



American Subcontractors Association, Inc. Excellence in Ethics Certificate

In an effort 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 Excellence in Ethics Certificate will be 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 the Excellence in Ethics Certificate at the ASA Business Forum and Convention 2009 in Nashville, Tennessee, March 5-7, 2009. **Applications are due to ASA headquarters no later than December 12, 2008.**

Judging Criteria

A successful candidate for the Excellence in Ethics Certificate 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)/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 assures 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, assuring 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.

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 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.