



## BODY OF KNOWLEDGE

### API Certified Auditor Personnel (CAP): Auditor Q1 Certification Exam

November 2022 and March 2023

Auditors who hold an API Auditor Spec Q1 certification are expected to have knowledge of auditing, and API Spec Q1 requirements.

The exam consists of 170 questions. Half of the exam questions will test the applicant's knowledge of auditing. Half will test the applicant's knowledge of the requirements listed in API Specification Q1. The Auditing and Q1 questions will be intermixed.

These questions may be multiple-choice single-response, multiple-choice multiple-response, drag and drop or matching. More information about alternative item types can be found [here](#). The exam is closed book, and nothing will be allowed in the testing area.

#### REFERENCE PUBLICATIONS:

##### A. Auditor References:

- **ISO 9000:2015**, *Quality management systems – Fundamentals and vocabulary*
- **ISO 19011:2018**, *Guidelines for auditing management systems*
- *The ASQ Auditing Handbook, 4th edition*, by J. P. Russell
- *CQA Primer by the Quality Council of Indiana*
- *Quality Audits for Improved Performance, 3rd edition*, by Dennis Arter
- *How to Audit the Process-Based QMS, 2nd edition*, by Dennis R. Arter, Charles A. Cianfrani and John E. (Jack) West

Topics covered by the auditing questions may include:

##### 1. Auditing fundamentals

This section relates to the applicant's knowledge of :

- a) Terms and definitions used in auditing
- b) The different types of audits based on what is being audited, who is being audited and why is the audit being performed
- c) Purposes of audits
- d) Audit scope, objectives, and criteria

##### 2. Ethics and Standards of Conduct for Auditors

This section relates to the ethical expectations from an API-certified auditor including:

- a) Conflict of interest

- b) Independence and objectivity
- c) Confidentiality and integrity

### 3. Audit Programs

This section relates to the applicant's knowledge of the development and management of audit programs in all types of auditee-auditor relationships, including:

- a) Identification of audit program objectives
- b) Development and implementation of an audit program
- c) Evaluation of the effectiveness of the audit program
- d) Use of the audit program as management tool to improve business performance

### 4. Process auditing

This type of auditing is covered in a separate section since this is the preferred auditing technique of the oil and gas industry. This relates to the applicant's knowledge of process auditing including the:

- a) Definition of a process
- b) Advantages of process auditing
- c) Difference between process auditing and other auditing techniques
- d) Use of audit trails in a process audit

### 5. Pre-audit activities

This section relates to the applicant's knowledge of the activities in preparing for an audit and covers topics such as:

- a) Audit planning
- b) Preparation of auditing tools
- c) Review of audit documentation
- d) Coordinating logistics
- e) Assignment of the audit team

### 6. Conducting the audit

This section relates to the applicant's knowledge of the requirements of effectively performing onsite audit activities such as:

- a) Conducting/managing the opening/entrance meeting
- b) Identifying and collecting samples
- c) Reviewing documents/records, observing and interviewing
- d) Communicating with audit team and auditee
- e) Using auditing tools
- f) Identifying/documenting/communicating findings
- g) Analyzing audit data to develop the audit conclusion/summary
- h) Conducting/managing the closing or exit meeting

### 7. Audit reporting/follow-up activities

This section relates to the applicant's knowledge of post-audit activities that include:

- a) Writing a process audit report
- b) Writing a nonconformity
- c) Documenting conclusions
- d) Reviewing corrective action plans
- e) Evaluating corrective actions
- f) Verifying corrective actions

8. Leading the audit

This section relates to the applicant's knowledge of the requirements in performing an audit as the sole auditor including:

- a) Responsibilities of the auditor
- b) Resolving conflict with auditee
- c) Making final decisions regarding findings
- d) Communicating with the auditee

**B. Q1 Reference:**

- **API Specification Q1, *Specification for Quality Management System Requirements for Manufacturing Organizations for the Petroleum and Natural Gas Industry*, 9th Edition, June 2013 with Errata 1 (Feb 2014), Errata 2 (March 2013), Addendum 1 (June 2016), Addendum 2 (May 2018) and Errata 3 (October 2019)**