

API AUDITOR CODE OF ETHICS

In performing auditing services on behalf of API, you agree that you will at all times:

- Conduct your business in accordance with all applicable laws, regulations, auditing standards and ethical standards of conduct,
- Maintain control of API intellectual property and do not distribute it by any means.
- Adhere to facility safety standards and general industrial safety standards to protect your health and well-being,
- Conduct yourself in a professional manner at all times during the course of the contracted assignment,
- Avoid any personal relationships, activities, or financial affairs that may influence your performance or create the appearance of a conflict of interest or an actual conflict of interest,
- Use adequate safeguards to prevent the disclosure of any confidential information,
- Observe high ethical standards of conduct to ensure that the integrity of API's programs is protected,
- **Immediately disclose to API any actual, potential or perceived conflicts, and**
- **Immediately disclose to API any offers of bribes or other improper or unethical attempts to influence your decision-making.**

To prevent any potential or perceived conflict of interest, you, your immediate family, or other members of your household shall not use your position as an auditor to:

- Offer any services to a facility or a company affiliated with a facility that you have audited in the past 24 months or that you have been assigned to audit, where such services would be provided by yourself, your immediate family members, or a company that you or your immediate family members work for, contract with, or otherwise have a direct or indirect financial interest in, or any affiliate of such a company. For purposes of this code, your immediately family includes, but is not limited to, any member of your household, your spouse, your parents, your children, or your siblings.
- Discuss future employment opportunities with any facility or a company affiliated with a facility that you have audited in the past 24 months or that you have been assigned to audit.
- Accept or solicit from any facility, which you or your company have audited or been assigned to audit, any money or anything else of value for yourself, your family, your friends, any company or organization in which you or your immediate family member has a direct or indirect financial interest, or any affiliate of such a company or organization. "Anything else of value" includes, but is not limited to, cash, gifts, hospitality, services, commission, rebates, discounts, loans, vacations, event tickets, entertainment, trips, or other items of value. A "financial interest" includes any ownership stake, employment agreement, or independent contracting or consulting arrangement. 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 your position as an auditor to seek an improper benefit from a facility or company affiliated with a facility.

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

API is committed to maintaining the integrity of its licensing and certification programs. All licensees, certified organizations and applicants are required to act in a professional manner in accordance with high ethical standards, and to comply with all licensing and program requirements at all times. For the purpose of this Advisory, the term "licensees, certified organizations and applicants" includes all organizations licensed, registered, certified or under application with the API Monogram™ Program and/or APIQR™, as well as those organizations' employees, consultants, and other representatives involved in the API licensing and certification process.

A failure by a licensee, certified organization or applicant to comply with the following requirements could result in a delay in the licensing and/or certification process, cancellation of an application, or termination of an existing license and/or certificate:

- Licensees, certified organizations and applicants shall conduct themselves in a professional manner during an audit.
- Licensees, certified organizations and applicants shall observe high standards of ethical conduct to ensure that the integrity of the program is protected.
- Licensees, certified organizations and applicants shall not slander, insult, abuse, harass, or threaten API, its staff members, its auditors, or its other representatives, either verbally or in written correspondence.
- Licensees, certified organizations and applicants shall not engage in any conduct that is designed to prevent or frustrate API employees or representatives, including auditors, from performing an evaluation of the licensees' qualifications.
- Licensees, certified organizations and applicants shall not make 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 information.
- Licensees, certified organizations and applicants shall not assist a third party in making false claims of API certification or approval or otherwise infringing upon or misusing any intellectual property or other property right of API, including, but not limited to, copyrights, trademarks, or confidential information.
- Licensees, certified organizations and applicants shall not provide API or its representatives, including auditors, with false or misleading information.
- Licensees, certified organizations and applicants shall not violate any program-related API policy or any term or condition of the license agreement.

- Licensees, certified organizations and applicants shall not use a false identity for the purpose of misleading others.
- Licensees, certified organizations and applicants shall not imply that API is endorsing their products.
- Licensees, certified organizations and applicants shall not misrepresent their relationship with API, its members, officers, or directors.
- Licensees, certified organizations and applicants shall not distribute false information about API, its activities, or its members.
- Program Participants shall not contact or otherwise communicate with auditors after the closing meeting of an audit. All post-audit communications will be between the client and API.
- Licensees, certified organizations and applicants shall not offer or provide any form of bribe or anything else of value to any API staff member, API auditor, other API representative, or API staff member's, auditor's or other representative's family or friends, directly or indirectly. "Anything else of value" includes, but is not limited to, cash, gifts, hospitality, services, commission, rebates, discounts, loans, vacations, event tickets, entertainment, trips, or other items of value.
- **Licensees, certified organizations and applicants must promptly report to API any (1) solicitation of a bribe or anything else of value in connection with an API audit or (2) offer by an API auditor to provide any services to an audited facility within 24 months of conducting an API audit, whether such services are related to API or not.** Reports 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.
- Licensees, certified organizations and applicants shall not discuss 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.
- Licensees, certified organizations and applicants shall not reimburse API staff members, API auditors, or other API representatives for lodging and travel expenses or for any other costs associated with an audit. Licensees, certified organizations and applicants may not provide, and API staff members, API auditors, and other API representatives may not accept, local ground transportation or standard accommodations on the facility's premises, unless alternative lodging is not readily available and prior, written approval has been provided by API staff.

REPORT VIOLATIONS | Email Compliance@api.org or report misconduct anonymously at MyAPIEthicsPoint.org