the offshore oil and gas industry, 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 (i.e. offshore facilities). It is intended that any opportunities identified during the assessment are communicated to those with the 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 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. 1st SEMS audits, new internal audit). This can provide a measurement of the company's readiness for such a systemic assessment/audit, as well providing 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).

A SEMS Maturity Self-Assessment may also be triggered by an event, such as an incident or significant company change. These assessments could be used to identify systemic issues as well as ensure the system is sufficiently mature.

4.0 SEMS Maturity Self-Assessment Execution per Element

Section 4 contains the targeted guidance in how to conduct a SEMS Maturity Self-Assessments for each of the 17 specific elements of SEMS. For standardization and ease of use, each element-specific guidance document 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.

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 discussion of 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 NAME HERE	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
	Maintained?	No component(s) in place	Component(s) has not been reviewed to determine whether it works as designed	Component(s) is informally reviewed to determine if it works as designed	Component(s) is formally reviewed to determine if it works as designed	Component(s) has been through multiple formal review cycles per an established schedule to determine if it works as designed
	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

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: SEMS Leadership and Communication

Purpose:

The company's management has developed, communicated, implemented and maintained a safety and environmental management system and regularly reviews its suitability, adequacy and effectiveness to continuously improve the system.

Considerations:

Complete the assessment of this sub-element after all others have been completed. This provides a holistic view of the overall maturity of a company's SEMS.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
	Maintained?	No component(s) in place	Component(s) has not been reviewed to determine whether it works as designed	Component(s) is informally reviewed to determine if it works as designed	Component(s) is formally reviewed to determine if it works as designed	Component(s) has been through multiple formal review cycles per an established schedule to determine if it works as designed
	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.2 Element 1: Standards & Regulations

Purpose:

The company's management identifies, monitors, and provides access to standards and government regulations applicable to its offshore facilities and operations.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.3 Element 1: Objectives and Performance Measures

Purpose:

The company's management develops, assesses and uses management system objectives and performance measures to continually improve the system.

Considerations:

The assessment should be focused on health, safety, and environmental objectives and performance measures and not other indicators (i.e. cost, production, schedule, etc.).

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.4 Element 2: Safety and Environmental Information

Purpose:

The company develops and maintains the Safety and Environmental information for process safety and mechanical and facilities/equipment design. The company uses safety and environmental information in implementing the SEMS Elements.

Considerations:

This section does not address the document control and retention component(s). See Element 13 (see 4.16) for guidance on document control and retention.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.5 *Element 3: Hazard Analysis***Purpose:**

The company develops and implements hazards analysis for all facilities, and job safety analysis for tasks.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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Opportunities:

4.6 *Element 4: Management of Change*

Purpose:

The company develops and implements a component(s) that manages permanent and temporary changes to equipment, operating procedures, personnel, materials and operating conditions.

Considerations:

The assessment should include a review of how changes to the company's SEMS are managed.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.7 Element 5: Operating Procedures

Purpose:

The company develops and implements written operating procedures for conducting safe and environmentally sound operations.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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Opportunities:

4.8 *Element 6: Safe Work Practices***Purpose:**

The company develops and implements safe work practices designed to minimize the risks associated with operating, maintenance, and modification activities and the handling of materials and substances that could affect safety or the environment.

Considerations:

No special consideration.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.9 Element 6: Managing SEMS Interfaces

Purpose:

The organization establishes a component(s) that manages the interfaces between the organization and its contractors covering contractor evaluation, selection, agreements on application of appropriate SEMS Element components, and verification of personnel skills and knowledge prior to performing a job.

Considerations:

This element is taken from parts of several elements within API RP 75 that pertain to both the use of contractors to perform work and the interfaces between companies working together to perform work.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.10 Element 7: Training

Purpose:

The company establishes and implements a training program so that all personnel are trained in accordance with their duties and responsibilities to work safely and are aware of potential environmental impacts.

Considerations:

The assessment should include a review of all training component(s) 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
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.11 Element 8: Assurance of Quality and Mechanical Integrity of Critical Equipment

Purpose:

The company establishes and implements component(s) so that critical equipment for a facility is identified, designed, installed, tested, inspected and maintained in a way that it remains reliable and fit for service.

