

American Chemistry Council	RCMS®:2019
Responsible Care Management System® Technical Specification Document Number: RC101.06	Issue Date: May 10, 2019

**RESPONSIBLE CARE
MANAGEMENT SYSTEM**

TECHNICAL SPECIFICATION



RESPONSIBLE CARE®

OUR COMMITMENT TO SUSTAINABILITY

30 YEARS

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Table of Contents

Introduction	4
Management System Components	5
Responsible Care Management System Requirements	7
Appendix 1 - Definitions and Interpretive Notes	14
Appendix 2 – ACC Responsible Care Initiative Requirements	17
Appendix 3 – ACC Responsible Care Guiding Principles	18
Appendix 4 – References and Resources	19
Document Control Information	20

Introduction

Responsible Care® is the American Chemistry Council's (ACC's) comprehensive health, safety, security and environmental performance improvement initiative. ACC member and Responsible Care Partner companies implement Responsible Care to effectively manage their operations and products and respond to stakeholder concerns. Implementation of Responsible Care is an obligation for ACC member and Responsible Care Partner companies covering their U.S. asset base as defined by the ACC's dues formula.

The ethical foundation of the Responsible Care initiative is based on the commitments American Chemistry Council members and Responsible Care Partners have made through the Responsible Care Guiding Principles. The Guiding Principles are personally endorsed by each ACC member and Responsible Care Partner company Executive Contact (e.g., CEO, President, etc) upon admission into the ACC.

The Responsible Care Management System (RCMS) is an integrated health, safety, security and environmental management system based on the principles of Responsible Care and the Policy-Plan-Do-Check-Act continual improvement cycle. ACC members and Responsible Care Partners are required to demonstrate conformance to this technical specification (beginning on page 7) or conformance to the RC14001® technical specification as part of their overall Responsible Care obligations. Conformance is determined through an independent third-party audit conducted according to established ACC procedures which can be accessed at <http://responsiblecare.americanchemistry.com/Accountability-and-impacts.html>

Responsible Care is a dynamic initiative which evolves to meet the expectations of the industry's stakeholders and the larger society. Information on ACC's current Responsible Care membership requirements (as of the publication of this document) to which its members and Responsible Care Partners subscribe can be found in Appendix 2 of this document. Since Responsible Care is based on the principle of continual improvement, parties implementing this management system model and/or conducting conformance audits can obtain the most current listing of program requirements at <http://responsiblecare.americanchemistry.com>.

0.0 Management System Components

Policy and Leadership

Policy establishes an overall sense of direction and sets the principles of action for an organization. It sets the overarching goal as to the level of responsibility and performance required of the organization and against which all subsequent actions shall be judged. Responsibility for setting policy rests with the organization's senior management.

Planning

An organization shall formulate a plan to fulfill its policy. The organization shall understand its hazards, risks and impacts, both inside and outside the fence line, including those related to the organization's activities, products, and services. Planning is an ongoing process which can be impacted by numerous internal and external events and activities.

Implementation, Operation, and Accountability

For effective implementation, an organization shall develop the capabilities, support systems and resources necessary to achieve its policy, objectives and targets. Implementation is a dynamic continual improvement process. An organization shall focus and align its people, systems, strategy, resources and structure in order to achieve its objectives consistent with the Responsible Care Guiding Principles.

Performance Measurement, Corrective Action and Continual Improvement

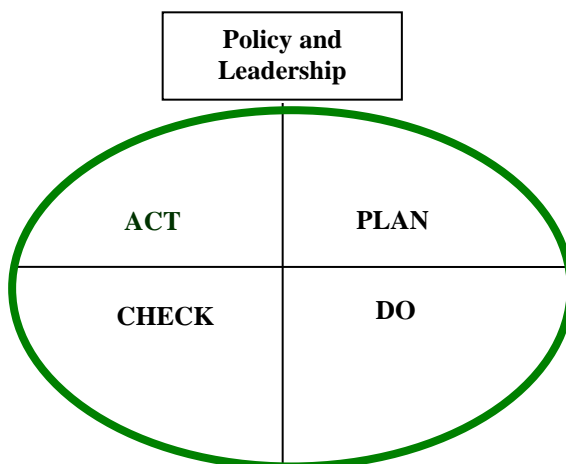
An organization shall measure, monitor, evaluate and continually improve its performance. There shall be a system to measure and monitor actual performance against the organizational objectives and targets. Systems shall also exist to plan and implement appropriate corrective actions and improvement initiatives

