



NIICAPTM

NACE INTERNATIONAL INSTITUTE

CONTRACTOR ACCREDITATION PROGRAM

NIICAP ACCREDITATION CONTRACTOR APPLICATION PACKAGE

- **AS-1-F Program** for Accreditation of Field Coatings Contractor
- **AS-1-S Program** for Accreditation of Shop Coatings Contractor
- **AS-2 Program** for Accreditation of a Coating Contractor's Hazardous Waste Removal and Management Program
- **AS-3 Program** for Accreditation of Employer Coating Applicator Training Programs

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1. INTRODUCTION

- 1.1. This application contains the information necessary to apply for NIICAPAS-1, AS-2 and AS-3 accreditation. For any questions regarding this application contact the NIICAP Administrator by email info@niicap.net or telephone +1 281-228-6259.
- 1.2. Terms used in this document are defined in the NIICAP Policies and Procedures manual.
- 1.3. Requirements in this document are based on the NIICAP Policies and Procedures Manual and NIICAP Audit Standards AS-1, AS-2, and AS-3.

2. SCOPE

- 2.1. NIICAP accreditation is based on requirements shown in NIICAP Audit Standards AS-1, AS-2 and AS-3.
 - 2.1.1. AS-1 provides a core accreditation for the capability to perform surface preparation and coating/lining application processes either in shop or in the field. After achieving the baseline accreditation, or concurrent with the baseline accreditation, contractors may seek additional NIICAP accreditations.
 - 2.1.2. AS-2 provides accreditation of Hazardous Waste Removal and Management Programs.
 - 2.1.3. AS-3 provides accreditation of Employer Coating Applicator Training Programs.
- 2.2. A NIICAP accreditation does not ensure, guarantee or certify that a contractor will perform in a professional, efficient, contracted, or ethical manner. NIICAP provides a point-in-time audit report of a contractor's capabilities to meet the accreditation requirements of NIICAP. NIICAP does not provide a guarantee of contractor performance.

3. INITIAL, MAINTENANCE, OR RENEWAL ACCREDITATION APPLICATION PROCEDURES

- 3.1. The Initial and Renewal application processes provide very thorough reviews of management processes, documentation, and recordkeeping, and also provide an extensive shop/field audit of work practices, equipment availability, condition and use. See Section 5 of NIICAP Auditing Standards AS-1, AS-2, or AS-3, as applicable to your application, to verify you have included the specific documentation required with this application.
- 3.2. Submission Process Overview for Initial Application to NIICAP
 - 3.2.1. Contractor obtains, completes, and submits this the Initial application form, fees, supplemental forms and required documentation. The following forms must be completed and submitted to the NIICAP Administrator in PDF format add additional sheets as required:
 - 3.2.1.1. Contractor application form (this document, beginning Section 8).
 - 3.2.1.2. Work experience form and detail of owners and projects as required on work experience form (Section 9).
 - 3.2.1.3. Company officers' information sheet, and information on each of the principle company officers and management team members (Section 10).
 - 3.2.1.4. Work specifications for all planned and working jobs within the last 12 months (there is no form for this submission).
 - 3.2.1.5. Contractor-specific references such as internal instructions or manuals needed to complete the administrative review and the shop/field audit (Section 11).
 - 3.2.1.6. Contractor's information sheet (Section 12).
 - 3.2.1.7. Contractor facility information sheet for each facility (Section 13).
 - 3.2.1.8. Signed NIICAP Accredited Coatings Contractor Code of Conduct (see Attachment A).
 - 3.2.1.9. Signed NIICAP Agreement with Contractor Applicants (see Attachment B).

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- 3.3. Submitting a NIICAP Application
- 3.4. Submit a digital .pdf copy of your complete application package, along with the fees matching the fee page that is in the completed package, by email to **info@niicap.net**.

4. ACCREDITATION CYCLES

- 4.1. NIICAP AS-1, AS-2 and AS-3 accreditations have the same accreditation cycle.
- 4.2. The cycle is an Initial accreditation, followed by two Maintenance accreditations. The cycle starts over in the fourth year with a Renewal accreditation, followed two Maintenance accreditations. The cycle then repeats itself.
- 4.3. Each NIICAPAS-1, AS-2, and AS-3 accreditation (Initial, Maintenance, and Renewal) is valid for one (1) year unless terminated through due processes described in the NIICAP Policies Policy and Procedures Manual.
- 4.4. For NIICAPAS-1 accreditation, contractors that maintain an overall score of 4.0 or greater for the Administrative Practices Section of the audit, and an overall score of 4.0 or greater for the Field Practices Technical Execution Section of the audit, for three (3) consecutive audits of which one (1) audit is conducted during an Initial or Renewal phase, receive a 5-Star rating awarded by NIICAP.
 - 4.4.1. Each The following AS-1 Maintenance audit will be less intensive and performed at a discounted fee for contractors that hold a 5-Star rating. The 5-Star rating does not affect Renewal audits, and must be earned each year to obtain the less intensive Maintenance Audit the following year.

5. RENEWAL AND MAINTENANCE ACCREDITATION APPLICATION PROCEDURES

- 5.1. This document (Contractor Application) is used for all accreditations for the Initial, Maintenance, and Renewal audits.
- 5.2. The accreditation anniversary date (expiration) of the contractor's accreditation is one year from the accreditation date assigned at the completion of the previous audit. equal to the month and day on which the Initial or most recent accreditation was conferred. The Maintenance or Renewal accreditation application must be received by the NIICAP Administrator sixty (60) days prior to the contractor's Renewal accreditation date to ensure coverage without interruption.
- 5.3. NIICAP will provide a one hundred twenty (120) day and ninety (90) day notice of the Contractor's Renewal accreditation date via e-mail to the contractor's point of contact e-mail address on file with the NIICAP administrator.
- 5.4. A late fee of \$250 will be assessed if the Renewal application is received after the contractor's Renewal or Maintenance accreditation anniversary date, and prior to forty-five (45) calendar days past the accreditation anniversary date.
- 5.5. Accreditation status will be suspended on the day following the accreditation anniversary date, and is subject to immediate termination if a Renewal or Maintenance application is not received within forty-five (45) calendar days after of the accreditation anniversary date.
- 5.6. If time permits, processing of a late Renewal or Maintenance application may be expedited for a late fee of \$750, to avoid interruption of the accreditation status. Whether a late application can be accommodated is at the discretion of the NIIBS management.
- 5.7. If the contractor has multiple accredited locations, each Initial, Maintenance, and Renewal accreditation must rotate among the facilities. See the relevant auditing standard for more information.

