ASCM Enterprise Certification Registration Document Checklist

Purpose

The purpose of this document is to provide any enterprise candidate with a comprehensive checklist of all supporting documentation of their processes and policies that must be collected prior to submitting their Enterprise Certification registration. This document also provides candidates with a guide for how to compile and submit this documentation.

How to Submit Documentation

All documents must be submitted at the time the enterprise candidate completes their registration. **IMPORTANT:** The function to start, stop, and return to the registration application prior to submission is currently under development and you will not be able to save your progress within the application. Therefore, it is required that you complete the application in one attempt. With that in consideration, we highly recommend preparing your documentation prior to submitting and paying for your registration application.

Once all necessary documentation is compiled, enterprise candidates will need to group the electronic files into .zip files according to the categories listed below. **To zip files together:**

1. Compile all documents in one unique computer folder.
2. Press and hold (or right-click) the file or folder.
3. Select (or point to) "Send to" & click "Compressed (zipped) folder."
4. A new zipped folder with the same name is created in the same file location and can be uploaded directly to the registration.

Which Documents to Collect & Submit

Certification Overview Documents

Please compile the following documents into a .zip file (see above for instructions) to be uploaded under "Certification Overview Documents" within the ASCM Enterprise Certification Registration.

- ☐ Public, Private, Non-profit status of the organization

- ☐ Nature of Business

- ☐ Description of Product/Service offerings

- ☐ Stated Mission, Vision and/or Values

- ☐ Annual report if applicable (prior 3 years)

- ☐ Description/map of organizational site location (SC Network)

- ☐ Organizational structure – key leadership profiles

- ☐ Key Customers/Suppliers and other stakeholders (e.g. investors, joint ventures, etc.)

- ☐ SCORmark (if available) and/or applicable performance reports

Key Processes and Proficiency Documents

Please compile the following documents into a .zip file (see above for instructions) to be uploaded under "Key Processes and Proficiency Documents" within the registration.

☐ Copy of applicable environmental / social responsibility certifications for the enterprise – E.G. ISO accreditations or proof of implementation (Quality, Environment, Risk, Social Responsibility)

☐ Overview process document defining steps in S&OP and/or IBP process

☐ Supplier selection process overview and assessment criteria document

☐ Supplier Score card / Audit results

☐ Contracts / SOPs with suppliers where clear assessment of ecological and ethical standards is in place / Raw Materials Sourcing Criteria

☐ Health, Safety & Environmental compliance audit records through applicable local governing body

☐ Diversity in workplace tracking document (Incl. external Stakeholder analysis)

☐ Governance & Internal Audit results

☐ Corporate sustainability strategy / CSI mandate

☐ Fair trade code of conduct

☐ Risk Matrix

☐ Skills and competency framework

☐ Returns process

☐ Quality Control Process

☐ Quality standards documents

☐ Quality measurement reports

☐ Waste generation / measurement report

☐ Waste management process

☐ Transportation metrics report detailing environmental impact vs targets

☐ Transportation optimization process / system algorithm overview (consideration of environmental factors)

☐ Code of conduct (and evidence of distribution within company)

☐ Examples of signed NDAs

☐ Product life cycle process / policy

☐ Manufacturing processes (showing reuse and regenerative elements)

☐ Climate / Environmental company strategy

☐ Materials Allowed list

- ☐ Supply Chain Strategy Document
- ☐ Leadership training programs
- ☐ Internal and external audit results

Policy Documents

Please compile the following documents into a .zip file (see above for instructions) to be uploaded under "Policy Documents" section within the registration.

- ☐ Environmental Policy, Awareness and Communication
- ☐ Waste disposal & Energy usage policy
- ☐ Human rights Policy
- ☐ Workplace Diversity Policy
- ☐ Employee Compensation Policy
- ☐ Policy on confidential information and knowledge sharing / Record Retention and Security of Personnel Information Policy
- ☐ Policy on usage of intellectual property
- ☐ Ethics and Compliance Policy
- ☐ Whistleblowing policy
- ☐ Tax Policy
- ☐ Returns Policy
- ☐ Antitrust / anti-corruption policy
- ☐ HSE Policy