Management Review

The organization's management shall, at appropriate intervals, conduct reviews of the RCMS to ensure its effective operation and promote continual improvement. This review shall be sufficiently broad in scope to address the Responsible Care dimensions of its activities, products and services.

This Technical Specification specifies the requirements for the Responsible Care Management System that an organization can use to enhance its EHSS performance and is based on the Plan – Do-Check-Act framework. The Technical Specification helps the organization to achieve the intended outcomes of the Responsible Care management system which include:

- enhancement of Responsible Care performance;
- fulfilment of legal and other Responsible Care-related requirements; and
- achievement of Responsible Care objectives and targets.



Responsible Care Management System Requirements

The auditable elements of the RCMS follow:

0.5 SCOPE

The organization shall determine the boundaries and applicability of the Responsible Care management system to establish its scope. Once the scope is defined, all activities, products and services of the organization within that scope shall be addressed by the Responsible Care management system.

To achieve the intended outcomes, the organization shall establish, implement, maintain and continually improve a Responsible Care management system, including the required processes and their interactions, in accordance with the requirements of this Technical Specification.

1.0 POLICY AND LEADERSHIP

1.1 Senior management shall develop, document and implement a policy for the organization that recognizes Responsible Care, and shall communicate it to employees and other stakeholders as appropriate, and make it available to the public. The policy shall:

- be relevant to the nature, scale and impact of the organization's operations, products and processes.
- set a framework for establishing and reviewing Responsible Care goals, objectives and targets and shall include a commitment to continual improvement.
- include a commitment to comply with legal and Responsible Care related requirements to which the organization is subject or subscribes.
- promote openness with stakeholders.
- reflect a commitment to the Responsible Care Guiding Principles.

- 1.2 The policy shall be supported by a demonstration of visible leadership, commitment and involvement from senior management with respect to Responsible Care.

Note: For reference purposes, a copy of the ACC Responsible Care Guiding Principles can be found in Appendix 3.

2.0 PLANNING

- 2.1 The organization shall have a system to identify and evaluate health, safety, security and environmental hazards and assess and prioritize the risk associated with:

- a) New and existing products;
- b) New and existing processes;
- c) Changes to existing products and processes;
- d) Activities associated with operations;
- e) Abnormal conditions and reasonably foreseeable emergency situations;
- f) Distribution, transportation and use of raw materials and products;

The organization shall take into account operational energy efficiency and waste minimization, reuse and recycling when identifying its hazards and prioritizing its risks.

The organization shall communicate its prioritized risks among the various levels and functions of the organization, as appropriate.

The organization shall maintain documented information of its:

- prioritized risks; and
- methodology used to determine its prioritized risks.

- 2.2 The organization shall monitor emerging health, safety, security and environmental concerns relevant to its business and maintain current information related to hazards and risks for:

- a) Products
- b) Processes
- c) Activities associated with its operations

- 2.3 The organization shall have a system in place to review and determine the applicability of regulations, legislation and other Responsible Care related requirements to which the organization is subject or subscribes.

- 2.4 The organization shall have a process in place to assess stakeholder perspectives.
- 2.5 The organization shall establish Responsible Care goals, objectives and targets as applicable for:
- a) Products
 - b) Processes
 - c) Activities associated with its operations

These goals, objectives and targets shall be based upon the organization's prioritized risks, emerging concerns, business strategy, stakeholders' input and regulatory, legal and other Responsible Care-related requirements to which it subscribes. The goals, objectives and targets shall:

- be established for each relevant function;
- reflect the organization's commitment to continual improvement; and,
- include timeframes, responsibilities, and resources for accomplishment.

3.0 IMPLEMENTATION, OPERATION AND ACCOUNTABILITY

- 3.1 Documentation
- 3.1.1 The organization shall maintain documented information determined as being necessary for the effectiveness of the Responsible Care management system.
- 3.1.2 Documentation shall be legible, dated, readily identifiable and available.
- 3.1.3 The organization shall establish and maintain procedures for the identification, maintenance and disposition of relevant Responsible Care records, including training records, and the results of audits and reviews.
- 3.2 The organization shall establish, implement, control and maintain the systems needed to meet its Responsible Care management system requirements, manage its prioritized risks and achieve its intended outcomes by
- establishing operating criteria for the process(es);
 - implementing control of the process(es), in accordance with the operating criteria.

The organization shall establish and maintain systems to:

- manage change for products, processes and activities associated with its operations, commensurate with risk;
- ensure safe operations and maintenance activities;
- protect the environment and conserve resources;
- protect worker health; and
- create a safe and secure work environment.

3.3 The organization shall establish, document and communicate responsibilities and accountabilities to meet its Responsible Care requirements.

3.4 The organization shall have a process in place to:

- a) identify training needs;
- b) establish and maintain effective training programs;
- c) define the necessary function-specific competence of person(s) doing work under its control that affects its Responsible Care performance and its ability to fulfil its regulatory, legal and other Responsible Care-related requirements; and
- d) ensure that these persons are competent on the basis of appropriate education, training or experience.

3.5 The organization shall establish and maintain dialogue with employees and other stakeholders about its impact on human health, safety, security and the environment, its Responsible Care Management System performance, plans for improving the organization's performance and management of relevant risks for:

- a) Products;
- b) Processes; and
- c) Activities associated with its operations.

3.5.1 The organization shall have processes:

- a) to facilitate the flow of hazard and safe handling information along the value chain to support risk evaluate and risk management of its products;
- b) to facilitate the flow of appropriate guidance, information and/or the relevant risks and hazards associated with the organization's products, processes and activities; and

- c) for receiving such information from suppliers on goods and services used by the organization.
- 3.5.2 The organization shall have a process to make product safety and product stewardship information publicly available.
- 3.5.3 The organization shall participate in mutual assistance programs and sharing activities as embodied in Responsible Care.
- 3.6 The organization shall involve employees in the development, communication and implementation of Responsible Care programs. The organization shall have a system to recognize the Responsible Care performance of employees.
- 3.7 The organization shall establish and maintain procedures to respond to accidents and emergency situations, and for preventing and/or mitigating the impacts that may be associated with them. These procedures shall include:
- a) appropriate consideration of communications and community recovery needs;
 - b) appropriate participation in the development, implementation and maintenance of community emergency preparedness plans; and,
 - c) an appropriate process for responding to raw material, transportation, process, waste material and product incidents.

The organization shall periodically test these procedures where practical.

- 3.8 Commensurate with risk, the organization shall have a process, to select commercial partners, which takes into account Responsible Care or other environmental, health, safety or security performance and to work with them, as appropriate, to support continual improvement.

Note: In this clause, “Responsible Care or other environment, health, safety or security performance” may include a broad range of criteria as determined by the organization.

4.0 PERFORMANCE MEASUREMENT, CORRECTIVE ACTION AND CONTINUAL IMPROVEMENT

- 4.1 The organization shall regularly monitor and measure Responsible Care-related performance, relevant operational controls and conformance with the organization’s requirements.

The organization shall determine what needs to be monitored and measured, the methods to be used, and the criteria against which the organization will evaluate its Responsible Care performance.

The organization shall use relevant measures and records to periodically analyze health, safety, security, environmental, and other Responsible Care performance and trends.

4.2 The organization shall:

- determine the frequency that compliance with relevant environmental health, safety and security legislation and regulation shall be evaluated;
- determine the frequency that conformance to other Responsible Care-related requirements shall be evaluated;
- evaluate compliance/conformance and take action, if necessary; and
- maintain knowledge of its compliance/conformance status.

4.3 Internal Audits

4.3.1 The organization shall have a process to conduct internal audits of its Responsible Care Management System to determine whether or not it has been effectively established, implemented and maintained. Audits shall occur at planned intervals and their frequency shall be determined commensurate with risks associated with the operations; results of previous audits; and changes to the management system.

4.3.2 The internal audit program shall address frequency, methods, responsibilities, planning requirements and reporting of results. The organization shall:

- a) define the audit criteria and scope for each audit;
- b) select auditors and conduct audits to ensure objectivity and the impartiality of the audit process;
- c) ensure that the results of the audits are reported to relevant management.

4.4 Commensurate with risk, the organization shall have an ongoing process to review and re-assess commercial partners based on Responsible Care or other environmental, health, safety and security performance criteria that have been established by the organization.

- 4.5 The organization shall periodically evaluate the effectiveness of its communications programs with its stakeholders.
- 4.6 Nonconformity and corrective action
- 4.6.1 The organization shall have a process to identify, investigate and assign significance to:
- Incidents and accidents relating to its products, processes and activities associated with its operations;
 - Instances of non-conformance with the Responsible Care Management System.
- 4.6.2 Based on the determined level of significance, the organization shall:
- a) Identify root causes;
 - b) Address and mitigate any adverse impacts;
 - c) Initiate and complete corrective action(s) that address the root causes;
 - d) Share key findings and associated corrective actions with relevant internal and external stakeholders; and
 - e) Review effectiveness of corrective actions taken.

5 MANAGEMENT REVIEW

- 5.1 Senior management shall periodically review the Responsible Care Management System and take action to ensure its continuing suitability, adequacy and effectiveness. This review shall address the possible need for changes to policy, the extent to which goals, objectives have been met, changing circumstances, the effectiveness of actions taken to manage prioritized risks and the commitment to continual improvement.

Outputs from the management review shall include conclusions and any decisions and actions related to possible changes deemed necessary, opportunities to enhance the alignment between the Responsible Care management system, resources and the strategic direction of the organization.

The organization shall retain management review records, including the meeting dates, attendees, inputs and outputs.

Appendix 1 - Definitions and Interpretive Notes

Definitions

Activities Associated with Operations – A phrase referring to activities outside of or supporting traditional manufacturing processes. For example, a manufacturing process might be a batch production operation, while activities associated with that operation might include maintenance (planned, required, emergency, routine, and preventive/predictive), housekeeping, training, and other non production-specific actions.

Commercial Partner - an entity which shares or takes part with another in a commercial venture with shared benefits and shared risks.

Note: for Responsible Care purposes, commercial partners may include, but are not limited to, carriers, contractors, customers, distributors, logistics management providers, suppliers, toll manufacturers, waste disposal providers, etc.

Corrective Action – action(s) to eliminate the cause of a nonconformity and to prevent recurrence

Facilitate the flow of information – Develop dialogue and working relationships with suppliers, customers, and others in relevant value chains, including two-way communications between producers and downstream customers.

Hazard – Source of or situation that could result in harm in terms of human injury or ill health, damage to environment, property or the workplace or a combination of these.

Nonconformity - non-fulfilment of a requirement

Operational energy efficiency - Engineering accepted use of the term by the organization. Examples are conversion efficiency, energy required/energy used, output/input, theoretical energy used to operate/energy used to operate.

Risk – Combination of the likelihood and consequence(s) of a specified hazardous event occurring.

Prioritized Risks – Arranging or addressing risks in order of importance.

Product Incident - Occurrence arising out of or in the course of handling a product that results in injury or ill-health or has an impact on the environment or security.

Product Safety - Product safety management requires an understanding of intended product uses, a science-based assessment of potential risks from products, and consideration of the opportunities to manage product safety along the value chain. A key component of managing product safety by parties in the value chain is exchanging

information regarding product hazards, intended uses, handling practices, exposures and risks.

Product Stewardship - Product stewardship directs participants involved in the life cycle of a product to take shared responsibility for understanding, managing and communicating the impacts to human health and the environment that result from the development, production, use, distribution and end-of-life management of the product. This helps companies and their partners to promote safe and environmentally sustainable use of products.

Product stewardship information - Information elements that may be made publicly available include, but are not limited to:

- Chemical identity (or category description)
- Uses - applications, functions
- Physical/chemical properties
- Health effects
- Environmental effects
- Exposure - exposure potential
- Risk management - recommended measures

Other elements that might strengthen a company's stewardship message, may also be included.

Responsible Care® – An international environment, health and safety performance improvement initiative of the chemical industry. Responsible Care is based on the concepts of continual improvement and openness in responding to the concerns of stakeholders about the industry's operations and products. In the United States, Responsible Care is implemented by the member and Partner companies of the American Chemistry Council (ACC). ACC also includes a focus on security of manufacturing plants, the chemical supply chain and IT/cyber activities in its Responsible Care program.

Senior Management – At the company (organizational) level, Senior Management of the organization should be defined as the ACC Executive Contact. Senior management should have broad responsibilities in the company, typically over multiple businesses and product lines. At a plant site or a smaller company, Senior Management might be the plant manager or the Operations/Divisional Vice President to which the plant manager reports. While the definition of Senior Management may vary slightly from company to company, it should be clear that Senior Management is the person or persons with significant responsibility and authority concerning the organization's operations.

Stakeholders – Person or persons impacted or potentially impacted by the organization's operations. These may include employees, stockholders, neighbors, emergency responders, other industries, customers and other commercial partners, public at large, NGOs, regulators, and anyone else with a personal stake in the organization's operations.

Value Chain - The chemistry value chain includes the full range of activities that are required to bring a chemistry related output from its conception to its end use (e.g. design, procurement, production, and distribution). Value chain activities can be contained within a single firm or divided among different firms, and can be contained within a single geographical location or spread over wider areas. (Includes products, processes, technology, etc.)

Interpretive Notes

Policy Section (1.0) – An organization is not required to include the words “Responsible Care” in its policy statement. ACC strongly encourages its members and Responsible Care Partners to use the term “Responsible Care” in their policy statements, but this is not required. Examples of acceptable alternatives include but are not limited to: policy using the term “health, safety, security and environment” in lieu of Responsible Care; or separate policies covering different disciplines. This second example may be prevalent for security which may not be linked to the company health, safety and environmental policy. If the organization opts to use the term “Responsible Care” it should be done in accordance with relevant branding guidelines (*Responsible Care Logo Guidelines* – available from ACC).

Policy Section (1.6 – “reflect”) – The organization’s policy shall address key concepts found in the ACC Responsible Care Guiding Principles. There is no requirement that the Guiding Principles be included “verbatim” in an organization’s policy.

Appendix 2 – ACC Responsible Care Initiative Requirements

As of January 1, 2019, all American Chemistry Council members and Responsible Care Partners are obligated (within their ACC dues-based operations) to:

- Have their designated Executive Contact sign the Responsible Care Guiding Principles upon the company's joining ACC and return a signed copy to ACC. (When a new individual assumes the Executive Contact role, he/she is required to submit a signed copy of the Guiding Principles to ACC.)
- Implement the Responsible Care Security Code
- Implement the Responsible Care Product Safety Code
- Implement the Responsible Care Process Safety Code
- Report required performance metrics data to ACC annually.
- Demonstrate conformance to the RCMS or RC14001® technical specification through a third-party audit process, as defined by ACC.

Copies of the Security, Product Safety and Process Safety Codes; Guiding Principles; an explanation of the Certification process; and information on the required performance metrics can be obtained at: <http://responsiblecare.americanchemistry.com>

For questions concerning ACC's Responsible Care Initiative, please contact ACC at responsible_care@americanchemistry.com

Appendix 3 – ACC Responsible Care Guiding Principles

Name of Company
is proud to participate in the
American Chemistry Council
Responsible Care® initiative

We pledge to operate our business according to the following Guiding Principles

Chemistry is essential to the products and services that help make our lives safer, healthier and better. Through the Responsible Care initiative and the Responsible Care Global Charter our industry has made a worldwide commitment to improve our environmental, health, safety and security performance. Accordingly, we believe and subscribe to the following principles:

- o To lead our companies in ethical ways that increasingly benefit society, the economy and the environment.
- o To design and develop products that can be manufactured, transported, used and disposed of or recycled safely.
- o To work with customers, carriers, suppliers, distributors and contractors to foster the safe and secure use, transport and disposal of chemicals and provide hazard and risk information that can be accessed and applied in their operations and products.
- o To design and operate our facilities in a safe, secure and environmentally sound manner.
- o To instill a culture throughout all levels of our organizations to continually identify, reduce and manage process safety risks.
- o To promote pollution prevention, minimization of waste and conservation of energy and other critical resources at every stage of the life cycle of our products.
- o To cooperate with governments at all levels and organizations in the development of effective and efficient safety, health, environmental and security laws, regulations and standards.
- o To support education and research on the health, safety, environmental effects and security of our products and processes.
- o To communicate product, service and process risks to our stakeholders and listen to and consider their perspectives.
- o To make continual progress towards our goal of no accidents, injuries or harm to human health and the environment from our products and operations and openly report our health, safety, environmental and security performance.
- o To seek continual improvement in our integrated Responsible Care Management System® to address environmental, health, safety and security performance.
- o To promote Responsible Care® by encouraging and assisting others to adhere to these Guiding Principles.

Appendix 4 – References and Resources

A number of Responsible Care practitioner tools and references are available. ACC members and Partners can access these documents at:

<https://memberexchange.americanchemistry.com/ResponsibleCare/>

- RCMS Implementation Guidance (RC102)
- Responsible Care Certification Procedures (RC501-503, RC520, RC206)
- Security Code and Security Code Implementation Guidance Documents
- Product Safety Code and Product Safety Implementation Guidance Documents
- Process Safety Code and Process Safety Implementation Guidance Documents
- Listing of ACC Member and Partner Company Performance Metrics
- General Responsible Care implementation information

Copies of the RC14001 Technical Specification may be purchased at

www.americanchemistry.com/store

Other sources of useful information relating to the Responsible Care Third-Party Audit Process include:

ANSI-ASQ National Accreditation Board

www.anab.org

DOCUMENT CONTROL

	Name and Title	Signature	Date
Written By:	RCMS Review Work Group	Dan Rocznik	5/10/19
Owner:	ACC Responsible Care Committee	Andy Piper, Chair	5/10/19
Approved By:	ACC Responsible Care Committee	Andy Piper Chair	5/10/19

REVISION LOG

REVISION NO:	REASON FOR CHANGE(S):	DATE:
00	Original issue	8/15/03
01	<i>Revisions to Elements 2.1, 2.2, 2.5 and 4.1 to provide greater clarity for participants on issues relating to hazard and risk identification. Glossary updated with new terms. Notes section added.</i>	1/25/04
02	Revised document numbering to conform to changes in entire RC Certification Procedures series.	3/9/05
03	Revised to: address increased stakeholder concerns regarding product and product stewardship issues, addition of emergency response language, eliminate specific references to Responsible Care Guiding Principles in element 3.2. Changes to definitions/glossary to reflect changes in requirements. Introduction section modified.	2/29/08
04	Revised to include requirements identified in ACC's Strategic Review (2010-2012) and address additional issues including, consideration of energy efficiency and waste issues in the planning section; inclusion of competency requirements in training section; change "supply" chain to "value" chain; modify language in the internal compliance and management systems elements; modify incident/accident/non-conformance investigation element; and enhance Management Review requirements.	5/1/13
05	Revised to update clauses to ensure continued alignment with RC14001 requirements; include learnings from audits conducted against version 04 document; update terms and definitions; enhance auditing requirements; and consolidate documentation requirements.	2/1/19
06	Revised to correct missing words in elements 4.2 (add "environmental" in bullet #1) and 4.4 (add "security").	5/10/19