

RESPONSIBLE CARE® MANAGEMENT SYSTEM

Accreditation Manual for Auditors

November 2018



Accreditation Manual for RCMS Auditors

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1. Introduction

This manual describes the pre-qualification requirements, the training, the accreditation process, the performance monitoring approach and the conditions to maintain the accreditation for Responsible Care® Management System (RCMS) auditors.

Only a high and consistent quality of RCMS auditors will ensure that all parties involved recognise the system as reliable and trustworthy, and that the results of the audits will drive continual improvement within the chemical and allied industries sector.

Confidence and reliance in the audit process depend on the competence of persons conducting the audit.

2. Definitions

2.1 Audit Day

The duration of an audit day is normally eight hours and may or may not include a lunch break depending upon local legislation.

Audits shall be carried out at business units that have their own management structure and carry out the management functions associated with the organisation's products, services, activities and facilities.

2.2 Audit Time

This is time needed to plan and accomplish a complete and effective audit of the signatory's RCMS. It is the total time spent at a signatory's site carrying out planning, documentation review, interacting with signatory personnel and report writing. Travel (en-route or between sites) and any breaks are not included in the on-site duration of management system audits.

Note: As mentioned in section 2.1, there may be a local legal requirement to include lunch breaks. Lunch breaks are included in South Africa.

2.3 Continuing Professional Development (CPD)

CPD is a framework that encourages continual updating of professional knowledge, personal skills and competencies.

3. Responsible Care® Codes of Management Practice (CMP)

- Management Commitment
- Stakeholder Engagement
- Pollution Prevention
- Resource Efficiency
- Emergency Response
- Health & Safety
- Process Safety
- Storage & Transportation
- Product Stewardship
- Security (under development)

4. Accreditation

4.1. General

Accreditation as an RCMS Auditor is obtained on the basis of pre-qualification requirements, training, a written examination and witnessed audits. However, to be entitled to perform audits, RCMS auditors shall also obtain requirements for each of the Responsible Care® categories (refer to section 4.5) of interest by meeting the additional specific category training.

4.2. Objectives

The objectives of the RCMS auditor accreditation are:

- To ensure that RCMS auditors are of a high quality;
- To ensure uniform interpretation of the Audit Guidance Documents (AGDs) and associated CMP by all RCMS auditors, independent of their background;
- To provide an understanding and insight into the activities, organisational structures and infrastructure of signatories;
- To create a common standard of auditing amongst RCMS auditors, relating to the safety, health, environment, security, quality and corporate social responsibility (CSR) aspects of signatories; and
- Ensure that auditors meet or exceed the audit competencies defined by CAIA.

4.3. Pre-qualification Requirements

Auditors seeking to provide RCMS certification audits shall, at a minimum, meet the education, training, work and audit experience, character reference and CPD requirements defined herein.

4.3.1. Education

Applicants shall have attained an educational standard that permits the necessary knowledge to perform effectively as an RCMS auditor. This includes:

- **Option One:** - With a tertiary education

Matric or equivalent secondary education (NQF Level 4) and Tertiary education (degree or higher), with four (4) year's work experience.
- **Option Two:** - In the absence of tertiary education
Matric or equivalent secondary education (NQF Level 4) plus ten (10) years' work experience in a relevant field.

Applicants shall have successfully attended an ISO Management System Lead Auditor training course with a recognised training provider and shall have successfully completed a CAIA Responsible Care® training course.

NB: Applicants for the **RCMS Auditor – Process Safety Code** accreditation shall have successfully completed the Responsible Care® Process Safety Auditor training course offered by CAIA. In addition, they should have tertiary education in one or more of the following fields:

- Chemical engineering
- Mechanical engineering
- Industrial chemistry

4.3.2. Work Experience

- **Option 1:** With a tertiary education

Four years' experience in a relevant field.
- **Option 2:** Without tertiary education

Ten years' experience in a relevant field.

Relevant work experience shall be considered verifiable experience gained during the last ten (10) years and shall be defined as experience that develops skills and understanding in at least **two** of the areas described below:

- Implementation of Responsible Care® programmes;
- Safety, health or environmental science and technology;
- Work experience gained by actual hands-on role in the chemical industry and/or safety, health or environmental services;
- Product stewardship, transportation or distribution of chemical products;
- Requirements of safety, health or environmental laws, regulations and related documents; and/or
- Safety, health or environmental standards or related auditing procedures, processes and auditing techniques.

Work experience qualification shall not be satisfied by experience solely in management systems and auditing. Clear evidence of work experience, such as in the chemical industry, or safety, health and environmental fields that provides an understanding of RCMS issues, shall be required.

