ASCM ENTERPRISE CERTIFICATION FOR SUSTAINABILITY

Handbook for Organizations

Table of Contents

Introduction

The ASCM Enterprise Certification for Sustainability

The ASCM Enterprise Certification for Sustainability is the industry's first and only corporate supply chain designation that measures social responsibility, economic sustainability, and ecological stewardship. The program aims to empower organizations to reach goals, improve results, and be more competitive in today's global business world. This unique designation incorporates Supply Chain Operations Reference (SCOR) content and all ASCM certification bodies of knowledge.

The Three Pillars of the ASCM Enterprise Certification for Sustainability

The ASCM Enterprise Certification for Sustainability framework consists of three pillars that represent specific aspects of an organization's supply chain: ethical, economic, and ecological. Each pillar contains key considerations within specified areas of supply chain processes, based on the SCOR model: plan, source, make, deliver, and return.

Evaluations of an organization's *ethical* supply chain practices include the review for anti-corruption and anti-trust, codes of conduct, confidentiality of information, human rights and labor practices, intellectual property and patents, and responsible marketing and sales engagement.

Evaluations of an organization's *economic* supply chain practices include the review for business integrity and company reputation, board and corporate leadership, enterprise risk and crisis management, materiality index, responsible tax, supply chain strategy, and differentiated operating models.

Evaluations of an organization's *ecological* supply chain practices include the review for circular economy, climate strategy, energy, water and waste, material usage, and product lifecycle stewardship.

SCOR Model

The Supply Chain Operations Reference (SCOR) model is a reference model designed to integrate supply chain processes, competencies, skills, and organizational design into a cross-functional framework. The SCOR model links business processes to performance metrics that enable organizations to identify opportunities for improvement and track performance after implementing improvement measures.

Because of its cross-functional dynamic capabilities that can be applied to many different and unique supply chains, the SCOR model is an integral part of the ASCM Enterprise Certification.

The SCOR Digital Standard (DS) is available at scor.ascm.org.

ASCM Enterprise Certification Standards

The [ASCM Enterprise Certification Standards for Sustainability](#) are used to assess an organization's alignment to the three pillars of the program. They also serve as the metric to evaluate an organization's supply chain or business unit for certification.

The Impact of the ASCM Enterprise Certification for Sustainability

We anticipate that the ASCM Enterprise Certification for Sustainability will have a profound impact on many organizations, on ASCM, and on the general public. Organizations that earn the certification provide transparency of their operations and processes to the public and the industry at large, building market and brand value with their consumers.

Pricing

The current registration pricing is shown below. The registration fee is non-refundable and non-transferrable.

Fee Structure	Small Business <$500M & SMB	Mid-size Business $500M-$1B & Tier 2	Large >$1B & either Tier 3 or Tier 4
Corporate Member Registration Fee	$5,000	$5,000	$5,000
Non-Member Registration Fee	$10,000	$10,000	$10,000
Maximum Site & Desktop Evaluation Days	6	10	16
Client costs for Evaluator	$5,000/day + T&L (1 evaluator)	$5,000/day + T&L (1 evaluator)	$10,000/day + T&L (2 evaluators
Total all in cost	Up to $40K + T&L	Up to $60K + T&L	Up to $170K + T&L

The registration fee covers the organization's initial registration application and maintenance over the three-year certification cycle. This price **does not** include evaluation or site visit fees.

In addition to a registration discount, ASCM corporate members will recieve a complimentary 1-day sustainability workshop.

Corporations who maintain their membership for the duration of their 3-year certification term will not be required to undergo re-evaluation.

General Policies

Code of Ethics and Conduct

ASCM Enterprise-certified organizations will:

- Maintain exemplary standards of professional conduct;
- Not misrepresent your organization's and staff's qualifications, processes, or operations to ASCM or others you serve in a professional capacity;
- Respect and not violate the United States Copyright of all ASCM materials, including but not limited to courseware, magazine articles and other ASCM publications, ASCM conference presentations, examination resources, and enterprise evaluation resources. In this same spirit, you must not violate the copyright of other organizations and individuals in your professional capacity;
- Not engage in or sanction any exploitation of one's membership, company, or profession;
- Encourage and cooperate in the interchange of knowledge and techniques for the mutual benefit of the profession;
- In a professional capacity, respect the fundamental rights and dignity of all individuals. Your organization must demonstrate sensitivity to cultural, individual, and role differences, including those due to age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, and socio-economic status;
- In a professional capacity, not engage in practices that are harassing or demeaning to others based on factors including, but not limited to, age, gender, race, ethnicity, national origin, religion, sexual orientation, disability, language, or socio-economic status;
- Adhere to this Code of Conduct and its application to your practices and operations. Lack of awareness or misunderstanding of an ethical standard is not itself a defense to a charge of unethical conduct;
- Contact the Ethics Committee when uncertain whether a particular practice or operation violates the Code of Conduct; and
- Not become the subject of public disrepute, contempt, or scandal that affects your organization's image or goodwill.