6. CONTRACTOR RESPONSIBILITIES PRIOR TO, DURING, AND AFTER AN AUDIT

- 6.1. Be familiar with the applicable NIICAP audit standards, and perform an in-house audit using the applicable audit spreadsheets prior to submission of the application.

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- 6.2. Complete the NIICAP application and supplemental sheets, provide the requested documents with the application, and include the required fees prior to NIICAP reviewing the application. Documentation and data required in this application must also be available at the job site and at the contractor's headquarters.
- 6.3. Provide six (6) months history of performing marine or industrial projects.
- 6.4. Ensure project and audit scheduling that allows the auditor to observe a major surface preparation and a major coating/lining application during the shop/field portion of the audit. Shop/field portion of the audit should be completed within twenty-one (21) days of completion of the administrative (application) review by NIICAP.
- 6.5. Ensure the appropriate personnel are available during the Headquarters and jobsite visits to answer questions about management programs, training, safety and health and other functions covered in the NIICAP audit standards.
- 6.6. Ensure that specifications and records are available for (1) all jobs that have been reported, and (2) all employee and manager training and experience indicated at the headquarters and jobsite, as defined in the NIICAP audit standards.
- 6.7. Ensure the appropriate managers are available, in person, for the out brief and to develop proposed corrective or preventive actions, as necessary, after the audits.
- 6.8. Immediately report to the NIICAP Administrator any significant management changes, detrimental findings, violations, accusations based on owner reporting, or regulatory inspections or regulatory actions. (Contact the NIICAP Administrator at info@niicap.net for form Contractor_Rev_FormA.)
- 6.9. Assume financial responsibility of NIICAP fees related to additional travel, follow-up verification, corrective actions, or return visits.
- 6.10. If a contractor's accreditation is placed in a probationary status in accordance with Appendix L of the Contractor Accreditation Program Policies and Procedures Manual the contractor is subject to unscheduled partial or complete audits at the contractor's expense.

7. AUDIT SCHEDULING AND PROGRAM FEES RELATED TO CANCELLATION/ POSTPONEMENT OF AUDITS, AND SUSPENSION OR DISCONTINUATION OF APPLICANT/AUDIT PROCESS

- 7.1. Accreditation applicants in any phase of the accreditation cycle will be required to authorize a scheduled audit date to occur within twenty-eight (28) calendar days from the time that the NIICAP Administrator sends notification to the contractor applicant that the Administrative Practices pre-audit/review phase has been completed. NIICAP management will select and schedule auditor(s) to conduct the scheduled audit. The contractor applicant will have a fifteen (15) day grace period from- the date of the authorized, scheduled audit event to request that the audit be canceled or rescheduled, without financial charge. If this window is not met, the financial charge for rescheduling will be equal to the actual fees and non-reimbursable travel expenses incurred by NIIBS, plus a \$150 rescheduling fee.
- 7.2. The contractor applicant has fifteen (15) days to respond to official communication from the Chief lead Auditor that occurs prior to the written finalization of the pre-audit/Administrative Review. After the pre-audit/ Administrative review begins, and before it is concluded, the auditor(s) may determine and inform the contractor applicant of deficiencies that may cause the contractor applicant to seek more time to prepare for the audit stage. In such case, the contractor applicant must inform the NIICAP Administrator, in writing, that the contractor it will use up to one-hundred-eighty (180) calendar days (from the time of last official communication from the Chief lead Auditor) before resuming the pre-audit/ Administrative review phase. After one-hundred-eighty (180) calendar days, NIICAP will not be obligated to retain the original application, and the contractor applicant may will be required to restart the application process, including submission of a new application package with administrative fees.

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8. CONTRACTOR NIICAP AS-1, AS-2, and/or AS-3 ACCREDITATION APPLICATION

8.1. Please answer all questions completely to avoid delay in processing your application.

8.2. What audit is next in your cycle? (See Section 4)

Initial Audit Maintenance Audit 1 Maintenance Audit 2 Renewal Audit

***Note:** AS-1 Field or Shop is a prerequisite for AS-2 or AS-3 accreditation; however, NIICAP recommends that contractors desiring AS-2 or AS-3 accreditation apply for all desired accreditations at the same time to reduce the contractor's time and expense.

Click here for full Fee Sheet

	Initial Audit	Maintenance Audit	Renewal Audit (Including 5-Star Contractors)
	PreAudit + 3-day site audit	PreAudit + 2-day site audit	PreAudit + 3-day site audit
INDIVIDUAL ACCREDITATIONS (IN USD)			
AS-1-F: NIICAP Accredited Field Coating Contractor			
Field Admin Fee	\$3,000	\$2,500	\$3,000
Field Review/Audit Fee <i>(Invoiced Separately)</i>	\$3,250	\$2,700	\$3,000
Total AS-1-F Field Audit	\$6,250	\$5,200	\$6,000
AS-1-S: NIICAP Accredited Shop Coating Contractor			
Shop Admin Fee	\$2,250	\$2,000	\$2,000
Shop Review/Audit Fee <i>(Invoiced Separately)</i>	\$3,000	\$2,500	\$3,000
Total AS-1-S Shop Audit	\$5,250	\$4,500	\$5,000
AS-2: NIICAP Hazardous Waste Removal and Management Accreditation			
If conducted independent of Shop or Field Audit (Length of onsite audit varies)	\$4,000	\$3,500	\$4,000
AS-3: NIICAP Accredited Employer Training Program for Coating Applicators			
AS-3 Training Accreditation Admin Fee All Contractors	\$3,000	\$1,250	\$3,000
AS-3 Training Accreditation Review/Audit Fee Large Contractors	\$4,000	\$2,800	\$3,000
AS-3 Training Accreditation Review Audit Fee/Small Contractor	\$3,000	\$2,000	\$2,500
ACCREDITATION PACKAGES (IN USD)			
AS-1-F and AS-1-S Audits (Field and Shop)			
Admin Fee	\$3,500	\$3,000	\$3,500
Audit Fee <i>(Invoiced Separately)</i>	\$4,250	\$3,700	\$4,000
TOTAL:	\$7,750	\$6,700	\$7,500
AS-1-F, AS-1-S and AS-2 Audits (Field, Shop and HazMat)			
Admin Fee	\$4,750	\$4,250	\$4,750
Audit Fee <i>(Invoiced Separately)</i>	\$5,150	\$4,600	\$4,900
TOTAL:	\$9,900	\$8,850	\$9,650
AS-1-F and AS-2 Audits (Field and HazMat)			
Admin Fee	\$4,250	\$3,750	\$4,250
Audit Fee <i>(Invoiced Separately)</i>	\$4,150	\$3,600	\$3,900
TOTAL:	\$8,400	\$7,350	\$8,150

