ASCM ENTERPRISE CERTIFICATION

Handbook for Organizations

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Introduction

The ASCM Enterprise Certification

The ASCM Enterprise Certification is the industry's first and only corporate supply chain designation that measures social responsibility, economic sustainability, and ecological stewardship. The ASCM Enterprise Certification 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 ASCM Enterprise Certification

The ASCM Enterprise Certification 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) Framework 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 Framework is available at no cost to ASCM members, as per the member benefits listed on their My Account page.

ASCM Enterprise Certification Standards

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

The Impact of ASCM Enterprise Certification

We anticipate that ASCM Enterprise Certification will have a profound impact on many organizations, on ASCM, and on the general public. Organizations that earn an Enterprise 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 ASCM Enterprise Certification registration pricing is shown below. If you are interested in being an Enterprise Certification pilot organization, please contact certification@ascm.org directly. The registration fee is non-refundable and non-transferrable.

ASCM Enterprise Certification	Registration Fee*
Corporate Member	$75,000
Non-Member	$150,000

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, which will be quoted based on scope and number of facility site visits, billed at $5,000 per site, per day up to 8 maximum, per supply chain/business unit.

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 ASCM Enterprise Certification 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 an Enterprise 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 certification@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, your organization consents to the disclosure of certification information to third parties. Moreover, in applying for an Enterprise Certification, 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 Journey

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

Supply Chain Self-Assessment *(optional)*
Any organization interested in pursuing the ASCM Enterprise 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
For organizations interested in earning their ASCM Enterprise Certification, the standards provide an in-depth look at the certification evaluation criteria; the document checklist and upload template assist in the preparation for completing the ASCM Enterprise Certification registration.

Registration
Once you have concluded your preparation, you must complete and pay for your ASCM Enterprise Certification registration 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 Enterprise Committee will review the documentation and notes submitted. Once approved, the certification will be valid for three (3) years.

Annual Maintenance
In Year 2 and Year 3 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 Standards Compliance

Any organization wishing to earn its ASCM Enterprise Certification must exhibit adherence to the ASCM Enterprise Certification 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 Standards. The five-minute assessment provides insight into the various aspects that are evaluated for organizations pursuing ASCM Enterprise 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 ASCM Enterprise 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 ASCM Enterprise Certification 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 ASCM Enterprise Certification 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 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 Enterprise Committee, can make the final certification determination.

Review Process

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

The Enterprise 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 Enterprise Committee renders a decision to award a certification, 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 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.

ASCM Enterprise Certification maintenance extends the validity of an Enterprise Certification 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. In mid- to late 2020, organizations will be able to submit maintenance by completing an online ASCM Enterprise Certification 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 recertify its supply chain or business unit every three years to keep its ASCM Enterprise Certification active. To recertify, 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 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 ASCM Enterprise Certification Registration Documentation Checklist to collect and prepare all necessary documentation *before* accessing the ASCM Enterprise Certification registration.

- Candidates interested in learning about becoming a licensed ASCM Enterprise Certification evaluator can contact certification@ascm.org.

- Please email certification@ascm.org with any detailed questions about the ASCM Enterprise Certification program.

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

Glossary of Terms

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

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

Enterprise Committee. An independent committee composed of industry experts who are responsible for the review and final approval/deferral of all ASCM Enterprise Certifications.

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 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.

About ASCM

The Association for Supply Chain Management (ASCM) is the global leader in supply chain organizational transformation, innovation and leadership. As the largest non-profit association for supply chain, ASCM is an unbiased partner, connecting companies around the world to the newest thought leadership on all aspects of supply chain. ASCM is built on a foundation of APICS certification and training spanning 60 years. Now, ASCM is driving innovation in the industry with new products, services and partnerships that enable companies to further optimize their supply chains, secure their competitive advantage and positively impact their bottom lines. For more information, visit ascm.org.

Interested in aligning your organization with ASCM?
Contact us at CorporateDevelopment@ascm.org

Stay connected!

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