Evidence of work experience must be verifiable and should include:

- Employer (including contact details);
- Dates of employment; and
- Roles, responsibilities (job description), and achievements.

4.3.3. Management System Working Experience

The applicants shall have at least two years relevant management system working experience.

These qualifications and experience shall be documented by the applicant in the RCMS Auditor Application Form and supported by copies of certificates, where applicable.

NB: If an applicant has any doubt about a possible conflict of interest, he/she is required to contact CAIA before registering for the initial training.

4.4. Accreditation as an RCMS Auditor

4.4.1. Training Course

All applicants for accreditation as an RCMS Auditor will be required to attend a two-day training course, organised by CAIA. Only applicants who fulfil all pre-qualification requirements will be accepted to attend the training course. The training course will be conducted in English.

Candidates shall come to the training only after studying the current versions of the following documents, which are available on the CAIA website:

- Responsible Care® CMP.
- Responsible Care® AGDs.
- Responsible Care® Management System Auditor Accreditation Manual.
- Responsible Care® Management System – Requirements document.
- ISO 19011 - Guidelines for auditing management systems.

The general accreditation training will address:

- The general features of the RCMS.
- The auditing process and principles (preparation, fieldwork, evidence seeking, conformance with guidelines/legal framework, administration, reporting).
- Topics relevant to the AGDs.

4.4.2. Examination

A. Written Examination

After attending the Training Course (section 4.4.1), applicants shall participate in a written examination to demonstrate their knowledge of the RCMS and individual strengths as an auditor.

The examination will be conducted as follows:

- The examination will be in English.
- The questions are selected by CAIA, assisted by the Responsible Care® Technical and Accreditation Committee.
- The examination will be marked without knowing the name of the applicant.

B. Passing/Failing the Examination

The applicant passes when the score obtained in the examination is 80% or higher.

Applicants who are not successful but obtained 60% or higher can rewrite the examination once, at a date and venue determined by CAIA. They will pass if the rewrite examination score is 80% or higher.

Applicants who fail to meet the required standards may apply to attend a Responsible Care® Auditor Training Course and examination organised by CAIA. This can only be allowed after two attempts (after attending two training courses). If the applicant is not successful after the second attempt, he/she will not be allowed to participate in a Responsible Care® Auditor Training Course for three years. Thereafter, he/she can re-apply to attend a Responsible Care® Auditor Training Course.

4.5. Accreditation Categories for Responsible Care® Auditors

4.5.1. RCMS Auditor – Process Safety Code

In addition to the above general requirements discussed under section 4.3, applicants for the RCMS Auditor – Process Safety Code accreditation need to demonstrate through their CPD:

- Knowledge of national and international legislation related to process safety within the chemical and allied industries.
- Knowledge of national and international standards related to process safety within the chemical and allied industries.
- Knowledge of technical issues concerning process safety within the chemical and allied industries.

4.5.2. RCMS Auditor – Other Codes

In addition to the above general requirements, applicants for Responsible Care® Auditor – Other Codes need to demonstrate through their CPD:

- Knowledge of national and international legislation related to safety, health, environment, security and quality within the chemical and allied industries.
- Knowledge of national and international standards related to safety, health, environment, security and quality within the chemical and allied industries.
- Knowledge of basic technical issues related to safety, health, environment, security and quality within the chemical and allied industries.

4.6. Witnessing of an RCMS Audit

The trainee auditor shall observe and carry out audits for a total of 160 hours under the direction and supervision of an RCMS Auditor (witnessing auditor) from the same accreditation category. The trainee RCMS Auditor shall observe an RCMS Auditor for 48 hours and be observed for the remaining 112 hours by the witnessing auditor.

- The witnessed audit(s) shall cover the entire management system and all phases of the audit process as defined in ISO 19011.
- Witnessing shall be carried out to verify all applicable auditing requirements as described in ISO 19011.
- The duration of the witnessed audit and verification shall be sufficient to enable the witnessing RCMS Auditor to determine:
 - Competence in auditing against each relevant requirement of the applicable AGD.
 - Competence in performing the entire audit process, as applicable, according to ISO 19011.
 - Possession of the personal behaviours identified in ISO 19011.
- The witnessing RCMS Auditor shall complete a report using the RCMS Witnessing Auditor Performance Report Form attesting to the satisfactory performance and behaviours of the applicant.

4.7. Granting the Accreditation

The Responsible Care® Technical & Accreditation Committee recommends to CAIA to grant the Responsible Care® accreditation if the candidate has:

- demonstrated that he/she has the requisite knowledge, qualifications and experience;
- attended the Responsible Care® training course;
- passed the written examination;
- obtained successfully an accreditation category through passing the witnessing of audits; and
- successfully completed the supervised audits described in item 4.6.