PAYMENT INFORMATION *(check one)* **TOTAL PAYMENT AMOUNT:** _____

Check—Make check payable to NIICAP. Mail check and completed application to NIICAP, 15835 Park Ten Place, Houston, TX 77084

Check Number: _____ Check Amount: _____

Wire Transfer—Contact FirstService for wire instructions at 281-228-6292 or firstservice@nace.org. When sending your wire transfer payment, please indicate the Company and or Point of Contact name, customer or member ID on the wire and email a copy of the confirmation to wirenotifications@nace.org.

Credit Card

Credit Card Type: Visa Mastercard American Express Discover

Credit Card #: _____ CCV: Exp Date: _____

Cardholder's Name: _____

Signature: _____

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8.3. Contractor Point-of-Contact for Audit Information and Support:

8.3.1. Name: _____

8.3.2. Business Phone: _____

8.3.3. Cell Phone: _____

8.3.4. E-mail Address: _____

8.4. Contractor Primary Business Location *(this is the location where the initial audit will occur unless decided otherwise by the Chief Auditor following a ranking of contractor's facilities– see AS-1 Paragraph 5.2.1.7:*

8.4.1. Company Name: _____

8.4.2. Primary Business Address: _____

City: _____

State/ Province and Zip/Postal Code: _____

Country: _____

8.4.3. Employer Identification Number (EIN): _____

8.4.4. Company Website: _____

8.4.5. Company Phone: _____

8.5. Additional Business Locations, Other than the Primary Location, Where Contractor Seeks Concurrent Accreditation Status *(attach PDFs of completed additional sheets as necessary):*

8.5.1. Business Name *(if different from above):* _____

8.5.2. Secondary Business Address: _____

City: _____

State/ Province and Zip/Postal Code: _____

Country: _____

8.5.3. EIN *(if different from above):* _____

8.5.4. Website *(if different from above):* _____

8.5.5. Business Phone *(at this facility):* _____

8.6. BUSINESS HISTORY:

8.6.1. Other Business Names Used in the past 24 month: _____

8.6.2. Other Business Name: _____

8.6.3. Other Business Address: _____

City: _____

State/ Province and Zip/Postal Code: _____

Country: _____

8.6.4. Company Website: _____

8.6.5. Business Phone *(for this company):* _____

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8.7. CONTRACTOR BUSINESS MODEL:

- 8.7.1. Publicly held Corporation
- 8.7.2. Corporation: C-Corp, S-Corp, LLC
- 8.7.3. Sole Proprietorship
- 8.7.4. Partnership

9. WORK EXPERIENCE FORM

9.1. List all projects performed by contractor’s business in the past six (6) months or minimum of five (5) projects, whichever is greater, starting with current or most recent jobs and going backwards. For Maintenance or Renewal audits, list all projects performed by your company since the last audit. List all current and planned projects. Note the projects currently in process where surface preparation and coating/lining application can be observed. Include a copy of the work specification for each listed project. Make additional copies of this sheet as required and submit in PDF format.

9.2. CURRENT AND RECENT PROJECTS:

- 9.2.1. Asset Owner’s Name: _____
- 9.2.2. Owner’s Point of Contact Address: _____
 City: _____
 State/ Province and Zip/Postal Code: _____
 Country: _____

9.3. OWNER’S POINT OF CONTACT:

- 9.3.1. Name: _____
- 9.3.2. Business Phone: _____
- 9.3.3. Cell Phone: _____
- 9.3.4. E-mail Address: _____
- 9.3.5. Project Address or Location: _____
 City: _____
 State/ Province and Zip/Postal Code: _____
 Country: _____
- 9.3.6. Project Start Date: _____ Complete Date: _____
- 9.3.7. Project Details: _____
 - 9.3.7.1. Provide Project Specification for all current or recent projects.
 - 9.3.7.2. Approximate Square Feet: _____
 - 9.3.7.3. Project Description *(Surface Preparation methods, surface cleanliness standard, coating/ lining applied, application method, and quality control direction for each different application or area on the project):*

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The following list of information may be provided in the form of company manuals or instructions, or as stand-alone memos. The list below indicates the elements that will be verified by NIICAP as part of the Administrative Review. Most of the same elements are verified on site as well to ensure that the job site practices are the same as the company policies.

10. Business Structure: Provide the following information or documentation. This information may be in company instructions or manuals. Information may be stand alone, or as part of another manual.

10.1. Quality Statement

10.1.1. Provide the quality statement, and evidence that the quality statement is readily accessible to employees in hard copy or electronic format.

10.1.2. Quality Statement as a minimum should refer to product quality, worker safety and health, and environmental compliance.

10.2. Effective accident or mishap prevention and investigation policy or manual.

10.2.1. Process should identify accepted investigation methods to determine root cause, corrective and preventive actions. Process must emphasize objectivity.

10.3. Surveillance or audit report review policy.

10.3.1. Should include analysis for negative trends, and incorporation of process improvements into instructions or manuals.

10.4. Effective Management Team.

10.4.1. Provide a company organizational chart, or list identifying personnel by title and name. Organizational chart or list must include contact information.

11. Safety Policy

11.1. Safety, Health & Environmental Training and Equipment.

11.1.1. Requirements for personnel to be qualified by training, experience, or certification prior to using tools.

11.1.2. Policy prohibiting use of tools or equipment that have been altered, have removed guards, or have been damaged.

11.1.3. Policy to ensure personnel have had the required training and briefings regarding hazardous material/hazardous waste exposure required by the United Nations Globally Harmonized System, or other locally applicable system.

11.1.4. Written and accessible Safety and Health Plan that provides for identification, evaluation, and implements controls for potential site safety and health hazards, and direct the most appropriate employee protection methods.

11.1.5. Provide provision for secondary containment and/or isolation when required by specification, material segregation, Compliance Plan, or higher tier requirements.

11.1.6. Provide for explosion proof storage facilities, spill prevention, spill kits, and eyewash stations when required by specification, Compliance Plan, or higher tier requirements.

11.2. Competent Person (or similar assignment) authority.

11.2.1. Competent Person (or similar assignment) has the authority to direct corrective or preventive actions, and stop work if necessary.

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- 11.2.2.** Competent Person (or similar assignment) safety and monitoring responsibilities take precedence, or are the primary assignment above other production responsibilities and assignments.
- 11.2.3.** Competent Person (or similar or shared assignment, may be Safety Coordinator) is assigned to manage or perform the following actions as applicable for the project, job site, or shop:
 - 11.2.3.1.** Frequent jobsite inspections.
 - 11.2.3.2.** Confined space entry program assignments.
 - 11.2.3.3.** Verify containment integrity, compliance with specifications, and clean up actions.
 - 11.2.3.4.** Verify ventilation system operation and filter efficiency (replacement).
 - 11.2.3.5.** Verify personnel safety training prior to work assignment.
 - 11.2.3.6.** Verify proper use of Personal Protective Equipment (PPE).
 - 11.2.3.7.** Verify proper suit up and unsuiting procedures.
 - 11.2.3.8.** Direction for first aid services and provisions on site.
 - 11.2.3.9.** Hazardous waste accumulation and hazardous material storage area inspections and corrective actions for discrepancies.
 - 11.2.3.10.** Manage and report worker exposure monitoring data. Normally the Competent Person does not perform the testing.
 - 11.2.3.11.** Generating, reporting, and archiving required data collection related to all of the above actions.

12. QUALITY ASSURANCE

- 12.1.** Quality Assurance Manual must address the following subjects.
 - 12.1.1.** Evidence that the Quality Assurance Manual is readily available to managers and workers in electronic or printed format.
 - 12.1.2.** Quality Assurance Manager responsibilities.
 - 12.1.2.1.** Quality Assurance Manager supervisory assignment for Project Quality Assurance Manager and Quality Control Inspector.
 - 12.1.2.2.** Overall Quality Assurance Program management.
 - 12.1.2.3.** Maintain Quality Assurance Manual.
 - 12.1.2.4.** Review all data generated to support the functions defined in the Quality Assurance Manual (QA/QC Data, training records, calibrated equipment data, surveillance or audit reports, instruction changes, preventive and corrective actions).
 - 12.1.3.** Project Quality Assurance Manager responsibilities.
 - 12.1.3.1.** Overall Quality Assurance program management at the project level including data collection, recordkeeping, reporting functions for each project managed.
 - 12.1.3.2.** Reports directly to the Quality Assurance Manager, not the Project Manager
 - 12.1.4.** Project Quality Control Inspector responsibilities.
 - 12.1.4.1.** Reports directly to the Project Quality Assurance Manager (may be the same person as the Project Assurance Manager), and indirectly to the Quality Assurance Manager.
 - 12.1.4.2.** Responsible to perform QC functions, such as data collection, checkpoint inspections, recordkeeping, and reporting functions for each project being worked. Position description must include training requirements.

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- 12.1.5.** Calibrated Equipment management.
 - 12.1.5.1.** Provide a documented method for tracking calibrated equipment, recall system for recalibration, equipment maintenance, and segregation or marking for tools that are out of service or damaged.
- 12.1.6.** Manager and Inspector Training requirements.
 - 12.1.6.1.** Evidence that QA/QC Managers and Inspectors have current inspection certification from NACE, SSPC, FROZIO, or other recognized certification organizations. Training must include data collection, field verification of data collection equipment calibration, sampling methods and frequency of applicable standards.
- 12.1.7.** Receipt Inspection and Material Storage Policy.
 - 12.1.7.1.** Evidence of receipt inspection requirements and job site practices. Job site practices evidence may include such things as receipt inspection forms, spread sheets, or receipt inspection criteria.
 - 12.1.7.2.** Evidence of material storage requirements and job site practices. Job site practices evidence includes inspection records and verification of corrective actions.
- 12.1.8.** In Process QC Observations.
 - 12.1.8.1.** Defines checkpoints/hold points and directs that the QC Inspector is required to perform them in accordance with applicable industry standards.
 - 12.1.8.1.1.** Surface cleanliness prior to surface preparation.
 - 12.1.8.1.2.** Surface profile.
 - 12.1.8.1.3.** Chlorides/contaminants (as appropriate).
 - 12.1.8.1.4.** Cleanliness meets specified standard immediately prior to coating application (each coat).
 - 12.1.8.1.5.** Coating application complete visual inspection (each coat).
 - 12.1.8.1.6.** DFT readings (each coat).
 - 12.1.8.1.7.** Environmental readings (prior to each task, and at specified frequency).
 - 12.1.8.1.8.** Surface preparation and coating application repairs.
 - 12.1.8.1.9.** Final acceptance.
 - 12.1.8.2.** Requires 100% visual inspection.
 - 12.1.8.3.** Requires environmental data collection and analysis
- 12.1.9.** In House Surveillance/Audit Program.
 - 12.1.9.1.** Provide evidence of direction and data from an in house surveillance and audit program. Program must include tracking findings, and contractor caused discrepancies, including root cause analysis, corrective and preventive actions.
- 12.2.** Formal Quality Assurance Program.
 - 12.2.1.** Provide evidence of a Quality Assurance program addressing the subjects defined above in the Quality Assurance Manual.
 - 12.2.1.1.** Evidence may include QA/QC forms, inspection forms, audit/surveillance forms, audit /surveillance review forms, training records, and instruction change recommendations.

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13. PLANNING AND ESTIMATING PROCESS

- 13.1.** Read and Understand Specification.
 - 13.1.1.** Provide evidence of a process to ensure an effective specification review. Evidence may include meeting notes, notes from communication indicating review and understanding, or spread sheets
- 13.2.** Jobsite Tour.
 - 13.2.1.** Provide evidence of a policy to normally perform jobsite tours, or an alternative, such as photos. Provide evidence such as notes, e-mails, spread sheets, etc. validating that the policy is used.
- 13.3.** Review Processes and Material for feasibility.
 - 13.3.1.** Provide evidence of a process to ensure that the proposed surface preparation and coating application processes and materials are appropriate for the job being planned. Include consideration for personnel access, containments, ventilation and curing.
 - 13.3.2.** Provide evidence that the process review identifies tasking and sequencing to reduce or prevent rework, such as reviewing discrepancies from similar jobs, tasking shop prep and coating application when items are removed or prior to installation.
- 13.4.** Hazardous Waste Removal Cost.
 - 13.4.1.** Provide evidence that potential hazardous waste removal has been addressed in the estimating and bidding process when required by specification or higher tier regulations.
- 13.5.** Communications.
 - 13.5.1.** Provide evidence of effective communication during pre-bid and pre-job meetings, as well as daily meetings. Documentation may be e-mails, meeting minutes, phone logs, etc.
 - 13.5.2.** Provide examples of phone lists for projects listing significant personnel within the organization.
- 13.6.** Cost and Schedule Management.
 - 13.6.1.** Provide direction or example of work breakdown structure used to verify completion of specific tasks on large projects, and roll up cost and progress to support schedule and cost assessment. Evidence may be spread sheets, database printout, meeting minutes, action assignments, certified work orders or task assignments.
 - 13.6.2.** Provide evidence of cost and schedule assessment, and actions proposed or taken to address cost and schedule deficiencies. Evidence may spread sheets, database printouts, assignment of overtime or changing skill mix or number of workers.

14. HAZARDOUS MATERIAL/HAZARDOUS WASTE MANAGEMENT

- 14.1.** Material and solvent estimation.
 - 14.1.1.** Provide evidence that material and solvent quantities and delivery dates are managed based on jobsite need, material received and used, and jobsite inventory to prevent work stoppage due to inadequate material, or hazardous waste generation due to excessive material. Program must provide for material segregation based on compatibility and reactivity, verification by the foreman to the planner that material has been received.
- 14.2.** Thinning Allowance.
 - 14.2.1.** Provide evidence of a method to communicate to the job site personnel if material thinning is allowed, what thinner is acceptable for use, and the quantity of thinner allowed. Evidence may be in the form of a spread sheet, chart, notice, etc.

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- 14.3.** Testing Existing Coatings.
 - 14.3.1.** Provide evidence of a program to treat material being removed as hazardous waste or to sample and test/characterize material prior to removal in accordance with higher tier requirements.
- 14.4.** Secure Storage and Emergency Phone Posting.
 - 14.4.1.** Provide evidence of direction for secure hazardous waste storage facility, posting of an emergency phone number and location of fire extinguisher, fire alarm and spill control materials as appropriate.
- 14.5.** Waste Accumulation Requirements.
 - 14.5.1.** Provide evidence that hazardous waste is managed in accordance with higher tier requirements, such as accumulation quantities, start date, labeling requirements, waste inventory.
 - 14.5.2.** Provide evidence of waste segregation and labeling prior to characterization, in cases of incompatible waste, and waste is not defined as hazardous.

15. DISCREPANCY IDENTIFICATION, REPORTING, AND RESOLUTION PRACTICES

- 15.1.** Discrepancy Identification, tracking, and reporting.
 - 15.1.1.** Provide evidence of direction for identifying, tracking, and reporting contractor caused discrepancies. Evidence may include instruction or memo detailing discrepancy reporting process, CAR, Discrepancy Notification Form, database, spread sheet, meeting notes, e-mails, etc.
 - 15.1.2.** Provide evidence of a review prior to submission to determine if the reported discrepancy is valid, and if it is accurately defined.

NOTE: 15.1.3, 15.1.4 AND, 15.1.5, DO NOT APPLY UNLESS THE CONTRACTOR IS REQUIRED TO PROVIDE PROPOSED TECHNICAL RESOLUTION.

- 15.1.3.** Provide evidence that the proposed recovery action is based on sound technical rationale, specification, or higher tier requirements.
- 15.1.4.** Provide evidence of a second technical review of proposed recovery action to verify technical adequacy.
- 15.1.5.** Provide evidence that the discrepancy review process includes review and acceptance by the owner's representative prior to directing the recovery actions.
- 15.1.6.** Provide evidence of an effective tracking and discrepancy analysis program or debriefing process. Process must include root cause analysis and potential changes to prevent recurrence, Lessons Learned or similar actions to analyze and prevent repeat discrepancies.

16. TRAINING AND SKILLS DEVELOPMENT

- 16.1.** Formal Documented Training Program
 - 16.1.1.** Provide evidence of a formal documented training program (Training Manual or Instruction, Training Plan, Lesson Plan for any subjects taught in-house) for employee development. Program must include definition of required skills and proficiencies (position description) meeting the requirements of Appendix A of AS-1 for the positions described.
- 16.2.** Employee Status Tracking Program.
 - 16.2.1.** Provide evidence of a tracking system to ensure employee training and certifications are kept current prior to assignment requiring the training or certification. Tracking system must include:
 - 16.2.1.1.** Training programs completed by the employee.

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- 16.2.1.2. Certifications held by the employee.
 - 16.2.1.3. Skills testing completed by the employee (examples include training roster or individual training record for each employee).
 - 16.2.1.4. List of qualified personnel for specific tasks.
- 16.3. Employee Development Tracking Program.
 - 16.3.1. Provide evidence that a Training Manager or Supervisor or equivalent personnel is assigned to manage a program tracking job experience, periodic employee progress review with individual counseling and supervisor comments, and employee development toward higher skilled positions.
 - 16.3.2. Provide evidence that training is provided for employee development into higher skilled positions as appropriate for the tasks performed by the contractor.
- 16.4. Training Program Management and Training Plan Management
 - 16.4.1. Provide evidence that the Training Manager is responsible for overall program management, including:
 - 16.4.1.1. Training Plan development.
 - 16.4.1.2. Lesson Plan development for any classes taught in-house.
 - 16.4.1.3. Review of Lessons Learned or discrepancy assessment reports to contribute to Training Plan and Lesson Plan development.
 - 16.4.1.4. Provide certification for employees who have successfully completed training and testing.
 - 16.4.1.5. Review support material such as tests, quizzes, test results for compliance and potential improvements.
- 16.5. Formal, documented Hazardous Material/Hazardous Waste Training Program.
 - 16.5.1. Provide evidence of a formal documented program for employee training related to health, safety, hazardous material handling, and hazardous waste handling. Training must address the requirements of the Globally Harmonized System. Employees must be trained and certified prior to exposure to the applicable hazards.
 - 16.5.2. The program must include all of the applicable sections defined in Appendix A of AS-1.
 - 16.5.3. The program must include periodic progress reviews and tracking of employee certifications required for the tasks assigned.
 - 16.5.4. Training may include instructor lead training, commercially available training, or a combination.
- 16.6. ESH Instructor qualifications.
 - 16.6.1. Provide evidence that the ESH Instructor is qualified based on OSHA or locally applicable requirements. ESH Instructor must be qualified in the courses s/he is providing instruction for, as well as additional training as required by local requirements.

17. USE OF IN-HOUSE OR SUB-CONTRACTED RESOURCES

18. COMPANY OFFICERS' INFORMATION SHEET

- 18.1. Provide the information listed below for each company officer or program manager listed below as described in the AS-1 Auditing Standard (available at www.niicap.net). The functions assignments may be combined; however, all of the functions must be addressed. Outside the United States some of these titles may not apply; however, the functions must be assigned. Refer to the appropriate sections of AS-1 to determine the responsibilities that apply. Enter your title as appropriate. Ensure the officers or managers responsible for the following functions are listed:

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- 18.2. Required Information for each Position:
 - 18.2.1. Position Title:
 - 18.2.2. Person's Name:
 - 18.2.3. Business Phone:
 - 18.2.4. Cell Phone Number:
 - 18.2.5. E-mail Address:
 - 18.2.6. Work Address:
 - 18.2.7. Certifications Held and Expiration Date:
 - 18.2.8. List of core duties and responsibilities. Responsibilities must include specific assignment of responsibility for the assigned programs (QA; Training; Environmental, Safety and Health; Hazardous Material/Hazardous Waste).
 - 18.2.9. Expected or Required Training, Certification, or Experience:
- 18.3. List of Positions (or similar as assigned by your company) All tasks must be addressed regardless of the position title:
 - 18.3.1. Chief Executive Officer.
 - 18.3.2. Quality Assurance Manager.
 - 18.3.3. Training Manager.
 - 18.3.4. Training Instructor(s).
 - 18.3.5. Environmental, Safety, and Health Manager.
 - 18.3.6. Hazardous Material/Hazardous Waste Manager.
 - 18.3.7. Competent Person
 - 18.3.8. Qualified Person

19. LIST OF DOCUMENTATION REQUIRED TO BE AVAILABLE TO THE AUDITOR AT THE OFFICE.

- 19.1. Documentation may be in hard copy or electronic format; however, there must be provision for providing a hard copy of each document for employees, auditors, and inspectors.
- 19.2. Applicable industry standards, specifications, and references for work being performed or planned, and manuals covering maintenance and repair of major equipment.
- 19.3. Documents describing the company's processes for significant tasks, such as planning and estimating standards or spread sheets and bid review practices.
- 19.4. Product Data Sheets for material being used, or identified in any recent specifications.
- 19.5. Safety Data Sheet for materials and solvents available on the job site or in the office.

NOTE: AUDITOR WILL IDENTIFY MATERIAL FROM RECORDS OR SPECIFICATIONS. THE CONTRACTOR MUST BE ABLE TO PROVIDE A HARD COPY OF THE SDS WITHIN 5 MINUTES.

- 19.6. Procedures manual, or compilation of instructions covering significant aspects of the contractor's business practices, and maintenance of data developed during planning functions for future reference.
- 19.7. Provide evidence that QC data collected is retrievable. The auditor will ask for QC data from a completed job and the contractor must provide access to the information in hard copy or electronic format.

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20. LIST OF DOCUMENTATION REQUIRED TO BE AVAILABLE TO THE AUDITOR ON THE JOB SITE.

- 20.1.** Documentation may be in hard copy or electronic format; however, there must be provision for providing a hard copy of each document for employees, auditors, and inspectors.
- 20.2.** Applicable industry standards, specifications, and references for work being performed or planned, and manuals covering maintenance and repair of major equipment.
- 20.3.** Product Data Sheets for material being used, or identified in any recent specifications.
- 20.4.** Safety Data Sheet for materials and solvents available on the job site or in the office.

NOTE: AUDITOR WILL IDENTIFY MATERIAL FROM RECORDS OR SPECIFICATIONS. THE CONTRACTOR MUST BE ABLE TO PROVIDE A HARD COPY OF THE SDS WITHIN 5 MINUTES.

- 20.5.** Provide evidence that QC data collected is retrievable. The auditor will ask for QC data from a current job and the contractor must provide access to the information in hard copy or electronic format.

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ATTACHMENT A

NIICAP CODE OF PROFESSIONAL CONDUCT

(For Accredited Contractors)

I, the undersigned, on behalf of the contractor organization shown below, recognize and acknowledge that:

Objective audit practices validating: proper surface preparation, coating application and inspection, proper hazardous waste management and in-house training practices can be critical to the safety and welfare of the general public and industrial facilities.

Surface preparation and coating application is obligatory to maximize conservation of our material resources and to reduce economic losses.

The entire field of coatings encompasses many diverse skills and disciplines, and levels of technical competence, which must often be taken into consideration.

Through continual association and cooperation with others in the coatings field, the safest and most economical solutions may be found to too many types of coating problems.

The quality of work and personal conduct of each NIICAP accredited organization reflects on the entire industry of coatings contractors, and the profession of coatings application.

Therefore, this NIICAP accredited organization, named below, agrees to:

Give first consideration in our coatings work to safety and public welfare.

Apply ourselves with diligence, thoroughness, and responsibility to our coatings work.

Pursue and complete our work with fairness, honesty, integrity, and courtesy, ever mindful of the best interests of the public, asset owner, NIICAP, the industry of coatings contractors, and all industry workers.

Not represent ourselves to be proficient concerning specific coatings-related work for which we are not qualified by knowledge and experience.

Avoid and discourage untrue, sensational, exaggerated, or unwarranted statements regarding our work.

Treat as confidential our knowledge of the business affairs or technical processes of clients, employers, or customers.

Inform customers of any affiliations, interests, or connections, which might influence, or appear to influence our judgment.

(Insert Company Name) _____, *under the authority of*

(Insert name of Official Representative) _____

hereby agrees to uphold and abide by NIIBS' "NIICAP Code of Professional Conduct" for accredited organizations so long as it is accredited by NIICAP. We understand that failure to fully comply with the NIICAP Code of Professional Conduct is a sufficient reason for a reprimand, suspension, revocation, or denial of a NIICAP accreditation.

Official Business Name of the Contractor:

Name of Company Representative with Binding Authority for the Contractor:

Signature thereof: _____

Date: _____

ATTACHMENT B

NIICAP AGREEMENT WITH CONTRACTOR APPLICANTS

This Agreement (“Agreement”) is entered into by and between NIIBS (NACE International Institute Business Services, LLC) (hereinafter referred to as “NIIBS”), located at 15835 Park Ten Place Dr., Houston, Texas, USA, 77084, and the coatings contractor company “Contractor Applicant” that is applying for accreditation in NIIBS’ program titled the NACE International Institute Contractor Accreditation Program (“NIICAP”).

The Contractor Applicant certifies, to the best of his/her knowledge and belief that the Contractor Applicant and/or any of its key management (1) have not within a two (2) year period preceding this application, been convicted of or had a civil judgment rendered against them for committing a criminal offense in connection with job performance or business practices, including violation of any federal, national, provincial, or state antitrust statutes relating to business practices, and (2) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity with committing of any of the offenses above.

CONTRACTOR APPLICANT AGREES TO THE TERMS AND CONDITIONS REFERENCED HEREIN. THIS AGREEMENT IS NOT EFFECTIVE UNTIL AN AUDIT DATE HAS BEEN SCHEDULED AND CONFIRMED IN WRITING BY NIIBS PERSONNEL. THIS AGREEMENT SHALL REMAIN IN EFFECT FOR THE DURATION OF THE CONTRACTOR APPLICANT’S PARTICIPATION IN, OR RECOGNITION BY, NIICAP, UNLESS REVOKED BY NIIBS MANAGEMENT, OR THE CONTRACTOR APPLICANT TERMINATES PARTICIPATION IN NIICAP VIA WRITTEN NOTIFICATION TO THE NIICAP ADMINISTRATOR. IN THE EVENT THAT CONTRACTOR APPLICANT DOES NOT ACHIEVE ACCREDITATION AND CONCLUDES AVAILABLE APPEALS PROCESSES UNFAVORABLY, THIS AGREEMENT SHALL BE CONSIDERED TERMINATED.

WHEREAS, NIIBS has developed and manages an industry accreditation program known as “NIICAP” which provides the framework, methods, and required attributes for assessing the business practices, personnel availability, training practices, equipment availability, and company history to provide accreditation of a marine or industrial coatings contractor; and

WHEREAS, Contractor Applicant is seeking accreditation by NIICAP for the purposes of publicly demonstrating that it follows best practices in managing its coating contractor business or businesses;

NOW, THEREFORE, in consideration of the premises and mutual covenants contained herein, the parties hereto agree as follows:

1. ACCREDITATION

- 1.1. In submitting the NIICAP accreditation application package to the NIICAP Administrator, the Contractor Applicant agrees to be audited by NIIBS, and that all reports and accreditation arising out of the NIICAP audit and accreditation process shall be the sole and exclusive property of NIIBS, and that NIIBS shall have the right to publish, disseminate or otherwise distribute such reports and

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accreditation information and results, provided that nothing herein shall affect Contractor Applicant's proprietary rights as set forth in this Agreement.

- 1.2.** Contractor Applicant agrees that the terms of accreditation conferred by NIICAP, in the event the Contractor Applicant achieves accreditation, is governed by the NIICAP Policies and Procedures Manual, which is incorporated by reference and made a part of this Agreement. Accreditation is for a duration of one (1) year unless the accreditation status is suspended, withdrawn, or cancelled in accordance with the NIICAP Policies and Procedures Manual. Contractor Applicant agrees that an accreditation is conferred or terminated as determined by the NIICAP oversight bodies and NIIBS personnel in accordance with the NIICAP Policies and Procedures Manual.
- 1.3.** Interim Audits. During the term of an accreditation, NIICAP auditors may conduct spot audits, at the discretion of NIIBS management, to ensure the Contractor Applicant is conducting business in accordance with NIICAP principles. Prior notice is not required for spot audits conducted during the term of accreditation.
- 1.4.** The term of NIICAP accreditation shall be extended for an additional one (1) year period upon Contractor Applicant's (a) timely payment of program fees, (b) achieving acceptable or superior audit scores via criteria set forth in the NIICAP auditing standard, and (c) demonstrating compliance with NIICAP rules and standards, which are incorporated by reference and made a part of this Agreement.
- 1.5.** In the event Contractor Applicant disagrees with an audit report, Contractor Applicant shall notify the NIICAP Manager in writing, and NIIBS shall have, in its sole discretion, the right to review audit reports and determine whether accreditation should be granted in accordance with the NIICAP Policies and Procedures Manual.

2. TERMINATION

- 2.1.** If during the Contractor Applicant's term of accreditation the Contractor Applicant is found, in a manner described in the NIICAP Policies and Procedures Manual, to be in violation of this Agreement or any of the elements of the NIICAP program, then NIIBS shall have the right to suspend, terminate, or withdraw the accreditation in accordance with processes set forth in the NIICAP Policies and Procedures Manual.
- 2.2.** A Contractor Applicant may terminate its NIICAP accreditation in writing to the NIIBS Manager at any time.

3. ADDITIONAL AGREEMENTS

- 3.1.** Proprietary Information. Contractor Applicant recognizes and acknowledges that: (a) in the course of a NIICAP pre-audit and audit, it may be necessary for Contractor Applicant to provide information which could include confidential and/or proprietary information belonging to Contractor Applicant or relating to Contractor Applicant's business affairs, including the confidential information of contractors with whom Contractor Applicant is working or from whom Contractor Applicant is soliciting business (collectively referred to herein as "Proprietary Information"); (b) that while the Proprietary Information is recognized as the property of Contractor Applicant, such confidentiality shall not be a reason for nondisclosure to the NIICAP auditors. It shall be the responsibility of Contractor Applicant to identify and to mark all such information as "Proprietary" prior to providing the Proprietary Information to the NIICAP auditors. Proprietary Information does not include information that is not (a) generally available to the public; (b) available to NIIBS on a non-confidential basis from a third-party source which is not prohibited from disclosing such information by a legal, contractual or fiduciary duty; (c) in NIIBS' possession or known to NIIBS on a non-confidential basis prior to NIIBS' receipt from Contractor Applicant; or (d) required by law to be disclosed
- 3.2.** Contractor Applicant shall not (a) solicit from any employee of NIIBS or its Service Providers, or any NIICAP auditor information concerning the outcome of the Contractor Applicant's audit or accredi-

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tation data; (b) influence or attempt to influence through the use of gifts, bribery or other similar tactics a favorable audit report for accreditation; and (c) communicate or otherwise associate with the NIICAP auditor or auditors during the pre-audit and audit periods, and for a reasonable period following the completion of an audit event with a NIICAP auditor.

- 3.3. Contractor Applicant shall comply with all relevant federal and state laws, rules, and regulations related to workplace safety and take reasonable steps to ensure the health and safety of any NIIBS representative or NIICAP auditor while on-site at Contractor Applicant facility for purposes of conducting an audit.

4. CONTRACTOR APPLICANT'S COVENANTS AND AGREEMENTS

- 4.1. Cooperation. Contractor Applicant agrees that it shall provide all information and documents reasonably requested of it by the NIICAP Administrator or auditors to complete the NIICAP pre-audit or audit.
- 4.2. Misuse of NIICAP Logo. A Contractor Applicant that has achieved NIICAP accreditation has the right, as defined in the NIICAP Policies and Procedures Manual and during the term of its accreditation, to use the NIICAP logo in its promotional efforts solely in connection with Contractor Applicant's accreditation. Any misuse of the NIICAP logo may, at NIIBS' sole discretion, result in suspension or termination of Contractor Applicant's accreditation.
- 4.3. Nonsolicitation of NIIBS Employees, Its Service Partners, or Its Contractors. Unless otherwise agreed by the parties in writing, Contractor Applicant agrees that during this Agreement it shall not solicit or hire any NIIBS employees, employees of NIIBS' Service Partners, or its contractors engaged in NIICAP activities.
- 4.4. Indemnity. Contractor Applicant agrees to indemnify, defend, and hold harmless NIIBS and its Service Providers, and its directors, officers, employees, representatives, and agents, from and against all claims, demands, causes of action, suits, settlements, judgments, and expenses (including reasonable attorneys' fees) incident to any of the foregoing for death, bodily injury, damage to property, or other damages of any kind arising from or in connection with (a) activities of the Contractor Applicant's directors, officers, employees, representatives, or agents; (b) the negligent performance of Contractor Applicant's obligations under this Agreement; or (c) breach of this Agreement by Contractor Applicant.
- 4.5. Authorization. By executing this Agreement, Contractor Applicant's representative represents and warrants his/her authority to bind the Contractor Applicant organization.
- 4.6. Waiver. Contractor Applicant agrees to release, discharge, and hold harmless NIIBS, its affiliates, including the NACE International Institute and NACE International, and Service Providers, and NIICAP Customers and owners of NIICAP Customers' field audit sites, from any and all liability that may arise, directly or indirectly, now or in the future, by reason of any injury to (including death), damage, loss, or expense incurred by CONTRACTOR or CONTRACTOR's employees, agents or representatives in connection with CONTRACTOR's or CONTRACTOR's employees', agents' or representatives' performance of this Agreement, including those caused solely or in part by the fault (including but not limited to negligence, gross negligence, and/or recklessness) of the above-named parties, at any and all Audit Sites set forth in Work Orders, including, but not limited to NIICAP Customers' facilities/work shop and field audit sites. None of the above-named parties shall bear any responsibility for the safety of CONTRACTOR, its personnel, employees, agents or representatives or personal property. NIIBS shall have no liability whatsoever for any indirect, consequential, special or incidental damages, regardless of how those damages are incurred.

5. WORK EXPERIENCE FORM

- 5.1. Conduct of Audits and Investigations. NIIBS represents that it will conduct all audits and investigations of Contractor Applicant for NIICAP accreditation in accordance with the NIICAP Policies and Procedures Manual.

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- 5.2. Non-Disclosure of Proprietary Information. NIIBS shall not misappropriate, disclose or make available any third party outside NIIBS, NIIBS' Service Providers, contractors, and auditors, either during the term of this Agreement or subsequent to the termination of this Agreement for any reason, any of Contractor Applicant's Proprietary Information, except as required in the performance of NIIBS obligations NIICAP accreditation of Contractor Applicant, without the prior written consent of Contractor Applicant.
- 5.3. Nonsolicitation of Contractor Applicant Employees. NIIBS agrees that during this Agreement it shall not, directly or indirectly, solicit or hire any Contractor Applicant employee, either as an employee, consultant, or expert witness, unless Contractor Applicant otherwise agrees in writing.

6. MISCELLANEOUS

- 6.1. Agreement in its Entirety. This Agreement represents the entire agreement and supersedes any and all prior or contemporaneous representations, statements or agreements of any kind, whether written or oral, made by or on behalf of either party. If any provision of this Agreement is unenforceable for any reason, it shall be amended rather than voided, if possible, to achieve the intent of the parties. In any event, all other provisions of this Agreement shall be deemed valid, binding, and still enforceable.
- 6.2. Governing Law. The Agreement shall be governed by and construed in accordance with the laws of the State of Texas, without regard to its conflicts of laws principles. All legal proceedings relating to the subject matter of the Agreement shall be subject to a court of competent jurisdiction within Harris County, Texas.
- 6.3. Notice. Any notice permitted or required by this Agreement shall be sent by email, courier (hand delivery, FedEx, UPS, etc.) or certified mail, return receipt requested, to the applicable address below or to such other address(es) as a party may designate in writing. In the event of mailing, a courtesy copy shall also be sent by email.
- 6.4. General Provisions. If any term of this Agreement shall be unlawful, void, or unenforceable, then that term shall be deemed severable from the Agreement and shall not affect the validity and enforceability of any remaining provisions.
- 6.5. Assignment of Rights. No party may assign its rights or obligations under this Agreement without the express written consent of the other Party. The failure of a party to exercise any right provided for herein will not be deemed a waiver of that right or any further rights hereunder.

NIIBS LLC

By: _____ Date: _____
 Helena Seelinger, Manager

Contractor Applicant

Name of Organization: _____
 Name of Binding Authority: _____
 Title of Binding Authority: _____
 Signature of Binding Authority: _____
 Date: _____

—This is the End of the Application Form—
Ensure this form is complete, and save. Submit to info@niicap.net, along with your related .pdf documents. If you have any questions, please phone +1 281-228-6259.