

**PRE- ASSIGNMENT REQUIREMENTS  
FOR WORKERS IN THE UNITED STATES**

If Seller Personnel will be performing services for 3M from anywhere in the United States (“3M Assignment”), Seller will assign to 3M only those Seller Personnel who have met the following assignment eligibility requirements. All requirements must be complete prior to the first day of a 3M Assignment.

After a 3M Assignment begins, if Seller Personnel previously located outside the United States will be performing services for 3M from anywhere in the United States, the following Pre-Assignment Requirements must be met with respect to such Seller Personnel before the effective date such Seller Personnel begin performing services for 3M in the United States.

For all requirements below, Seller will comply with applicable federal, state, and local laws. 3M will conduct periodic audits to ensure compliance to these requirements.

Seller will define and implement a program that will include at a minimum the following to ensure compliance to 3M current requirements:

- A change management, communication, and training plan
- Internal audit process

Seller will maintain all records arising out of or relating to Seller Personnel assigned to 3M as follows:

- Seven years after the 3M Assignment ends for the Seller Personnel Agreement
- Three years after the 3M Assignment ends for all other documentation (work authorization, training records, etc.)

**Background Screening**

Seller will perform the background screening per 3M’s requirements. Seller will only assign Seller Personnel who meet 3M’s background screening requirements. A new background screening must be completed for Seller Personnel with a lapse in 3M Assignment of greater than 6 months.

- a) For Seller Personnel with a social security number, Seller will verify that the Seller Personnel’s social security number is both valid and active as defined by the U.S. Social Security Administration.
- b) Seller will verify that the Seller Personnel is not on the U.S. government’s “Prohibited Parties Lists,” which are: (a) the Commerce Department’s Entity List, Denied Persons List, and Unverified List; (b) Treasury Department Specially Designated Nationals & Blocked Persons List; and (c) State Department Debarred Parties List.
- c) For Seller Personnel with a social security number, Seller will utilize results from the verified social security number to conduct both a national and county-specific criminal background search for the previous seven years for any convictions described in the following table. County searches must include all counties in which the Seller Personnel lived during the immediately preceding seven years. If Seller Personnel has lived in a non-US jurisdiction at any time during the immediately preceding seven years, Seller will also conduct criminal background checks in those jurisdictions to the extent the law in such jurisdictions allows and will determine eligibility for 3M Assignment based on convictions or violations comparable to those set forth below.

<b>Ineligible for 3M Assignment</b>	<b>Eligible for 3M Assignment</b>
Falsification of social security number	Misdemeanor convictions involving drug use/possession, theft of any kind, or violence of any kind older than four years
Unverified social security number	Other misdemeanor convictions if not a pattern (see Pattern Rules #2 below)
Verified to be on any of the Prohibited Parties Lists	Serious moving vehicular misdemeanor convictions* outside of two years and not showing a pattern when the 3M Assignment involves driving a 3M vehicle or equipment (see Pattern Rules #2 below)

Ineligible for 3M Assignment	Eligible for 3M Assignment
Any felony conviction within the last seven years (subject to state and local law)	Serious moving vehicular misdemeanor convictions* not showing a pattern when the 3M Assignment does not involve driving a 3M vehicle or equipment (see Pattern Rules #2 below)
Misdemeanor convictions involving drug use/possession within the last four years; Misdemeanor convictions involving theft of any kind including insufficient funds and check fraud within the last four years; Misdemeanor convictions involving violence of any kind within the last four years (subject to state and local law)	Low-level moving vehicular misdemeanor convictions** when the 3M Assignment does not involve driving a 3M vehicle or equipment
Other misdemeanor convictions if a pattern exists (subject to state and local law; see Pattern Rules #2 below)	Low-level non-moving vehicular misdemeanor convictions***
Serious moving vehicular misdemeanor convictions* within the last two years or showing a pattern when the 3M Assignment involves driving a 3M vehicle or equipment (see Pattern Rules #2 below)	
Serious moving vehicular misdemeanor convictions* showing a pattern when the 3M Assignment does not involve driving a 3M vehicle or equipment (see Pattern Rules #2 below)	
Low-level moving vehicular misdemeanor convictions** showing a pattern when the 3M Assignment involves driving a 3M vehicle or equipment (see Pattern Rules #1 below)	
Driving with a revoked or suspended license when the 3M Assignment involves driving a 3M vehicle or equipment	

