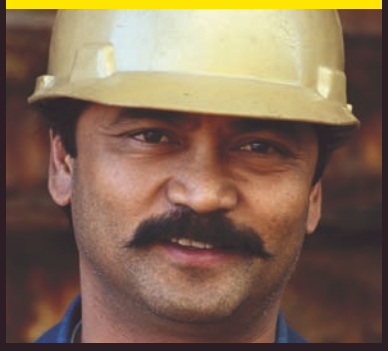
API CERTIFICATION PROGRAMS

Application

	Your Quest for Quality Starts Here
Item	**API Certification Programs Application**
Effective Date	**June 1, 2008**
Revision	**07**



API Certification Programs Application

Thank you for requesting an API Certification Programs Application. This Application form must be used when applying to any API® or APIQR® program including: **Quality*Plus*®, ISO 9001 Registration, API Spec Q1® Registration, API ISO/TS 29001 Registration, and API Monogram® Licensing.**

This Application provides API or APIQR with the basic information required for processing your inquiry. Please include as much detailed information as possible. All such information is subject to investigation and applications may be rejected if the information supplied so warrants. If you have any questions, please contact one of our Associates by calling API at 202-962-4791, or you can fax us at 202-682-8070. Please send email inquiries to certification@api.org.

If more than one facility is applying, please indicate each location on a separate Application. If more space is needed, please attach additional sheets as necessary.

Contents:

API Quality*Plus*®

API Spec Q1®

API Monogram® Program

API ISO/TS 29001®

APIQR®

API Certification Program Options

Option 1
Quality Management System Registration + API Monogram Licensing

- **Option 1a:** Option 1a is API's most comprehensive and all-inclusive certification program service. Organizations achieve three quality management system registrations and API product licensing through one convenient annual audit.
  Option 1a results in:
  - API Monogram Licensing
  - API Spec Q1 and API ISO/TS 29001 Registrations
  - ISO 9001 Registration
- See the **RED**, **GREEN**, and **BLUE** Program Requirements booklets for details.

- **Option 1b:** Option 1b provides organizations with a convenient way to achieve ISO 9001 registration and API product licensing through one annual audit.
  Option 1b results in:
  - API Monogram Licensing
  - ISO 9001 Registration
- See the **RED** and **BLUE** Program Requirements booklets for details.

- **Option 1c:** Option 1c allows organizations to achieve certification to the oil and natural gas industry's quality management system standards and API product licensing through one annual audit.
  Option 1c results in:
  - API Monogram Licensing
  - API Spec Q1 and API ISO/TS 29001 Registrations
- See the **RED** and **GREEN** Program Requirements booklets for details.

Option 2
Quality Management System Registrations

- **Option 2a:** APIQR's most convenient and complete option for organizations seeking quality management system registrations. Option 2a provides customers with quality management system registrations through one annual audit and one annual fee. Option 2a results in:
  - API Spec Q1 and API ISO/TS 29001 Registrations
  - ISO 9001 Registration
- See the **GREEN** and **BLUE** Program Requirements booklets for details.

- **Option 2b:** Organizations who choose this option will have their quality management system registered to ISO 9001. Option 2b results in:
  - ISO 9001 Registration
- See the **BLUE** Program Requirements booklet for details.

- **Option 2c:** Organizations who choose Option 2c will provide evidence through registration that their quality management system meets the oil and natural gas industry standard for quality management systems. It is a demonstration that they meet all the additional requirements (over ISO 9001 Registration) characterized by this industry standard. Option 2c results in:
  - API Spec Q1 and API ISO/TS 29001 Registrations
- See the **GREEN** Program Requirements booklet for details.

Option 3
API Monogram Licensing

- **Option 3:** API Monogram Program Licensing allows organizations to provide evidence to equipment purchasers that they manufacture products in accordance with API product specifications. More than 70 different API product specification licenses are available. Option 3 results in:
  - API Monogram Licensing
- See the **RED** Program Requirements booklet for details.

How To Submit This Application. Submit Parts 1 and 2 of this Application, accompanied by the original signed API License and/or Registration Agreement for **each** product specification and/or program registration, and a copy of your Quality Manual to:

API Certification Programs
1220 L Street, NW
Washington, DC 20005-4070
USA

For detailed instructions see ***Directions for Submission of the Application*** on the next page.