Failure to abide by the ASCM Code of Ethics policy may result in sanctions up to and including decertification.

Onsite Evaluations Policy

As part of the evaluation process, an evaluator will visit various sites selected during the registration process to conduct onsite evaluations. During the onsite evaluations, the evaluator will request additional documentation and may conduct interviews with site personnel to gather the information necessary for making the decision to award the certification.

ASCM reserves the right to revoke an organization's certification or deny an application if it is determined, at ASCM's sole discretion, that an organization provided falsified documentation or coerced or encouraged site personnel into providing falsified or misleading information during an evaluation. Organizations whose certifications have been revoked will not be permitted to use the designation.

Appeals Policy

Organizations wishing to dispute an ASCM Certification action, decision, or determination must request a formal appeal at support@ascm.org. The appeals application fee is $150.00 (USD) and is non-refundable. The institutional policies set forth in this document are not eligible for appeal.

ASCM Privacy Policy

In applying for the ASCM Enterprise Certification for Sustainability, your organization consents to the disclosure of certification information to third parties. Moreover, you acknowledge and waive any and all rights to opt out of our collection and distribution of your certification information, and you further agree that ASCM has no liability for providing this information. View the full ASCM privacy policy.

The Enterprise Certification for Sustainability Journey

All organizations interested in becoming ASCM Enterprise-certified follow a similar path.* One approach to obtaining the ASCM Enterprise Certification for Sustainability is detailed below.

Supply Chain Self-Assessment *(optional)*
Any organization interested in pursuing the certification is encouraged (but not required) to complete a free supply chain self-assessment. The assessment provides insight on where your organization's processes fall in relation to the standards and to the industry at large.

Registration Preparation
To prepare for registration, access the standards for an in-depth look at the certification evaluation criteria. The document checklist and upload template assist in the preparation for completing the registration.

Registration
Once you have concluded your preparation, you must complete and pay for your registration application to begin the evaluation process.

Documentation Review and Onsite Evaluations
ASCM staff will then review your submitted information, assign your evaluator, and identify the sites to be evaluated. Your evaluator will work with you to conduct the onsite evaluation(s).

Certification
Upon completion of the evaluation(s), the ASCM committee will review the documentation and notes submitted. Once approved, the certification will be valid for three (3) years.

Annual Maintenance
In year two and year three of each certification cycle, certified organizations are required to submit an annual maintenance application verifying that operations are still compliant with the standards.

Recertification
After three years, certified organizations are required to recertify by submitting a new registration application, completing new evaluations, and seeking continued committee approval.

The timeline above is meant to provide a quick snapshot of one common candidate journey. It does not reflect the finer details of the process as expanded upon in later sections of this document.

Before the Onsite Evaluation

ASCM Enterprise Certification for Sustainability Standards Compliance

Any organization wishing to earn the certification must exhibit adherence to the ASCM Enterprise Certification for Sustainability Standards. A comprehensive document containing these standards in detail is available online at no cost.

Enterprise Supply Chain Self-Assessment

The Enterprise Supply Chain Self-Assessment is designed to give organizations a snapshot look at how mature their supply chains are in various categories within the three pillars of the ASCM Enterprise Certification for Sustainability Standards. The five-minute as sessment provides insight into the aspects that are evaluated for organizations pursuing certification. The self-assessment is free to the public.

Enterprise Supply Chain Maturity Assessment

The Enterprise Supply Chain Maturity Assessment is a tool to help organizations gauge their supply chain's maturity. It builds off the foundation of the Enterprise Supply Chain Self-Assessment to provide a more in-depth analysis.

This 30-minute assessment enables organizations to rate their supply chains in various categories aligned with the three pillars of the ASCM Enterprise Standards: ethical, economic, and ecological. Aggregate data will be compiled from participants' responses to create a benchmarking report with cross-industry information.

Upon completion of the maturity assessment, all respondents receive a copy of the benchmarking report along with some information on the next steps they can take in pursuit of certification.

Registration

To begin the certification process, an organization must register to be evaluated for certification. By registering, an organization officially declares its intent to become ASCM Enterprise-certified.

Organizations should reference the document checklist and upload template prior to accessing the online registration. The checklist lists in detail all documentation, information, and materials the organization is required to submit with its registration application. The upload template is used to compile the necessary site information for the supply chain or business unit the organization is seeking to certify.

