



**American Subcontractors Association, Inc.  
Certificate of Excellence in Ethics  
Application Form**

**Applicant Information**

Firm: \_\_\_\_\_

Individual Completing Form: \_\_\_\_\_

Address: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

Email: \_\_\_\_\_ Web: \_\_\_\_\_

**Customer Evaluator Information**

Customer: \_\_\_\_\_

What was the name, location and completion date of the project on which your firm last did work for this customer?

Name of Project: \_\_\_\_\_

Location of Project: \_\_\_\_\_ Date of Completion: \_\_\_\_\_

**Subcontractor/Supplier Evaluator Information**

Subcontractor/Supplier: \_\_\_\_\_

What was the name, location and completion date of the project on which this subcontractor/supplier last worked with your firm?

Name of Project: \_\_\_\_\_

Location of Project: \_\_\_\_\_ Date of Completion: \_\_\_\_\_

**Competitor/Additional Customer Evaluator Information**

Competitor/Customer: \_\_\_\_\_

City, State, Zip: \_\_\_\_\_

Please submit this application, along with all supporting documentation, electronically, separated by sections, or on 8.5" x 11" paper, with the total entry limited to a 2-inch, three-ring binder. This 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. Applicants should retain copies of their entries. **For electronic submittals, the signed and sealed letters of recommendation must be mailed.**

All entries become the property of ASA and cannot be returned. Application materials will remain confidential and will not be reviewed by a competitor. All decisions made by the evaluation working group are final.

Return the completed Entry Form along with the binder containing all supporting materials and the **\$400.00** application fee payable to American Subcontractors Association **no later than December 7, 2018**, 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  
Email: [Shannonmacarthur@marekbros.com](mailto:Shannonmacarthur@marekbros.com)

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**Application Checklist**

Please use the following checklist to indicate whether your firm has the following policies and procedures in place, and supply the document(s) listed for each of the criteria unless otherwise indicated. All materials will remain confidential and will not be shared with a competitor.

**Part A: Corporate Ethics Policy and Procedure**

- 1) The applicant's commitment to business ethics is demonstrated on a corporate and individual level, and verified by customer(s), supplier(s), and subcontractor(s).
  - Statement and Example in Customer Letter
  - Statement and Example in Subcontractor/Supplier Letter
  
- 2) The applicant's policy on ethics is exhibited in written form and includes statements requiring honesty, integrity and compliance with the law in all its business dealings. Training on this policy is offered to all employees.
  - Code of Ethics/Conduct
  - Training Documentation (e.g., Agenda, Invitation, Employee's Signed Acknowledgement of Policy)
  
- 3) 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.
  - Ethics Question Submission Procedure or Policy with assurance of non-retaliation (e.g., whistleblower policy)
  
- 4) 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.
  - Conflict of Interest Policy

**Part B: Construction Industry Practices**

- 1) 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.
  - Statement and Example in Customer Letter
  
- 2) The applicant strives to perform its contracts with competence, reasonable care and diligence. It serves its customers with honesty and integrity.
  - Statement and Example in Customer letter
  
- 3) The applicant ensures that the safety of its employees, the employees of others on the job site, and the general public are protected during the provision of its services.
  - Safety Policy or Plan
  - Training Documentation (e.g., Agenda, Invitation, Attendance Record)
  
- 4) 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.
  - Antitrust Policy
  - Bidding Policy
  - Competition Policy
  
- 5) The applicant treats its subcontractors 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.
  - Statement and Example in Subcontractor/Supplier letter

**Part C: General Business Practices**

- 1) The applicant does not promote its own self-interest at the expense of the construction industry and upholds the standards of the construction industry with honor and dignity.
  - Statement and Example in Customer Letter
  - Statement and Example in Subcontractor/Supplier Letter
  
- 2) 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.
  - Internal Controls Policy
  - External Auditors' or Reviewers' Certification of Financial Statement Accuracy
  
- 2) The applicant's financial statements are compliant with Generally Accepted Accounting Principles (GAAP).
  - Accounting Policies and Procedures
  - or-
  - Accounting Firm's Certification of the Use of GAAP (often a line in Certification of Accuracy)
  
- 3) The applicant handles all customer complaints in a timely and fair manner.
  - Statement and Example in Customer Letter
  
- 4) Company policy exists to prevent discrimination and harassment in hiring, promotion and daily business practices.
  - Non-discrimination Policy
  - Anti-harassment Policy
  
- 5) The applicant ensures that all its public statements and disclosures are truthful. The firm protects the proprietary interests of its customers.
  - Public Disclosure Policy
  - or-
  - Communications or Public Relations Policy
  
- 6) 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.
  - Community Service Policy
  - and/or-
  - Documentation of Community Service (e.g., Photos, News Clippings, Thank You Letters from Recipient Organization)

**Entry Fee – Payment MUST be made payable to American Subcontractors Association and submitted with Entry Form to be considered.**

- Check/Money Order (payable to ASA)     
  American Express     
  VISA     
  MasterCard

**Payment Information:**

Name: \_\_\_\_\_

Company: \_\_\_\_\_

Address: \_\_\_\_\_

City/State/Zip: \_\_\_\_\_ E-mail: \_\_\_\_\_

**Credit Card Information:**

Account Number: \_\_\_\_\_ Exp. Date: \_\_\_\_\_

Name Printed on Card: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

<b>Office Use Only</b> Rec'd: _____	By: _____	Auth. Code: _____	
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