API Certification Program Options

Directions for Submission of the Application

Submit all applicable pages of the following items for each program for which you are applying:

1. **Part 1 - Applicant Information**

2. **Part 2 - Application Agreement**

3. **(a) Part 4 - API Monogram License Agreement**
   Located in the API Monogram Licensing Program Requirements. You must submit one for each license sought.

   and/or

   (b) Part 4 - ISO 9001 Registration Agreement Located in the ISO 9001 Registration Program requirements.

   and/or

   (c) Part 4 - API Spec Q1 Registration Agreement
   Located in the API Spec Q1 and API ISO/TS 29001 Registration Program Requirements.

   and/or

   (d) Part 5 - API ISO/TS 29001 Registration Agreement
   Located in the API Spec Q1 and API ISO/TS 29001 Registration Program Requirements.

4. **Product Licensing Information Form**
   (For API Monogram Licensing Only)
   If you did not receive the necessary form(s) with the Application package, please visit our website at *www.api.org/certifications/monogram/documents/licensing-forms.cfm* to obtain the forms. You must submit one for each license sought.

5. **Quality Manual**
   A controlled copy of your Quality Manual (written in English).

6. **ISO 9001 Registration Certificate**
   If you currently maintain an ISO 9001 Registration, include a copy of the certificate with your ISO 9001 Registration Agreement.

Submit completed Applications to:

API Certification Programs
1220 L Street, NW
Washington, DC 20005-4070
USA

Program Fee(s). For instructions on submitting payment, see the ***Fee Schedule*** sheet for the applicable program, located in the Program Requirements.

Applications will not be processed until payment and all documentation are received

Certification Process

1. Organizations applying for licensing under the API Monogram Program must develop and maintain quality manuals that describe their quality management system and how it conforms to the requirements of API Spec Q1. Organizations participating in the API Monogram Program must also demonstrate continued ability to meet the technical requirements identified in the applicable API product specification(s).

2. Organizations applying only for ISO 9001 Registration must develop and maintain quality manuals and quality management systems that conform to the ISO 9001 standard. Organizations applying for API Spec Q1 Registration or ISO/TS 29001 Registration must develop and maintain quality manuals and quality management systems in conformance with API Spec Q1 or ISO/TS 29001.

3. Prior to submitting an application to API, organizations must have had a quality management system in place for at least four months. This includes performing and documenting an internal audit and management review in accordance with API Spec Q1, ISO 9001 and/or ISO/TS 29001.

4. Submit the completed application forms, application fee, and the quality manual. The quality manual must be written in English.

5. API will review the application forms and the quality manual for conformance with program requirements and applicability of desired scope of certification. Should application forms be incomplete, and/or should the quality manual be out of conformance with requirements, API will provide comments.

6. When the application package and quality manual are accepted, API will schedule a Stage 1 audit. The audit costs are at the organization's expense.

7. Stage 1 audits are generally performed offsite and require the organization to provide the auditor with documents for review. These documents may include procedures, control features, internal audit reports, management review records, staff responsibilities and facility layout. If needed, parts of the Stage 1 audit may be carried-out at the organization's premises.

8. Once the Stage 1 audit has been successfully completed, API and the assigned auditor will schedule a Stage 2 audit. The audit costs are at the organization's expense.

9. Stage 2 audits are performed on-site and include verifying the organization's conformance with API Spec Q1, ISO 9001, ISO/TS 29001 and/or any applicable API product specification(s).

10. API will make the certification decision on the basis of an evaluation of the audit findings and conclusions, and evidence of effective implementation of corrective actions by the organization (if required)*.

11. Organizations licensed under the API Monogram Program will have audits scheduled every three years to ensure continued conformance with the applicable program requirements.

12. Organizations registered under API Spec Q1, ISO 9001 and/or ISO/TS 29001 will have a full system audit every year to ensure continued conformance with the applicable program requirements.

*A follow-up audit may be required if nonconformances are deemed significant.

Part 1: Applicant Information

Facility Details

1. **Facility Name** (as it should appear on the license or certificate):

   If more than one facility is applying, a separate Application is required for each location.

2. **Actual Physical Location of Facility** to be licensed and/or registered. In general, documents will be sent to Primary Correspondence Contact (see item 3). Physical location of facility is needed for planning of audits and will be identified on Certificates of Registration and/or licenses.

