

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