



# ASCM ENTERPRISE CERTIFICATION FOR SUSTAINABILITY

## 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 an ASCM Enterprise Certification for Sustainability registration application. 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 application. The application currently will not allow users to start their application, stop to collect information, and return to finish. Candidates should collect all necessary documentation and information prior to starting their application.

Once all necessary documentation is compiled, 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"
4. Select "Compressed (zipped) folder"
5. A new zipped folder with the same name is created in the same file location and can be uploaded directly to the application

## Certification Overview Documents

Please compile the following documents into a .zip file to be uploaded in the "Certification Overview Documents" upload within the application.

- 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 to be uploaded in the “Key Processes and Proficiency Documents” upload within the application.

- Copy of applicable environmental/social responsibility certifications for the enterprise (e.g. ISO accreditations or proof of implementation)
- Overview process document defining steps in S&OP and/or IBP process
- Supplier selection process overview and assessment criteria document
- Supplier scorecard/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 non-disclosure agreements
- 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 to be uploaded in the “Policy Documents” upload within the application.

- 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
- Health, safety and environmental (HSE) policy