   Street Address (P.O. Box Numbers are ***not*** acceptable)

   City

   State/Province

   Zip/Postal Code

   Country

   Facility Telephone Number

   Email Address

   Website (optional)

3. **Primary Correspondence** for this Application and other API Legal Documents (***NOTE:*** *individual must be an officer/employee of the organization):*

   Name

   Title/Position

   Street Address

   P.O. Box (if applicable)

   City

   State/Province

   Zip/Postal Code

   Country

   Telephone Number (for calls from the United States)

   Fax Number (for calls from the United States)

   Email Address (for Primary Corresponding Contact)

Part 1: Applicant Information

4. **Facility Contact Person** (Contact Person at the facility to be licensed and/or registered, if different from the Primary Correspondance Contact identified in item 3):

Name

Title/Position

Telephone Number (for calls from the United States)

Fax Number (for calls from the United States)

Email Address (for Facility Contact)

Sales Telephone Number (optional)

Sales Email Address (optional)

5. Have you utilized outside assistance (e.g., consultant) in preparation of your Quality Manual, other quality management system documentation and/or the implementation of your overall quality management system?

❑ Yes ❑ No

(a) If "Yes," please complete the following:

Name

Company

Street Address

City

State/Province

Zip/Postal Code

Country

Telephone Number

Fax Number

Email Address

❑ Check here if your organization requests that copies of API correspondence be sent to this individual.

6. Is your facility currently registered to ISO 9001?

❑ Yes ❑ No

(a) If "Yes," please identify your registrar and provide a copy of your current registration certificate:

Registrar:

Part 1: Applicant Information

Program Requirements

7. Does your organization understand that the quality management system standard requirements (API Spec Q1, ISO/TS 29001 and/or ISO 9001) are applicable at all times at the applicant facility?

❑ Yes ❑ No

8. Does your organization understand that providing false or misleading information in this Application will result in the delay of licensing/registration or may prevent the issuance of a registration or license altogether?

❑ Yes ❑ No

9. Does your organization understand that an internal audit of all elements of your quality management system must be ***completed*** by your organization prior to submitting an application to API?

❑ Yes ❑ No

10. Does your organization understand that a management review of your quality management system must be ***completed*** by your organization prior to submitting an application to API?

❑ Yes ❑ No

11. Does your organization understand that API Spec Q1, ISO/TS 29001 and/or ISO 9001 requires a commitment on the part of top management to provide resources (personnel, equipment, financial, etc.) for the initial and on-going maintenance of your quality management system?

❑ Yes ❑ No

12. Does your organization confirm that the quality management system has been operational at the applicant facility for ***at least four months*** prior to submitting an application to API?

❑ Yes ❑ No

If your organization has answered "No" to any of the above questions, your organization is not eligible for licensing and/or registration at this time. Your organization is required to delay submission of an Application for licensing/registration until such time that all of the above questions are answered "Yes." **Failure to understand this requirement may delay or disqualify your organization from obtaining a license or registration. Please contact API with any questions or to explain any "No" responses.**

All of the following information must be provided as part of your Application for registration to ISO 9001, API Spec Q1 and/or ISO/TS 29001 as well as for licensing under the API Monogram Program. All documents requested and submitted for review must be in English. Information provided in any language other than English will not be considered during the review and will serve only to slow the Application process.

Scope/Products/Services

13. How long has the applicant facility had a quality management system in place that meets the requirements of API Spec Q1, ISO 9001 or ISO/TS 29001 (years/months)?

_____

14. Please identify the product or services within the control of your quality management system that are applicable to the proposed scope of registration and/or API Monogram License(s) sought (attach additional pages if necessary).

_____

_____

_____

_____

Have exclusions to your quality management system been identified in your Quality Manual? Please see API Spec Q1, ISO 9001 and/or ISO/TS 29001, Section 1.2 for guidance.

❑ Yes ❑ No

Please identify: _____

_____

Part 1: Applicant Information

15. Please identify any additional products or services that will be excluded from the scope of your quality management system and/or API Monogram licensing activity.

_____

_____

_____

_____

_____

16. For ISO 9001, API Spec Q1 and/or ISO/TS 29001 Registration Applicants only (not applicable to API Monogram License Applicants):

Please provide a proposed scope statement for which quality management system registration is being sought and identify all products and services that apply. *(For example, Design, Manufacture and Service of Pumps and Pump Parts; Provision of General Machining Services.)*

_____

_____

_____

_____

_____

17. Please identify all of the following activities that are applicable to the proposed scope of registration:

- ❑ Design
- ❑ Repair
- ❑ Manufacture
- ❑ Remanufacture
- ❑ Service
- ❑ Installation
- ❑ Other: _____ (Identify)

