

American Subcontractors Association, Inc.

## 2018 Certificate of Excellence in Ethics



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*Apply by  
Dec. 7, 2018!*

Celebrating construction subcontractors and suppliers that embody ASA's values of ethical and equitable business practices in their companies and the construction industry.

To promote ethical and equitable business practices, ASA recognizes those subcontractors that demonstrate the highest standards of internal and external integrity in the construction industry. The ASA Certificate of Excellence in Ethics is granted annually based on corporate ethics policy and procedure, construction industry practices, and general business practices.

Each applicant that completes the application and provides sufficient proof of exemplary ethics policies and practices in accordance with the judging criteria shall be awarded an ASA Certificate of Excellence in Ethics, and may participate in an awards ceremony in conjunction with the ASA annual convention, SUBExcel 2019, which will take place March 6-9, 2019, in Nashville, Tenn. **Applications are due to ASA no later than December 7, 2018.**

### Judging Criteria

A successful candidate for an ASA Certificate of Excellence in Ethics strives to promote the values of ASA in everyday business, including ethical and equitable business practices, quality construction, a safe and healthy work environment, and integrity. Each firm applying for this award will be judged on the following criteria:

#### Corporate Ethics Policy and Procedure

- ◆ The applicant's commitment to business ethics is demonstrated on a corporate and individual level, and verified by customer(s) and supplier(s) or subcontractor(s).
- ◆ The applicant has a policy on ethics in written form and including statements requiring honesty, integrity and compliance with the law in all business dealings. Training on this policy is offered to **all employees**.
- ◆ Employees may submit questions relating to ethical policies or practices to management without fearing retaliation. A written procedure is in place to ensure fair and consistent treatment for all parties involved.
- ◆ The applicant endeavors to avoid conflicts of interest, both corporate and individual. Where a corporate conflict exists, the applicant will disclose such conflict to its customer or prospective customer. The applicant regularly educates its staff about personal conflicts of interest and has established a written procedure for internal disclosure.

#### Construction Industry Practices

- ◆ The applicant provides materials and services in a manner consistent with the established and accepted standards of the construction industry, with the laws and regulations that govern it, and with respect for the environment.
- ◆ The applicant strives to perform its contracts with competence, reasonable care and diligence. It serves its customers with honesty and integrity.
- ◆ The applicant ensures that the safety and health of its employees, others on the job site, and the general public are protected during the provision of its services.
- ◆ The applicant competes fairly for contracts, avoiding any practice that might be construed to be in violation of the letter or spirit of the antitrust laws. The firm avoids any activity that could be construed as bid shopping or peddling. The firm does not knowingly violate any law or regulation governing the competitive process.

- ◆ The applicant treats its service providers and suppliers in an equitable manner, ensuring that they are provided clear direction and prompt payment for service and materials provided. The firm does not knowingly violate any law or regulation governing such relationships.

#### General Business Practices

- ◆ The applicant does not promote its own self-interest at the expense of the construction industry and upholds the standards of the industry with honor and dignity.
- ◆ The applicant complies with Sarbanes-Oxley Act requirements if a publicly traded company, and adheres to the spirit of the law in the following ways if privately held:
  - Internal procedures designed to ensure accurate financial disclosure.
  - Senior executives take ultimate responsibility for financial reports and tax statements, certifying their accuracy.
  - External review of financial records.
- ◆ The applicant's financial statements are compliant with Generally Accepted Accounting Principles (GAAP).
- ◆ The applicant handles all customer complaints in a timely and fair manner.
- ◆ Company policy exists to prevent discrimination and harassment in hiring, promotion and daily business practices.
- ◆ The applicant ensures that all its public statements and disclosures it makes are truthful. The firm also protects the proprietary interests of its customers.
- ◆ The applicant's commitment to the community is evidenced by involvement in addressing issues pertaining to local and national concerns and company support for civic and charitable endeavors.

Have questions? Visit [www.asaonline.com](http://www.asaonline.com)!

## Submission Requirements

In addition to a completed entry form, all applicants are required to submit a processing fee of **\$400.00** (payable to American Subcontractors Association) along with the documentation listed below, and three signed and sealed confidential letters of recommendation. All materials are due ***no later than December 7, 2017***, to American Subcontractors Association, ATTN: Shannon MacArthur, Chair, ASA Task Force on Ethics in the Construction Industry, MEMCO, 210 Spring Hills Dr., Suite 100, Spring, TX 77386, Office: (832) 764-5290, Fax: (832) 585-0611, Email: shannonmacarthur@marekbros.com.

### Applicant-Supplied Documentation

All documentation must be submitted electronically, separated by section, or on 8.5" x 11" paper, with the total entry limited to a 2-inch, three-ring binder. The entry form must be included as the first pages of the binder. Tabs must separate the binder into three sections corresponding to judging criteria, and include materials (mission statement, policies, publications, news articles, advertising, etc.) that speak to the firm's strengths regarding each of the criteria. Each applicant should retain a copy of its entry. All entries become the property of ASA and cannot be returned. All decisions are final. **All responses will remain confidential. Applications will not be reviewed by a customer or competitor. For electronic submittals, the three signed and sealed confidential letters must be mailed.**

### Corporate Ethics Policy and Procedure

- ◆ Written ethics policies, including code of conduct, whistle blower, and/or conflict of interest policy.
- ◆ Written ethics procedures, including question submittal and reporting procedure, and presence of a designated ethics officer on staff.
- ◆ Ethics training invitation and agenda at the time of application.

### Construction Industry Practices

- ◆ Written policy on fair competition practices, including anti-trust, bid shopping and bid peddling, and competitive-bidding law compliance.
- ◆ Written safety and health policy and plan.
- ◆ Documentation of safety training, including agendas and invitations.

### General Business Practices

- ◆ Financial controls and accounting policy.
- ◆ BBB complaint resolution record, if applicable.
- ◆ Equal employment opportunity compliance statements and relevant hiring policy.
- ◆ Description of methods the company uses to ensure all sales, promotional materials and advertisements are truthful and accurate.
- ◆ Community service documentation, such as a thank-you letter or news clipping.

### Recommendation Letters

Each applicant must submit one recommendation letter from a customer, a competitor, and a subcontractor or supplier. If a letter from a competitor can not be obtained, an additional letter of recommendation from a customer must be included. Each letter must contain statements and evidence of the firm's ethical business practices on a corporate and individual level, promotion of the construction industry, and the following tier-specific business and industry practices:

#### Customer

- ◆ Materials and service delivery—meets professional standards, jobsite operations, dispute resolution practices, and respect of the environment.
- ◆ Contract negotiation and performance.

#### Competitor

- ◆ Fair and honest competition.

#### Subcontractor or Supplier

- ◆ Contract negotiation and management.
- ◆ Ethical and equitable treatment of lower-tier members of the construction team.

Recommendation letters from customer(s) and subcontractor(s) or supplier(s) must come from a representative of a firm with which the applicant firm has worked in the past 12 months. All letters must be kept confidential from the applicant, and submitted in a sealed envelope with the recommender's signature over the seal. The recommender must also make him- or herself available for follow-up questions by the review committee. Any conflict of interest that comes to the attention of the reviewers will result in immediate disqualification of the applicant.

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American Subcontractors Association, Inc.  
1004 Duke Street  
Alexandria, VA 22314-3588



## ASA Certificate of Excellence in Ethics

Prove that your company is committed to meet some of the most stringent standards for ethics in the construction industry.

Apply today for an ASA Certificate of Excellence in Ethics and show that your company is among the best.

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Founded in 1966, ASA amplifies the voice of, and leads trade contractors to improve the business environment for the construction industry and to serve as a steward for the community. ASA's vision is to be the united voice dedicated to improving the business environment in the construction industry. The ideas and beliefs of ASA are ethical and equitable business practices, quality construction, a safe and healthy work environment, integrity and membership diversity.

For additional resources and information on the  
ASA Certificate of Excellence in Ethics, visit  
[www.asaonline.com!](http://www.asaonline.com)

Phone: 703-684-3450 • Fax: 703-836-3482  
Email: [education@asa-hq.com](mailto:education@asa-hq.com)

Watch ASA's  
Excellence in Ethics  
Video at  
[www.asaonline.com!](http://www.asaonline.com)