The online registration requires organizations to remit the certification fee, upload all requested documentation, establish the individual supply chain/business unit evaluated, and identify the respective sites of operation under that entity.

Once an organization registers the primary and secondary sites for the supply chain it wants to evaluate, the registered sites cannot be changed.

Approximately two weeks after registration is submitted, ASCM will provide the organization with the list of sites selected for onsite evaluations and the evaluator selected to complete them.

Onsite Evaluation(s)

Onsite Evaluation Process

Upon selection of the primary and secondary sites to be evaluated, the assigned evaluator conducts all identified onsite evaluation(s).

During the evaluation process, the evaluator will request documentation relevant to compliance with the Enterprise Certification for Sustainability Standards. Evaluators may also conduct interviews with various site personnel to gather required information.

Evaluators utilize all pertinent standards and metrics when conducting candidate evaluations. Once a site evaluation has been completed, the evaluator conducts an onsite readout of the evaluation results for the organization. Please note that the evaluator provides a final report and a *recommendation* for certification only.

Only ASCM, through the committee, can make the final certification determination.

Review Process

Once all sites have been evaluated, the evaluator submits their findings to the ASCM committee for review. The committee is a volunteer panel of leading supply chain experts from various industries responsible for the review of applications and evaluation of the documentation to determine whether to award an organization an ASCM Enterprise Certification of Sustainability.

The committee then renders a decision within four to six weeks from the date the final evaluation is submitted. Upon the receipt of a final approval/deferral, the organization is notified of its application status.

After the Evaluation

Certification

After the decision has been finalized, the certified organization receives an email notification, certificate, and trophy to recognize the achievement of each evaluated and approved individual supply chain or business unit.

The certification is valid for three years and requires recertification at the end of the three-year cycle. However, after both the first and second years of certification, the certified organization must submit a maintenance application, displaying its continued adherence to the ASCM Enterprise Certification for Sustainability Standards and its preparation for the next set of evaluations.

While organizations must submit a new registration at the end of the three-year certification cycle in order to re-certify or risk letting their certification expire, the certification is also liable to lapse into suspension *within* the three-year cycle should an organization fail to submit maintenance at the first and second year intervals.

Annual Maintenance

After the first and second years of the certification cycle, an organization must submit maintenance documentation for its certified supply chain or business unit to ensure continued alignment with the standards in preparation for the organization's next evaluation.

Maintenance extends the validity of an Enterprise Certification for Sustainability for another year. The first certification maintenance application is due exactly one year after a business unit/supply chain earns the certification. The second maintenance application is then due exactly one year after the previous maintenance application's due date.

In the event that maintenance is not submitted on time, the certification is suspended until maintenance is submitted. Certified supply chains/business units cannot claim their certification while in suspension.

Certification maintenance is included in the application fee when registering for the certification or recertification. It does not require any additional fees. Organizations will be able to submit maintenance by completing an online maintenance application for their certified supply chains/business units.

Once the application is completed, the certification is valid for another year, and a maintenance report is sent via email. If applicable, the report illustrates where improvements are recommended in order for the organization to be realigned with the standards.

Recertification

An organization must re-certify its supply chain or business unit every three years to keep its certification active. To re-certify, the organization is required to submit a new registration and complete a new evaluation process at the conclusion of the three-year cycle.

To ensure the continuity of the certification, the deadline for an organization to register for recertification is the end of the month following three years from the date the certification was earned.

Resources and Contact Information

- The **ASCM Enterprise Certification for Sustainability Standards** document provides interested candidates with the full set of criteria evaluators assess when working with organizations in the process of becoming certified.

- ASCM highly recommends that all organizations use the **Registration Documentation Checklist** to collect and prepare all necessary documentation *before* accessing **registration**.

- Please contact **ASCM Customer Relations** with any questions and inquiries.

Glossary of Terms

Some terms used exclusively in reference to the ASCM Enterprise Certification program are listed below:

ASCM Enterprise Certification for Sustainability. The certification awarded to organizations whose supply chain operations and processes adhere to industry ethical, ecological, and economic best practices.

ASCM committee. An independent committee composed of industry experts who are responsible for the review and final approval/deferral of each ASCM Enterprise Certification for Sustainability.

Evaluator. A third-party individual trained in the implementation and evaluation of the standards and who is licensed to conduct onsite evaluations for organizations on behalf of ASCM.

Organization. The greater entity seeking to earn ASCM Enterprise Certification for Sustainability for at least one of its supply chains or business units.

Supply chain/business unit. The *piece* of an organization's operations seeking certification. Organizations are not required to seek certification for their entire suite of operations; however, the *supply chain/business unit evaluated* is the only piece of the organization's operations that can claim certification once approved.

Stay connected!

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SUPPLY CHAIN
MANAGEMENT