18. Are these products/services currently being manufactured/performed at the applicant facility?

❑ Yes ❑ No

(a) Identify the length of time this location has supplied these products or services to the oil and gas industry:

_____

_____

_____

(b) Identify the approximate percentage of these products or services that make up the total applicant facility output:

_____%

(c) If currently not manufacturing these products or providing these services, identify when your organization plans to begin:

_____

_____

_____

Part 1: Applicant Information

19. FOR MONOGRAM LICENSE APPLICANTS ONLY
You must provide information for **(a)** and/or **(b)**:

(a) Please identify any products that have been manufactured in accordance with the requirements of the applicable **API product specification(s)** within the previous four months (if you have manufactured products prior to the last four months please identify these products and when they were manufactured). Please identify the product types, sizes, ratings, the applicable product specification requirements and the approximate volume/amount of products that have been produced.

(b) Identify any other oil, natural gas, petrochemical or related industry equipment, products and/or services that have been manufactured/provided within the previous four months (if you have manufactured applicable products or provided applicable services prior to the last four months please identify these products/services and when they were manufactured/provided). This information **MUST** provide evidence that the facility has the capability to produce the products under the scope of your Monogram License Application. Please identify the product types, sizes, ratings, any specification requirements that were used to produce the products/provide the services and the approximate volume/amount of products that have been produced/services that have been provided.

Product/Service	**Product/Service Description** (including types, sizes, ratings, the applicable product specification and/or other requirements)	**Units Produced**	**Date Produced**

Part 1: Applicant Information

Quality Management System Elements and Documents

Quality Policy

20. Has your organization developed and documented a quality policy?

❑ Yes ❑ No

21. Does this policy statement meet all of the requirements of API Spec Q1, ISO 9001 and ISO/TS 29001, Section 5.3? *(If "No," your organization will be required to take all necessary actions to ensure conformance with Section 5.3.)*

❑ Yes ❑ No

Quality Objectives

22. Has your organization developed and documented quality objectives as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 5.4.1?

❑ Yes ❑ No

23. Has your organization developed and documented quality objectives and requirements related to product realization as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 7.1(a)?

❑ Yes ❑ No

NOTE: *Both QMS and Product/Service Objectives must be measurable and consistent with the quality policy.*

Quality Manual

24. Attach a copy of your Quality Manual for review and acceptance by the API/APIQR.

NOTE: *Part of the initial application review will include an evaluation of your quality manual for conformance with the applicable QMS Standard(s). (API Spec Q1, ISO/TS 29001 and/or ISO 9001). The initial audit will not occur until a Quality Manual has been provided, and it has been reviewed and accepted by API.*

Required Procedures

25. **DO NOT SEND COPIES OF YOUR PROCEDURES TO API.** Identify by Title, Reference Number and Date of Implementation the following required procedures (no exceptions permitted):

(a) Document Control Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 4.2.3:

_____

(b) Records Control Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 4.2.4:

_____

(c) Internal Audit Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 8.2.2:

_____

(d) Nonconforming Product Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 8.3:

_____

(e) Corrective Action Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 8.5.2:

_____

(f) Preventive Action Procedure as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 8.5.3:

_____

(g) API Monogram Marking Procedure for API Monogram applications only as required by API Spec Q1 and ISO/TS 29001, Section A.3.3:

_____

Part 1: Applicant Information

Other Required Procedures/Control Features

26. DO NOT SEND COPIES OF OTHER REQUIRED PROCEDURES/CONTROL FEATURES TO API. Identify by *Title, Reference Number and Date of Implementation* all other procedures, work instructions or documented controls that are required by the applicable quality management system standard and are most relevant for your operations (use separate sheets of paper, as required).

NOTE: *Depending on your exclusions, not all of the control features may be applicable to your facility.*

(a) Master List or Equivalent Control Feature as required by API Spec Q1 and ISO/TS 29001, Section 4.2.3.1:

(b) Training Control Features as required by API Spec Q1 and ISO/TS 29001, Section 6.2.2.1:

(c) Planning of Product Realization Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.1.1:

(d) Product Review (Contract) Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.2.2.1:

(e) Design and Development Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.3.1.1:

(f) Purchasing/Supplier Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.4.1.1:

(g) Verification of Purchased Product Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.4.3.1:

(h) Product/Service Provision Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.5.1.1:

(i) Methods and Procedures for Processes Requiring Validation as required by API Spec Q1, ISO 9001 and ISO/TS 29001, Section 7.5.2(c):

