

Procedure RC520.01	American Chemistry Council Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors
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## 1.0 PURPOSE

- 1.1 To ensure that the American Chemistry Council's (ACC) Responsible Care Third-Party Audit requirement sustains public confidence and acceptance by defining the minimum qualifications and training criteria for auditors conducting RCMS/RC14001 audits.
- 1.2 To ensure auditors' qualification and training processes will be administered consistently and evaluated fairly.
- 1.3 To prevent potential conflicts of interest that might influence an auditor's findings or recommendations or public perceptions of the legitimacy of the Responsible Care Third-Party Audit requirement and its results (see also RC502 and RC503).

## 2.0 SCOPE

- 2.1 This procedure shall apply to all individuals providing RCMS/RC14001 auditing services as part of the ACC's Responsible Care Audit Third-Party Audit requirement.

## 3.0 DEFINITIONS

- 3.1 Auditor Certification – status conferred on an individual by ACC's designee upon successful application and demonstration of evidence that the requirements of this procedure have been fulfilled.

Note: see RC501.01, Section 3 for additional terms and definitions

## 4.0 RESPONSIBILITIES

- 4.1 Individuals seeking to be qualified to conduct RCMS/RC14001 audits under the Responsible Care Third-Party Audit Requirement process, shall be responsible for meeting all requirements set forth in Section 5.0 of this procedure and for ensuring that all their credentials are current and in conformance with this procedure at the time the individual conducts a RCMS/RC14001 audit.
- 4.2 ACC's designee (See Appendix 1) shall be responsible for administering auditor certification based on the criteria identified in this procedure and for approving the continuing training of individuals seeking to provide RCMS/RC14001 auditing services.

Procedure RC520.01	American Chemistry Council Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors
RCMS®/RC14001®	

- 4.2.1 If any clarification of an individual’s auditor certification status is necessary, the ACC designee shall be consulted first.
- 4.2.2 Any disputes about an individual’s credentials shall be referred to the ACC designee for resolution before RCMS/RC14001 auditing has occurred.
- 4.2.3 ACC or its designee reserves the right to monitor the individual’s qualifications and performance at any stage of a RCMS/RC14001 audit. ACC or its designee, at its discretion, may revoke an individual’s eligibility to perform RCMS/RC14001 audits.
- 4.3 Audit Service Providers (ASP) shall only utilize auditors meeting the requirements of this document to conduct RCMS/RC14001 audits under the ACC’s Responsible Care Third-Party Audit Requirement.

## 5.0 REQUIREMENTS

- 5.1 General – Individuals seeking to conduct RCMS/RC14001 audits under the Responsible Care Third-Party Audit Requirement process shall, at a minimum, meet the education, training, work, audit experience, character reference and continuing professional development (CPD) requirements defined herein.
  - 5.1.1 In order to conduct RCMS/RC14001 audits under the Responsible Care Third-Party Audit Requirement, individuals shall be under contract or employed by a qualified ASP which meets all the requirements of RC502 and/or RC503. However, an individual need not be employed or under contract of a qualified ASP to apply for and receive Auditor Certification.
  - 5.1.2 Individuals shall have a Bachelor’s Degree or higher with four (4) years relevant work experience (Section 5.2). In situations where an individual may meet all other criteria in this procedure, an equivalency review can be requested from the ACC designee.
 

Note: Individuals who meet all other criteria in this procedure but not the education requirement may request a waiver.
  - 5.1.3 Individuals shall provide evidence of auditing experience to the ACC designee. The initial requirement for Auditor Certification will be four (4) audits covering

Procedure RC520.01	American Chemistry Council Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors
RCMS®/RC14001®	

environmental, health, safety or security management systems, and/or Responsible Care management systems and twenty (20) days of auditing in the two years prior to initial certification. Up to four of the twenty days can include off-site activities including preparing for and documenting audits

Note: "Initial" certification in this section of the procedure refers to an individual's first-time certification with the ACC designee.