The applicant will receive a CAIA RCMS Auditor Certificate of Accreditation, which is valid for three years. In the event that an applicant considers that a decision made by the Responsible Care® Technical & Accreditation Committee is unreasonable, he/she may appeal to the Responsible Care® Executive Committee. In this case, the procedure described under section 7 will be followed.

4.8. Independency and Confidentiality Requirements

All trainee and accredited RCMS auditors shall be required to sign a Code of Conduct: RCMS Auditor/Trainee Auditor Form.

4.8.1. Independency (Reference: ISO – 17021)

- The RCMS Auditor shall not have financial, commercial or advisory links with the company to be audited for a period of at least 3 years prior to the audit, except for the Responsible Care® commercial agreement or ISO audits.
- Before offering to carry out a Responsible Care® audit, the RCMS Auditor shall identify any conflict of interest that could arise. This identification shall include any conflict originating in the services provided by the Responsible Care® Auditor's professional relationships. Having professional relationships does not necessarily imply a conflict of interest. However, if any relationship creates a threat to impartiality, the RCMS Auditor shall communicate this to CAIA and be able to demonstrate how they propose to eliminate such threats. A professional

relationship that threatens the impartiality of an RCMS Auditor can be based on family ties, shared resources, payment of a sales commission or other inducement, to the referral of new clients, assessing the work of a colleague, etc.

4.8.2. Confidentiality

The team of RCMS auditors and CAIA will keep confidential any information about a particular audited company or individual that could be obtained during the audit process. The information will not be disclosed to any third party, unless under the agreement of the audited company or individual.

5. Performance Monitoring and Appraisal

5.1. General

To maintain high quality, an RCMS Auditor shall carry out at least three complete Responsible Care® audits per year.

- Efficient communication between RCMS auditors and CAIA is important. The RCMS Auditor shall be accessible by e-mail and phone.
- The RCMS Auditor shall comply with all the requirements defined in the RCMS.
- If, after reasonable efforts to contact an RCMS Auditor, he/she does not answer the emails or the phone calls, his/her accreditation may be suspended pending a final decision by the Responsible Care® Technical & Accreditation Committee on continued accreditation.
- RCMS auditors shall perform no more than three consecutive audits at the same site. Auditors will be allowed to resume auditing the same site after one audit cycle break, for no more than three consecutive years.
- RCMS auditors shall attend at least 50% of the RCMS Auditors' meetings per calendar year. If an auditor fails to adhere to this condition, the auditor's accreditation will be reviewed.

5.2. Performance Monitoring and Appraisal Process

The performance of each RCMS Auditor will be reviewed by the Responsible Care® Technical & Accreditation Committee at pre-determined periods, at least once every three years, based on:

- A review of recent audits.
- Any feedback from observers.
- Any feedback from signatory representatives.
- Any feedback from the audited companies.

When concerns are noted, a written feedback form with the observed concerns will be presented to the RCMS Auditor, to which he/she shall respond and take corrective actions.

5.3. Maintenance of Certification

5.3.1. Annual Surveillance, Membership Card Re-issue and Fee for Maintenance

- An annual registration application form is required, when personal details have changed and require updating.
- Annual submission (in January) of Audit Logs, CPD Logs and auditee feedback is required for the three-year certification review.

Note: Audit Logs, any feedback and CPD Logs (where CPD has taken place) shall be submitted in January every year (using the relevant forms) with registration fees and recorded by CAIA as annual surveillance. (These will be evaluated three-yearly by the Responsible Care® Technical and Accreditation Committee.)

5.3.2. Annual Registration Fee (Subscription) Payable to CAIA

CAIA determines registration fees on an annual basis. RCMS auditors who fail to meet the annual fee requirements may be subject to suspension or withdrawal of accreditation.

5.3.3. Three Yearly Application for Re-Certification

All certified RCMS auditors shall be required to renew certification. The period between certifications (and between initial and renewals) would be three years. Applicants for re-certification shall complete and submit the applicable application form.

5.3.4. Maintenance of Auditing Ability

Each applicant for re-certification shall maintain an Audit Log where details of a minimum of three audits per year performed by the applicant, shall be recorded.

Note: Annual Audit Logs shall be evaluated every three years, by the Responsible Care® Technical and Accreditation Committee.

5.4. Continuing Professional Development CPD

It is mandatory that each CAIA certified RCMS Auditor performs at least 45 hours of appropriate CPD during each three-year period prior to renewal of certification using the RCMS CPD Form.