Part 1: Applicant Information

(j) Identification/Traceability Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.5.3.1:

(k) Product Status Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.5.3.3:

(l) Customer Property Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.5.4.1:

(m) Preservation of Product Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.5.5.1:

(n) Calibration/Maintenance of Monitoring and Measuring Devices Control Features as required by API Spec Q1 and ISO/TS 29001, Section 7.6.1:

(o) Monitoring and Measuring Product Control Features as required by API Spec Q1 and ISO/TS 29001, Section 8.2.4.1:

(p) Data Analysis Control Features as required by API Spec Q1 and ISO/TS 29001, Section 8.4.1:

(q) Additional Procedures/Control Features required by your organization:

Part 1: Applicant Information

Processes Required by Your Organization

27. Please identify all required processes in the table below that are needed for the quality management system. These processes must be managed in accordance with the requirements of API Spec Q1, ISO TS/29001 and/or ISO 9001, as applicable. Processes may be identified within the QMS by flow charts or other control features/documents.

Process Name	Applicable to QMS	Process Owner/Manager
Quality Managment Process		
Quality Policy Control Process	❑ Yes ❑ No	
Quality Objectives Development Process	❑ Yes ❑ No	
Continual Improvements Processes		
Internal Audit Process	❑ Yes ❑ No	
Management Review Process	❑ Yes ❑ No	
Corrective/Preventive Action	❑ Yes ❑ No	
Analysis Process		
Customer Satisfaction Process	❑ Yes ❑ No	
Outsourced Process (Identify ALL processes that are outsourced to subcontractors or other facilities)		
	❑ Yes ❑ No	
	❑ Yes ❑ No	
	❑ Yes ❑ No	
Product/Service Realization Process		
Contract Review Process	❑ Yes ❑ No	
Design Review Process	❑ Yes ❑ No	
Purchasing Process	❑ Yes ❑ No	
Production/Service Control	❑ Yes ❑ No	
Identification Processes	❑ Yes ❑ No	
Customer Property Control	❑ Yes ❑ No	
Product Preservation Processes	❑ Yes ❑ No	
Product Measurement Processes		
M&M Control Processes	❑ Yes ❑ No	
Inspection/Testing Processes	❑ Yes ❑ No	
Nonconforming Product Processes	❑ Yes ❑ No	
Competence and Training Process	❑ Yes ❑ No	
Other Applicable Processes (Identify – Use additional pages as required)		
	❑ Yes ❑ No	

Part 1: Applicant Information

28. Please identify any **Quality Management System** processes that are performed at other facility sites and that are outsourced to other organizations. These would include support processes that are performed at a head office location, parent or sister facility, satellite locations, etc. and any processes outsourced to subcontractors and other organizations. Outsourced Manufacturing/Service processes (e.g., welding) are addressed in Item #54).

Process Name	Percentage of Process Performed at Alternative Site(s) (subcontractor, satellite facility, head office, parent or sister facility, etc.)	Location of Alternative Site

Part 1: Applicant Information

Design Process Specific Questions

29. Exclusion for Product Design and Development is not permitted if the applicable product specification requires design activities.

If your organization is not required to address product design and development, and this element of the quality management system is being taken as an exclusion, then the quality manual must identify this exclusion.

30. Is Design and Development of the Product applicable to your organization's quality management system and the products within your scope? *(If "No," skip to the Manufacturing/ Service – Site-specific Conditions Section – Item #37)*

❑ Yes ❑ No

31. Are **product** design and development activities performed at your location?

❑ Yes ❑ No

32. What percentage of the **product** design and development activities is performed at your location? _____%

33. If 100% of product design and development activities are not performed at your facility location, identify the organization(s) that control(s) product design and development?

_____

_____

_____

NOTE: If your facility is applying for an API Monogram License *where product design and development is a requirement, then your organization must have a validated design package for* ***each product*** *for which licensure is sought. A "design package" is defined by API to mean documented evidence/records demonstrating that the design process for the applicable products was performed in accordance with the requirements of API Spec Q1, ISO/TS 29001 and/or ISO 9001, Sections 7.3.1-7.3.6, inclusive. The design package information must also address all applicable requirements of the API product specification.*

Currently, the following specifications **do not** require product design and development for all products under that specification, unless otherwise noted:

API Spec 2B
API Spec 2H
API Spec 2MT1
API Spec 2MT2
API Spec 2W
API Spec 2Y
API Spec 5B
API Spec 5CT
API Spec 5D
API Spec 5L
API Spec 5LC
API Spec 5LD
API Spec 6AV1
API Spec 7
API Spec 7-1 (All products ***except*** Kelly Valves)
API Spec 10A
API Spec 11B (Thread Gauges only)
API Spec 13A
API Spec 14A (Testing Agencies only)

For an up-to-date listing of API specifications for which Design and Development may be excluded from the QMS, please read Advisory #6 on our website at: www.api.org/certifications/advisories.