- 5.1.4 Individuals shall provide evidence of at least 40 hours training in the three years prior to their initial certification. ACC's designee shall define what can be counted as training, and credit may be given for conferences, presentations or other continuing professional development (CPD). As part of the training requirement, the auditor shall successfully complete (attend and pass) an ACC-approved RCMS/RC14001 auditor training course in accordance with "RCMS/RC14001 Auditor Training Course Requirements" (RC530).
- 5.1.5 Individuals shall provide two (2) written character references to the ACC designee in accordance with the designee's application procedure.
- 5.1.6 Auditors shall be certified by the ACC designee.

## 5.2 Work Experience

- 5.2.1 All applicants shall be required to demonstrate four (4) years relevant work experience. Relevant work experience shall be considered verifiable experience gained during the last fifteen (15) years and shall be defined as experience that develops skills and understanding in at least two of the areas described below:
  - 5.2.1.1 Implementation of Responsible Care/EHSS programs;
  - 5.2.1.2 Environmental, health, safety or security science and technology;
  - 5.2.1.3 Work experience gained by actual hands-on role in the chemical process industry and/or environmental, health, safety or security services;
  - 5.2.1.4 Product Safety/stewardship, transportation or distribution of chemical products;
  - 5.2.1.5 Requirements of environmental, health, safety and security laws, regulations and related documents; and,
  - 5.2.1.6 Environmental, health, safety or security/Responsible Care management systems and standards or related auditing procedures, processes and auditing techniques.

Procedure RC520.01	American Chemistry Council
RCMS®/RC14001®	Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors

5.2.2 Work experience qualification shall not be satisfied by experience solely in auditing services. Clear evidence of work experience, such as in the chemical and/or affiliated sectors, or environmental, health, safety or security fields that provides an understanding of these issues, shall be required.

### 5.3 Continuing Auditor Qualification

5.3.1 All certified RCMS/RC14001 auditors shall meet the auditing and continuing professional development (CPD) requirements outlined in this section. Auditors shall provide evidence of continued qualification to the ACC designee every four (4) years.

5.3.1.1 Auditors shall participate in the equivalent of at least six (6) qualifying audits every four (4) years covering environmental, health, safety or security management systems, and/or Responsible Care management systems.

5.3.1.2 Auditors shall successfully complete at a minimum 80 CPD hours every four (4) years according to the ACC designee's criteria.

5.3.1.3 Feedback on individual auditor's performance may be provided by the audited client company to the ASP. Additional feedback, at the discretion of the audited client company, may be provided to the ACC designee. If necessary, based on significant and repeated negative feedback, the ACC designee or ACC may review and revoke an auditor's eligibility to conduct RCMS/RC14001 audits.

5.4 Auditors conducting RC14001 (RC151) audits shall conform to relevant ISO 14001 requirements as well as those requirements identified in this document. ASPs (Certification Bodies) will assure these additional requirements are met.

5.5 ASPs shall have the option of establishing additional internal requirements and competencies for certified auditors providing RCMS/RC14001 services.

## 6.0 RECORDS GENERATED

6.1 Auditor Qualification and CPD records listed in Section 5.3 of this procedure.

Procedure RC520.01	American Chemistry Council
RCMS®/RC14001®	Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors

## 7.0 REFERENCES

- RC101 – RCMS Technical Specification (current version)
- RC151 – RC14001 Technical Specification (current version)
- RC502 – RCMS ASP requirements (current version)
- RC503 – RC14001 Requirements for Accreditation Bodies, Certification Bodies, Organizations and American Chemistry Council (current version)
- RC530 – RCMS/RC14001 Auditor Training Course Requirements (pending, to replace RC206)

Procedure RC520.01	American Chemistry Council Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors
RCMS®/RC14001®	

## APPENDIX 1

### ACC Contact

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Procedure RC520.01	American Chemistry Council Responsible Care® Third-Party Audit Requirement Qualification and Training Requirements for RCMS/RC14001 Auditors
RCMS®/RC14001®	

## DOCUMENT CONTROL

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## REVISION LOG

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