Evidence of that professional development, properly verified, shall be submitted as part of the application for renewal of certification. CAIA will accept CPD acquired in activities that range from the very informal (e.g. reading and self-study) to the formal (e.g. classroom training). To balance the range, "weighting" is applied where some activities are accorded more recognition than others (refer to the RCMS Auditor CPD form). The table below gives examples of verifiable CPD, verifiable evidence and non-verifiable CPD.

Examples of Verifiable CPD	Examples of Verifiable Evidence	Examples of Non-Verifiable CPD
Workshops	Course/ training certificates	Reading newspapers
Courses	Attendance registers at meetings/ workshops	Watching auditing DVDs
Conferences	Third-party attendance verification	Self-study that does not lead to any formal assessment or research paper
Technical meetings	Minutes of a meeting	Research that does not lead to any formal assessment or research paper

Examples of Verifiable CPD	Examples of Verifiable Evidence	Examples of Non-Verifiable CPD
Developing new systems or processes	Research papers	
Presenting information to others	Presentations	
On-the-job training	Course material	
Mentoring or being mentored		
Industry published articles		
Committee work including auditor meetings		
Preparing papers and contributing to technical meetings		
Action-based learning (research)		
CPD clubs or discussion groups		

RCMS Auditor CPD may be performed in areas including:

- The fields listed under Education; and/or
- Related auditing practices or techniques; and/or
- Related management systems; and/or
- Generic management tools or techniques; and/or
- Related risk assessments; and/or
- RCMS Auditor's meetings organised by CAIA.

At least eight hours of CPD per three-year cycle shall be related to updating relevant legal knowledge.

At least 25 hours of CPD where audits are not conducted in the three-year cycle shall be required.

CPD Logs shall be submitted annually with registration fees.

5.5. Suspension and/or Revocation of an Accreditation

When repeated or serious deviations from the required performance criteria are observed, the RCMS Auditor may be called to an interview with a panel drawn from the Responsible Care® Technical & Accreditation Committee to discuss their appraisal. The RCMS Auditor will have the opportunity to present his/her case. The RCMS Auditor will be formally informed of the outcome of such an interview by CAIA.

The accreditation of the RCMS Auditor can be suspended by CAIA in cases where serious or repeated deviations are found. The suspension imposes a temporary prohibition to carry out audits. In this case, the RCMS Auditor will be invited to an interview with a panel drawn from the Responsible Care® Technical & Accreditation Committee. The procedure described in the paragraph above will be followed.

The RCMS Auditor's accreditation may be revoked by CAIA, if the performance of the RCMS Auditor does not meet the required standards. Depending on the discrepancy, this may result in the revocation of an accreditation category. CAIA will remind the RCMS Auditor of his/her right to appeal following the procedure as set out in section 7.

In the event that an RCMS Auditor considers that a decision made by the Responsible Care® Technical & Accreditation Committee is unreasonable, he/she may appeal to the Responsible Care® Executive Committee. In this case, the procedure described in section 7 will be followed.

6. Accreditation Extension

6.1. Refresher Accreditation Training

Regular refresher training will be held to ensure continual high quality of the RCMS auditors and to facilitate the accreditation extension process. All RCMS auditors shall attend the re-fresher training held by CAIA once every three years.

The refresher training will cover:

- A general update on the status and content of all categories.
- Selected topics chosen from the two categories, where RCMS auditors experienced difficulties or where the Responsible Care® Technical & Accreditation Committee noticed inconsistencies.
- An exchange of learning. The sessions will allow sufficient time for debate amongst RCMS auditors and with the industry specialists in attendance.

6.2. Granting the Accreditation Extension

The accreditation will be extended for a further period if the RCMS Auditor is found competent after the evaluation by the Responsible Care® Technical & Accreditation Committee.

7. Appeal Procedure

- The appellant shall write to the Chairperson of the Responsible Care® Executive Committee indicating in detail the reasons why he/she believes that a decision taken by the Responsible Care® Technical & Accreditation Committee is unreasonable or not in accordance with the Responsible Care® Management System Auditor Accreditation Manual, and that the applicant wishes to appeal.
- CAIA's Executive Director will be notified of receipt of an appeal notice by the Responsible Care® Executive Committee Chairperson and then collect the relevant information that may be helpful in reviewing the case and convene an Appeal Panel.
- The Appeal Panel will consist of three members, none being members of the Responsible Care® Technical & Accreditation Committee panel who interviewed the Responsible Care® Auditor.
- CAIA will provide the Appeal Panel with the necessary background information on the decision.
- The appellant shall be entitled to be heard by the Appeal Panel.
- The majority of the Appeal Panel decides if the original decision shall be upheld. The appellant will be informed in writing accordingly by CAIA.

8. Details of Registered RCMS Auditors

Details of registered Responsible Care® Auditors shall be published on CAIA's website: www.caia.co.za.