34. Is your facility applying for licensing to at least one specification that is not identified above? *(If "No," Design and Development may be excluded)*

❑ Yes ❑ No

Part 1: Applicant Information

35. Where applicable, have validated design packages been developed for each product under your Monogram License Application? *(If "No," your organization must either reduce the scope of the proposed license or develop the required design and development documents.* ***An API Monogram License will not be issued without evidence of validated designs, to be reviewed during the initial audit, for all required products.)***

❑ Yes ❑ No

NOTE: *If your organization is applying for a Monogram License for a product under a specification that requires design packages (for example; API Spec 6A) and for a product under a specification that does not require a design package (for example; API Spec 5CT and those identified in the NOTE under item 33) your organization will only need to develop a design package for the product(s) under the product specification(s) where design and development is a requirement.*

36. Please identify the products and respective title, reference or other identification of the design package information in the table below (please attach extra sheets as required):

Product	Title, Reference or Other Identification

Part 1: Applicant Information

Manufacturing/Service – Site-specific Conditions

Personal Equipment

37. Identify any personal safety equipment required by employees or visitors in the manufacturing area (hard hat, ear plugs, safety glasses, safety shoes, etc.).

Facility Size

38. What is the total square footage (meters) of all the manufacturing site(s) at this facility?

39. What is the total square footage (meters) at this facility (grounds, parking, storage, manufacturing sites, etc.)?

Process	% of Total Applicant Facility Area dedicated to the Process/ Activities
Contract Review, Sales and Marketing Process	
Design and Development Processes	
Purchasing/Procurement Processes	
Manufacturing Processes–Activities (specify below)	
Inspection and Test (QA/QC) Processes–Activitites (specify below)	
Service Processes	
Shipping, Handling and Preservation Processes	
Personnel Competence, Training Processes	
Other Applicable Processes (specify below)	

Part 1: Applicant Information

Facility Access

40. Identify the hours to which access is available for the manufacturing areas:

_____

_____

_____

41. Identify the hours to which access is available for the main office/reception areas:

_____

42. Identify parking location(s) for visitors/auditors?

_____

_____

_____

Personnel

43. Identify the number of employees at this location *(see Note below)*:

_____

NOTE: *"Employees" refers to all individuals whose work activities support the scope of registration or licensing as described by the quality management system, both full and part time. This includes all personnel that are required to implement, operate and control the quality management system processes in accordance with the requirements of API Spec Q1, ISO TS/29001 and/or ISO 9001 and the requirements of the applicable product specification(s). The number of employees includes non-permanent (seasonal, temporary and subcontracted) staff that contribute to the activities defined by the scope of registration or licensing and that are present at the time of the audit. Part-time employees are to be treated as full-time-equivalent employees if their activities support the scope of registration or licensing.*

44. Identify the approximate percentage of the total number of employees *(see Note under Item #43)* that are involved with the applicable quality management system processes in the table below *(attach additional sheets as necessary)*.

Process	% of Personnel Involved with the Processes
Management and Continual Improvement Processes – including Internal Audits, Management Review, Policy and Objectives, Process Analysis, Customer Related	
Contract Review, Sales and Marketing Processes	
Design Processes	
Purchasing/Procurement Processes	
Manufacturing Processes	
Inspection and Test (QA/QC) Processes	
Service Processes	
Shipping, Handling and Preservation Processes	
Personnel Competence, Training Processes	
Other Applicable Processes *(please identify)* _____ _____ _____ _____	

Part 1: Applicant Information

45. Identify the number of shifts that are operated at this location:

46. Identify the time(s) of the shift(s) at this location:

47. Identify the number of employees per shift:

Manufacturing/Service Activities

48. Please list the manufacturing, inspection and test, and/or service capabilities that exist at your facility (this does not include activities that are outsourced/subcontracted).

49. Please describe the sequence and interaction of the **specific manufacturing/service processes and manufacturing steps** performed by your facility and that are required to produce the products/provide the services related to your Registration and/or Product Licensing Scope as applicable (attach additional sheets, flow charts and/or documents as required).

