

COS-2-05

REQUIREMENTS FOR COS SEMS CERTIFICATES

FIRST EDITION | JULY 2020

ADDENDUM 1 — May 2023



**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 Ave N.W., 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 Ave N.W., 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 Ave N.W., Suite 1100, Washington, DC 20001.

TABLE OF CONTENTS

- 1. SCOPE / APPLICATION 1
- 2. ACRONYMS 4
- 3. DEFINITIONS 4
- 4. CONFIDENTIALITY OF INFORMATION 5
- 5. GENERAL 6
- 6. REQUIREMENTS FOR OBTAINING A COS SEMS CERTIFICATE 6
- 7. COS SEMS CERTIFICATE REQUIREMENTS 6
- 8. DISPUTES AND RESOLUTION 7
- 9. REPORTING CONCERNS 7
- APPENDIX 1 - Content of COS SEMS Certificate 8
- ADDENDUM 1 - Requirements for International COS SEMS Certificates 10

1. SCOPE / APPLICATION

This document defines the requirements for an Auditee to receive a COS Safety and Environmental Management System (SEMS) certificate. Companies with offshore activities can obtain a COS SEMS Certificate if they Establish, Implement, and Maintain a SEMS meeting the requirements of API RP 75, have that SEMS audited by a COS-accredited Audit Service Provider (ASP), and complete necessary Corrective Action.

2. ACRONYMS

- **AB** - Accreditation Body
- **API** - American Petroleum Institute
- **ASP** - Audit Service Provider
- **ATL** - Audit Team Lead
- **CAP** - Corrective Action Plan
- **COS** - Center for Offshore Safety
- **ISO** - International Organization for Standards
- **RP** - Recommended Practice
- **SEMS** - Safety and Environmental Management Systems

3. DEFINITIONS

- **Audit Service Provider (ASP)** - Independent third-party organization accredited by COS to conduct SEMS audits.
- **Audit Team Lead (ATL)** - Qualified person who leads an audit team, who meets the requirements of Section 8.2 of COS-2-01, and is under the approval, support, and control of an Audit Service Provider when conducting an audit.
- **Audit Findings** - Conformances, Deficiencies, and Strengths.
- **Auditee** - Company being audited.
- **Auditor** - Qualified person who is part of an audit team, who meets the requirements of Section 8.2 or Section 8.3 of COS-2-01, and is under the approval, support, and control of an Audit Service Provider when conducting an audit.

- **COS SEMS Certificate** - A document issued to an Auditee as evidence that its:
 - o SEMS has been audited by a COS-accredited ASP,
 - o SEMS audit conformed with the requirements of COS-2-03, and
 - o Corrective Actions that address Nonconformities identified during the audit have been confirmed as closed by the ASP.
- **COS SEMS Certificate Process** - Process for an ASP to conduct an audit of an Auditee's SEMS, confirm closure of the Auditee's Corrective Action for Nonconformities, and issue a COS SEMS Certificate to the Auditee.
- **Component** - A policy, standard, practice, process, procedure, or control.
- **Conformity** - Fulfillment of the requirements of the management system.
- **Correction** - Action to eliminate an identified deficiency.
- **Corrective Action** - The action to eliminate the cause of deficiencies and to prevent a recurrence.
- **Corrective Action Plan (CAP)** - The written record of Corrections and Corrective Actions associated with identified Deficiencies, as well as those already completed at the time of developing the CAP.
- **Deficiency** - A Nonconformity. Deficiencies require corrective actions to be included in the Corrective Action Plan.
- **Established** - Management system element or component has been developed, and if required by regulation or by the organization, is documented.
- **Implemented** - Management system or Component is put into effect or action.
- **Maintained** - Management system element or component continues to achieve the desired result, is evaluated, and corrections or adjustments are made as needed.
- **Nonconformity** - The Establishment, Implementation or Maintenance of management system elements or components are not conforming with requirements such that the intended results cannot be achieved.

4. CONFIDENTIALITY OF INFORMATION

The ASP shall ensure that Auditors selected to conduct the SEMS audit, and to confirm closure of Corrective Action of Nonconformities, comply with the ASP' policies concerning confidentiality of Auditee information and any additional confidentiality requirements agreed to between the ASP and the Auditee.

5. GENERAL

- 5.1 The ASP shall Establish, Implement, and Maintain a COS-approved SEMS Certificate Process following applicable requirements specified herein and maintain documented evidence to demonstrate conformance.
- 5.2 The ASP shall perform its COS SEMS Certificate Process following its COS-approved process.
- 5.3 The ASP shall execute a written contract with the Auditee for the audit undertaken to meet COS SEMS Certificate Process requirements.
- 5.4 Issuance of COS SEMS Certificates shall not preclude the ASP from issuing other management system certificates to the Auditee pursuant to other accreditation programs, such as ISO 9001, or ISO 14001.

6. REQUIREMENTS FOR OBTAINING A COS SEMS CERTIFICATE

- 6.1 The SEMS audit must be conducted by a COS-accredited ASP.
- 6.2 The SEMS audit must conform to the requirements of COS-2-03 *Requirements for Third-Party SEMS Auditing*.
- 6.3 ASP' must confirm that Corrective Actions that address any Nonconformities identified during the audit have been closed.
- 6.4 The ASP must stipulate to COS that the above requirements have been met.

