



**American Subcontractors Association, Inc.**  
**2018 Certificate of Excellence in Ethics Re-Certification**

**Company Information**

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

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

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

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

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

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

I hereby certify that all of the policies, procedures and practices listed below remain in effect or have been improved since the company earned the 2017 ASA Certificate of Excellence in Ethics.

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

**Corporate Ethics Policy and Procedure**

- The company's commitment to business ethics is demonstrated on a corporate and individual level.
- The company 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 company endeavors to avoid conflicts of interest, both corporate and individual. Where a corporate conflict exists, the company will disclose such conflict to its customer or prospective customer. The company regularly educates its staff about personal conflicts of interest and has established a written procedure for internal disclosure.

**Construction Industry Practices**

- The company 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 company strives to perform its contracts with competence, reasonable care and diligence. It serves its customers with honesty and integrity.
- The company 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 company 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 company 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 company 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 company complies with the Sarbanes-Oxley Act requirements if it's 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 company's financial statements are compliant with Generally Accepted Accounting Principles (GAAP).
- The company 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 company ensures that all public statements and disclosures it makes are truthful. It also protects the proprietary interests of its customers.
- The company'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.

Return this form, completed, and the \$100.00 processing 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  
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Office: (832) 764-5290 | Fax: (832) 585-0611 | Email: [Shannonmacarthur@marekbros.com](mailto:Shannonmacarthur@marekbros.com)