50. Does your facility have in-house machining equipment?

❑ Yes ❑ No

51. Does your facility have in-house inspection/test equipment?

❑ Yes ❑ No

Part 1: Applicant Information

52. Does your facility perform processes that require validation?

❑ Yes ❑ No

NOTE: *Identifying any of the following processes does not entitle the applicant organization to elect API Spec Q1, ISO/TS 29001 and/or ISO 9001, Section 7.5.2 as an applicable exclusion.*

(a) Welding? ❑ Yes ❑ No

(b) NDE/NDT? ❑ Yes ❑ No

(c) Heat Treatment? ❑ Yes ❑ No

(d) Other *(Identify)*?

_____ ❑ Yes ❑ No

_____ ❑ Yes ❑ No

_____ ❑ Yes ❑ No

53. Please describe, in the table below, the amount and types of equipment that exist and/or are used at your facility in the manufacturing, inspection and testing, and/or service processes and activities related to the scope of your application:

Process	Equipment Indentification – Description
Manufacturing Processes–Activities (specific below) (For example: Machining, Welding, Heat Treatment, and all other manufacturing processes specific to the application scope)	
Inspection and Test (QA/QC) Processes–Activities (specify below) (For example: visual inspection, NDE processes, mechanical testing, hydro test, etc.)	
Service Processes (specify below)	
Other Applicable Processes (specify below)	

Part 1: Applicant Information

54. Please identify the approximate percentage (if applicable) of the Manufacturing/Service processes subcontracted or performed outside your facility and the location(s) in the table below.

Process Name	Percentage of Process Subcontracted or Performed Outside Your Facility	Location(s) of Subcontractor/Outside Facility
Machining		
Inspection and Test (identify specific processes below)		
Welding		
NDE/NDT		
Heat Treatment		
Other:		

Part 1: Applicant Information

Additional Manufacturing Notes for API Monogram Program Applicants:
API may refuse initial licensing or suspend current licensing under the API Monogram Program based on a facility's level of manufacturing capability. During an API facility audit, the auditor may indicate that the manufacturing and in-process inspection/test activities for one or all products under a specification are subcontracted or outsourced. Even though subcontracting/outsourcing is permitted, the API Monogram Program is designed to identify locations that have demonstrated ability to manufacture equipment or provide services that conform to API Product Specifications within quality management systems that conform with the requirements of API Spec Q1, ISO/TS 29001 and/ or ISO 9001. If, through auditing activities and information provided by the auditor, API determines the degree of subcontracted/outsourced activities is substantial; API may perform additional audits (at the Applicant/ Licensed Organization's expense) of any primary subcontractor(s) to ensure compliance with applicable specifications. The above questions are designed to assist in the determination of the level of on-site and outsourced manufacturing activities.

55. **For service organizations only:** Please identify the service processes related to your scope of registration and where the service is delivered to the customer (attach additional sheets as required):

NOTE: *In order to confirm conformance, API may be required to perform an audit/sampling of your organization's service process at the location of delivery (job site, project location, etc).*

_____

_____

_____

_____

Internal Audit

API requires that all elements of an applicant's management system be audited **before** an application is submitted to API.

56. What was the completion date (month/day/year) and duration of your organization's last full system internal audit? If the audit was performed throughout the year, identify the date that the last element of the audit was completed.

_____

_____

_____

_____

57. The Internal Audit of your quality management system was performed against the requirements of (check off all that apply):

❑ ISO 9001 ❑ API Spec Q1

❑ ISO/TS 29001

❑ Applicable API product specification(s):

_____

_____

_____

❑ Other: _____
(Identify)

58. How many nonconformances were identified during this internal audit?

_____

59. How many of the nonconformances (noted above) remain unresolved?

_____

60. What is (are) the date(s) of verification of the corrective actions taken on the internal audit nonconformances?

_____

_____

_____

_____

_____

_____

Part 1: Applicant Information

61. If nonconformances remain unresolved, please provide an explanation for why the nonconformances have not been addressed.

62. Please provide a brief summary of the results from your most recent internal audit (alternatively you can attach the internal audit record/report notated in English).

Part 1: Applicant Information

Management Review

API requires that a management review of the applicant's management system be completed **before** an application is submitted to API.

