



**American Subcontractors Association, Inc.
Certificate of Excellence in Ethics
Application Form - 2026**

Applicant Information

Firm: _____

Individual Completing Form: _____

Point of Contact Name: _____ Email: _____ Phone: _____

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. This entry form must be included as the first page of the submittal. Entries must be separated 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. **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.

Upload application and all supporting documentation **no later than June 30, 2026**, to the dropbox link:

<https://www.dropbox.com/request/k7c8lvoCWxcZO3FSkMWP>

Upon completion of submission, request an invoice for the \$400 application fee to jenochs@asa-hq.com. This application fee must be paid by June 30, 2026.

Applicant Company Name _____

All recommendation letters must be mailed to:

American Subcontractors Association Awards
C/O Shannon MacArthur, Chair, ASA Task Force on Ethics in the Construction Industry
MEMCO, 4555 Dacoma, Suite 100
Houston, TX 77092
Email: Shannon@memcostaffing.com and cc: education@asa-hq.com

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

(continues)

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: _____

Office Use Only	Rec'd: _____	By: _____	Auth. Code: _____
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