7. COS SEMS CERTIFICATE REQUIREMENTS

- 7.1 The ASP shall issue a COS-provided SEMS Certificate to the Auditee. Apart from adding the signature of the ASP' representative, the COS-provided certificates may not be altered by the ASP or Auditee. The COS-provided certificate shall remain the property of the COS.

- 7.2 The COS SEMS Certificate will show two dates, the date that it was issued and the date by which a new certificate is required.
 - 7.2.1 The issue date of the COS SEMS Certificate shall be the date on which the ASP supplied COS with information declaring that all the requirements to obtain a certificate were confirmed.
 - 7.2.2 The date on which a new COS SEMS Certificate is required shall be three years after the start date of the audit that was completed in order to meet the COS SEMS Certificate requirements.
- 7.3 The COS SEMS Certificate shall:
 - 7.3.1 Contain the information shown in Attachment 1;
 - 7.3.2 Contain no misleading or untrue statements; and
 - 7.3.3 Not state or imply any approval, endorsement, or certification of the Auditee's SEMS by COS or API.

8. DISPUTES AND RESOLUTION

Any Auditee's dispute concerning the ASP' implementation of the COS SEMS certificate process shall first be discussed with the Audit Team Lead. If a dispute cannot be resolved at this level, the dispute shall be elevated using the means established in the ASP and Auditee audit agreement.

9. REPORTING CONCERNS

- 9.1 Audit Performance and Ethical Concerns.
 - 9.1.1 The ASP shall establish and maintain a procedure for Auditees to communicate concerns to the ASP regarding audit team or audit team member performance with respect to the COS SEMS Certificate, including provisions to ensure that complaints are resolved independently of the audit team and have no effect on the audit results. The ASP shall inform the Auditees of this communication process during the opening meeting of the SEMS Audit, including a statement that complaints shall be independently resolved and will not affect the audit results.
 - 9.1.2 The ASP shall communicate concerns to the Auditee regarding the conduct of Auditee personnel.
 - 9.1.3 Audit performance and ethical concerns can also be reported by the Auditee or ASP to COS through the complaint procedure identified on the COS website.

APPENDIX 1 - CONTENT OF COS SEMS CERTIFICATE

OVERVIEW

Pursuant to COS-2-05, Companies with offshore activities can obtain a COS SEMS Certificate, if they Establish, Implement, and Maintain a SEMS meeting the requirements of API RP 75, have that SEMS audited by a COS-accredited Audit Service Provider (ASP), and complete necessary Corrective Action. The certificate is required to contain the information described below.

ASP INFORMATION

The following information must be included on the certificate:

- Name and contact information for the ASP, including physical address and phone number for ASP headquarters, company logo, and internet web address
- COS Accreditation number for the ASP and date accreditation was provided
- Name, title, and signature of ASP representative responsible for approving certificates

CERTIFICANT INFORMATION

The following information must be included on the certificate:

- Name of the organization
- Address of organization headquarters subject to the SEMS audit
- Locations that were subject to the SEMS audit
- Unique certificate number
- Date of certificate issuance and date by which a new certificate is required

APPENDIX 1 - (CONT)

COS INFORMATION

The following language must be included on the certificate:

As a COS-accredited Audit Service Provider, *{Insert Name of ASP}* represents that the organization named below has satisfactorily completed a Safety and Environmental Management System (SEMS) audit meeting the requirements of COS-2-03 *{Insert Full Name and Edition Number}* and API Recommended Practice 75 *{Insert Full Name and Edition Number}*. Further, that the organization completed corrective action as described in COS-2-05 *{Insert Full Name and Edition Number}*. The audit was based on a sampling of the following operations and facilities:"

The title shall be presented as "Official SEMS Certificate."

The following information must be included on the certificate:

- COS physical address, phone number, and internet web address
- COS Accreditation number for the ASP and date accreditation was provided
- Name, title, and signature of COS representative responsible for approving certificates
- The COS Accreditation Mark

ADDENDUM 1 - REQUIREMENTS FOR INTERNATIONAL COS SEMS CERTIFICATES

SCOPE

This Addendum defines the requirements for an Auditee to receive a COS SEMS Certificate for an operation outside of the United States.

REQUIREMENTS

- A. All requirements for obtaining certificates presented in COS-2-05 *Requirements for COS SEMS Certificates* apply to the process for obtaining certificates for operations outside the United States.
- B. Unless an earlier edition is required by local regulations:
 - a. The SEMS audit must be conducted according to the most current edition of COS-2-03 *Requirements for 3rd Party SEMS Auditing*.
 - b. The audit scope must include the most current edition of API RP 75 *Safety and Environmental Management Systems for Offshore Operations and Assets*.
 - c. The Audit Plan must be prepared in accordance with the most current edition of COS-1-06 *Guidance for Developing a SEMS Audit Plan*.
 - d. The Audit Report must be prepared in accordance with the most current edition of COS-1-08 *SEMS Audit Report Format and Guidance*.
- C. The SEMS Audit Plan and Report must identify:
 - a. The country (or countries) subject to the SEMS to be evaluated.