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
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.12 Element 9: Pre-Startup Safety Review (PSSR)

Purpose:

The company establishes and implements component(s) so that pre-startup safety and environmental reviews occur for new and significantly modified facilities.

Considerations:

No special consideration.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.13 Element 10: Emergency Response and Control

Purpose:

The company establishes and implements a component(s) so that emergency response and control plans are ready for immediate implementation.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
	Maintained?	No component(s) in place	Component(s) has not been reviewed to determine whether it works as designed	Component(s) is informally reviewed to determine if it works as designed	Component(s) is formally reviewed to determine if it works as designed	Component(s) has been through multiple formal review cycles per an established schedule to determine if it works as designed
	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.14 Element 11: Investigation of Incidents

Purpose:

The company establishes and implements a component(s) so that incidents with actual or potential for serious safety or environmental consequences are investigated to learn and prevent a recurrence of similar incidents.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.15 *Element 12: Audit of SEMS Elements***Purpose:**

The company has established a component(s) to periodically audit the safety and environmental management system (SEMS) to determine if the system has been implemented and is achieving desired results.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
	Implemented?	No component(s) in place	Component(s) is not communicated	Component(s) is communicated to applicable personnel	Personnel have the skills and knowledge to perform their assigned tasks for the component(s)	Personnel with the appropriate skills and knowledge are performing their assigned tasks for the component(s)
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.16 *Element 13: Records and Documentation***Purpose:**

The company establishes a component(s) to control its documents and records.

Considerations:

No special considerations.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.17 Element 14: Stop Work Authority

Purpose:

The company establishes a component(s) that grants all personnel the responsibility and authority to stop work when an imminent risk or danger exists, and a process by which to restart that work once it is deemed safe to do so.

Considerations:

The assessment should focus on how the right of personnel to stop work is communicated, and does not require evidence that stop work has actually occurred.

This may not be a stand-alone component in a company's SEMS, but could be incorporated under another element. If so, the assessment should review this requirement as part of the assessment of the other element.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.18 Element 15: Ultimate Work Authority**Purpose:**

The company establishes, implements, and maintains a component(s) that designates, identifies and communicates the Ultimate Work Authority to all personnel on its offshore facilities.

Considerations:

This may not be a stand-alone component in a company's SEMS, but could be incorporated under another element. If so, the assessment should review this requirement as part of the assessment of the other element.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.19 Element 16: Employee Participation Plan

Purpose:

The company has established a component(s) for defining how appropriate employees will be consulted with and participate in the development, implementation, and modification of its SEMS and how these employees have access to relevant sections of the SEMS

Considerations:

This may not be a stand-alone component in a company's SEMS, but could be incorporated under another element. If so, the assessment should review this requirement as part of the assessment of the other element.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

4.20 Element 17: Reporting Unsafe Conditions

Purpose:

The company establishes a component(s) that enables all personnel to report unsafe working conditions or possible violations to BSEE.

Considerations:

The assessment should focus on how the right of personnel to report possible violations of safety and environmental regulations is documented and publicized. Examples may include a documented “how to” process with BSEE addresses and telephone numbers, postings on safety bulletin boards / company intranet, and associated employee communications in safety meetings. Evidence that such reporting has actually occurred is not required.

This may not be a stand-alone component in a company’s SEMS, but could be incorporated under another element. If so, the assessment should review this requirement as part of the assessment of the other element.

Maturity Matrix:

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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	Continual Improvement?	No component(s) in place	Informal feedback on component(s) is available	Formal feedback on component(s) is available	Formal feedback on component(s) is being reviewed	Feedback is driving appropriate improvements in component(s)

Opportunities:

5.0 Blank Maturity Self-Assessment Tool and Template

SEMS Maturity Self-Assessment Tool

SEMS Element		E	D	C	B	A
	Established ?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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Appendix A: SEMS Maturity Self-Assessment Template**ELEMENT NAME:****Purpose:****Considerations:****Maturity Matrix:**

SEMS Element	Issue	E	D	C	B	A
	Established?	No component(s) in place	Component(s) informally in place, but not consistent with requirements	Component(s) informally in place that is consistent with requirements	Component(s) formally in place, but not fully consistent with requirements	Component(s) formally in place that is fully consistent with requirements
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Opportunities: