



American
Petroleum
Institute



API Monogram™
Program



API Quality
Registrar™

API AUDITOR CODE OF ETHICS

API auditors are required to:

- Conduct themselves in accordance with all applicable laws, regulations, auditing standards, and ethical standards of conduct.
- Maintain control and prevent distribution of API intellectual property and any ancillary documents used for the audit.
- Adhere to facility and general industrial safety standards.
- Conduct themselves in a professional manner at all times during the course of contracted assignments.
- Report all personal relationships, activities, or financial affairs that may influence their performance or create the appearance of a conflict of interest or an actual conflict of interest.
- Use all necessary safeguards to prevent the disclosure of any confidential information.
- Observe ethical standards of conduct that maintain and reflect the integrity of the API Program.
- Immediately disclose to API any actual, potential, or perceived conflicts.
- Immediately disclose to API any offers of bribes or other improper or unethical attempts to influence decision-making.

To prevent any potential or perceived conflicts of interest, API auditors, their immediate families, or other members of their households shall not use their positions as auditors to:

- Offer any services for a period of no less than 24 months to facilities that they have audited or that they have been assigned to audit, where such services would be provided by the auditors, their immediate family members, or companies that the auditors or their immediate family members work for, contract with, or otherwise have direct or indirect financial interests in, or any affiliates of such companies. For purposes of this code, an auditor's immediate family includes, but is not limited to, any member of the auditor's household (his or her spouse, parents, children, or siblings).

- Discuss future employment opportunities for a period of no less than 24 months with any facilities that the auditors have audited or that they have been assigned to audit.
- Accept or solicit from any facility, which the auditors or their companies have audited or been assigned to audit, any money or anything else of value for themselves, their families, their friends, any companies or organizations in which they or their immediate family members have direct or indirect financial interests, or any affiliates of such companies or organizations. "Anything else of value" includes, but is not limited to, cash, gifts, hospitality, services, commissions, rebates, discounts, loans, vacations, event tickets, entertainment, trips, or other items of value. A "financial interest" includes any ownership stakes, employment agreements, or independent contracting or consulting arrangements. Ownership of publicly traded securities does not itself constitute a "financial interest" in a company under this policy.
- Give any gifts, money, or anything else of value to any API employee or their immediate family members.
- Otherwise use their position as auditors to seek improper benefits from facilities or companies affiliated with a facility.

CODE OF CONDUCT FOR API MONOGRAM LICENSEES, APIQR REGISTERED ORGANIZATIONS AND PROGRAM APPLICANTS

API requires Monogram/APIQR auditors, licensees, registered organizations, and applicants to conduct themselves according to a Code of Conduct. In accordance with the API Monogram License or Registration Agreement, a licensee, registered organization, or applicant must notify its employees of the content of this advisory. Program Participant employees, including its agents, consultants, and contractors, shall comply with the following:

- Conduct themselves in a professional manner during an audit;
- Observe high standards of ethical conduct to ensure that the integrity of the program and its objectives are protected;
- Refrain from slander, insults, and abusive behavior including harassment and threats toward API, its staff members, its auditors, and its representatives, either verbally or in written correspondence;
- Refrain from any conduct that prevents API employees or representatives, including auditors, from performing their assigned roles;
- Make no false claims or otherwise assist others in making false claims of API certification or approval or otherwise infringe upon or misuse any intellectual property or other property right of API, including, but not limited to, copyrights, trademarks, or confidential or proprietary information;
- Provide no false or misleading information to API, API staff, or its representatives, including auditors;
- Refrain from any implication that API endorses, promotes, or approves specific products;
- Refrain from any misrepresentation of the organization's relationship with API, its members, officers, or directors;
- Refrain from contact or other communication with auditors after the closing meeting of an audit. All post-audit communications will be between the Program Participants and API;

- Offer or provide, **under no circumstances**, any form of bribe or gift of value to any API staff member, API auditor, other API representative, or family or friends of API staff members, auditors, or other representatives, directly or indirectly, for the purpose of obtaining favorable treatment or securing an improper advantage or for any other improper purpose. "Anything of value" includes, but is not limited to, cash, gifts, hospitality, services, commissions, rebates, discounts, loans, vacations, event tickets, entertainment, trips, and other items of value;
- Refrain from discussing future employment opportunities with any API staff member, API auditor, or other API representative or an immediate family member of an API staff member, API auditor, or other API representative while that API staff member, API auditor, or other API representative is involved in evaluating a license application or renewal; and
- Refrain from providing reimbursement of API staff members, API auditors, or other API representatives for lodging and travel expenses or for any other costs associated with an audit. Program Participants shall not provide lodging or travel directly to API staff members, API auditors, or other API representatives, except that a Program Participant may provide, and API staff members, API auditors, and other API representatives may accept, local ground transportation and standard accommodations on the Program Participant's premises when alternative lodging is not readily available.
- Report immediately to API any violation of this code of conduct by API auditors or staff including, but not limited to, solicitations of a bribe or anything else of value in connection with an API audit, as well as offers to provide any services to an audited facility within 24 months of conducting an API audit, whether or not such services are related to API.

All Program Participants, including applicants and API-licensed or API-certified organizations and their employees, consultants, and other representatives, are expected to comply with this Code of Conduct. Failure to comply may result in withdrawal of an application or termination of an existing license and/or certificate.

Reports of any violation of this advisory may be made by contacting the Audit Program Manager at audits@api.org or by contacting any of API's offices or any API staff member in person, by phone, or by email.

THIS ADVISORY 7 SUPERSEDES ANY PREVIOUS VERSION. IT IS CONSIDERED PART OF API'S PROGRAM REQUIREMENTS AND IS COMPULSORY.

REPORT VIOLATIONS TO COMPLIANCE@API.ORG