63. What is the date (month/day/year) of the last management review that was performed by your organization?

_____

64. The Management Review of your quality management system included its conformance with the requirements of (check off all that apply):

❑ ISO 9001 ❑ API Spec Q1

❑ ISO/TS 29001

❑ Other: _____
(Identify)

65. Were all of the input elements of API Spec Q1, ISO/TS 29001 and/or ISO 9001, Section 5.6.2 included in the review?

❑ Yes ❑ No

66. Were all of the output elements of API Spec Q1, ISO/TS 29001 and/or ISO 9001, Section 5.6.3 included in the review?

❑ Yes ❑ No

67. Does the record(s) of the management review(s) demonstrate conformance with the requirements of API Spec Q1, ISO/TS 29001 and/or ISO 9001, Section 5.6?

❑ Yes ❑ No

68. Please provide a brief summary of the output from your most recent management review (alternatively you can attach the management review record/report).

_____

_____

_____

_____

_____

_____

API Use Only

1. Are the client's requirements for Licensing and/or Registration clearly **defined, documented** and **understood?**

❑ Yes ❑ No

2. Have **differences,** if any, in the understanding between API/APIQR and the client been **resolved?**

❑ Yes ❑ No ❑ N/A

3. Does API have the capability to offer the desired license or registration with respect to:

(a) The scope of the registration sought;

(b) The location of the client's operations; and

(c) Any special requirements of the client?

❑ Yes ❑ No

Name: _____

Date: _____

Part 2: Application Agreement

TRACKING NUMBER: _____
(API Use Only)

The Applicant agrees to the following as a condition of its application being accepted by API.

1. The Applicant must select one of the Certification Program Options from Part 1. At this time, the Applicant is applying for:

   Option Number *(check one)*

   ❑ **1a** ❑ **1b** ❑ **1c** **(Registration and Licensing)**

   ❑ **2a** ❑ **2b** ❑ **2c** **(Registration Only)**

   ❑ **3** **(Licensing Only)**

2. The Applicant must submit the requested documents and agree to fully comply with all of the requirements specified in the Application and in the Program Requirements.

3. The Applicant will participate in and pay the cost of the API Audit, whether or not the Applicant is granted rights to use the API Certification Program marks or certificates.

   Audit Costs. The Applicant/Licensee pays the audit costs based on the contract rate of API's auditor(s) and any related auditor(s) expenses, including travel time, airfare, taxi, rental car, or private car, plus accom–modations, meals, parking, telephone, etc. API expends every effort to use a local qualified auditor(s) in an effort to keep audit costs as low as possible.

4. API shall be the sole judge of whether or not an Applicant meets the appropriate qualification to become a licensee or registrant.

5. If the Applicant fails to pay the audit fee within the time frame specified, API may bring an action or a proceeding to recover these costs. API shall be entitled to recover reasonable attorney's fees and costs.

6. The Applicant agrees that the venue and applicable law for such action and any action related to this Agreement shall be the District of Columbia, United States of America.

7. The Applicant will not be granted any rights to use the API Certification Program marks or certificates until all steps in the process have been completed to the satisfaction of API, applicable fees have been paid, and the Applicant has agreed to comply with all of the terms and conditions of the License and/or Registration Agreement.

8. The undersigned individual represents and warrants that they are expressly and duly authorized by their entities or agencies to execute the Agreement and to legally bind their entities or agency as set forth herein.

9. All program fees payable to API shall be in U.S. dollars and shall be **non-refundable.**

10. The Applicant understands and agrees that API's representative(s) shall have access to the Applicant's facility and records to the extent necessary to process the application and perform audits. API agrees to take all reasonable steps to maintain the confidentiality of any proprietary information obtained, but accepts no liability. Applicant may require API's representative(s) to comply with all of the Applicant's work place safety procedures. However, Applicant shall not require API's representative to sign any contract or agreement that attempts to limit the Applicant's legal liability or impose additional liability on API or API's representative(s). Any such release or document shall be null and void unless API or API's representative(s) would have been liable for damages under U.S. law in the absence of the contract or agreement.

11. API shall not be responsible for any delay or failure in performance resulting from acts beyond its control.

12. This Agreement shall not and is not intended to benefit nor to grant any rights or remedy to any person or entity that is not a party to this Agreement.

Applicant Use Only

Applicant Agreement Authorization

Name of Organization, Company or Authorized Officer

_____

Signature of Authorized Officer

_____

Title of Authorized Officer

_____

Date

_____

Update Your Quality Management System Today!

API Quality*Plus*®

API Spec Q1®

API Monogram® Program

API ISO/TS 29001®

APIQR®

energy API®

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