Key for Vehicular Misdemeanor Convictions
* Serious moving vehicular misdemeanor convictions include: DUI, DWI, OWI, reckless driving, negligent and careless driving, or driving with a revoked/suspended license
** Low-level moving vehicular misdemeanor convictions include: speeding, running stop sign, driving with an expired or invalid license, or inattentive driving
*** Low-level non-moving vehicular misdemeanor convictions include: parking, equipment, tabs, or failure to notify police of an accident

Key for Pattern Rules
#1) 4 or more convictions of low level moving vehicular misdemeanor convictions within 3 years
#2) 2 or more convictions in categories of serious moving vehicular misdemeanor convictions in 3 years; 3 or more convictions in categories of low level moving or non-moving misdemeanor vehicular convictions in 3 years

### Work Authorization

Seller will ensure that Seller Personnel have valid work authorization. Only Seller Personnel with valid work authorization are eligible for 3M Assignment. Seller will end the 3M Assignment of any Seller Personnel who do not maintain proper work authorization.

## Drug Screening

Seller will perform the drug screening per 3M's requirements. Seller will only assign Seller Personnel who meet 3M's drug screening requirements. A new drug screening must be completed for Seller Personnel with a lapse in 3M Assignment of greater than 6 months. If the laws governing Seller prohibit Seller from conducting such drug testing, Seller must notify 3M of that fact at [N3MAdministrator@mmm.com](mailto:N3MAdministrator@mmm.com)

prior to the commencement of any 3M Assignment. In that event, the requirement for drug testing will be waived and upon 3M's request, Seller will provide 3M with written evidence reasonably acceptable to 3M that such drug testing would violate laws applicable to Seller.

- a) The drug screening minimum requirement is a 5-panel urine drug test with an initial screen that is verified by a confirmatory method. An unsatisfactory test result on the initial screen exists when the screen is greater than the nanograms per milliliter specified in the Initial Test column below. Unsatisfactory results are confirmed by gas chromatography/mass spectrometry. A confirmed unsatisfactory test result exists when the nanograms per milliliter exceed the nanograms per milliliter indicated in the Confirmation Test column below.
- b) Confirmed unsatisfactory test results must be reviewed by a Medical Review Officer who is a physician that is trained and certified in workplace drug testing. The Medical Review Officer must interview Seller Personnel with confirmed unsatisfactory test results to determine if any acceptable medical reasons exist which could explain the urine drug test results. The Medical Review Officer then reports verified drug test results to the Seller.

Type of Drug or Metabolite	Initial Test (ng/ml)	Confirmation Test (ng/ml)
<b>Marijuana Metabolites</b> Delta-9-tetrahydrocannabinol-9-carboxylic acid (THC)	50	15
<b>Cocaine Metabolites (Benzoylecgonine)</b>	300	150
<b>Phencyclidine (PCP)</b>	25	25
<b>Amphetamines</b> Amphetamine Methamphetamine	1000	- 500 - 500 (Specimen must also contain amphetamine at a concentration of greater than or equal to 200 ng/ml.)
<b>Opiate Metabolites</b> Codeine Morphine 6-acetylmorphine	2000	- 2000 - 2000 - 10 (test for 6-AM in the specimen. Conduct this test only when specimen contains morphine at a concentration greater than or equal to 2000 ng/ml.)

## Confidentiality Agreement

Seller Personnel are required to protect 3M's confidential and proprietary information and must be subject to an agreement containing confidentiality provisions. The Seller Personnel Agreement is preferred for most Seller Personnel who are assigned through a Seller. Given the diversity of agreements that already exist between Sellers, Seller Personnel, and 3M, it may be possible that the Seller Personnel's confidentiality agreement obligation is addressed through another agreement already in place with 3M that includes confidentiality obligations. These agreements may include: a Seller agreement, a confidential disclosure agreement, or equivalent. Sellers assigning non-3M workers are responsible to ensure that an appropriate agreement is in place.

## Privacy Notice & Consent

Prior to the commencement of any 3M Assignment by Seller Personnel, Seller will have such Seller Personnel execute the Privacy Notice and Consent form, which Seller will retain and make available to 3M upon request for the duration of such Seller Personnel's 3M Assignment plus seven (7) years. If Seller

Personnel has signed a Seller Personnel Agreement containing the same notice and consent as is contained in the Privacy Notice and Consent, no separate Privacy Notice and Consent will be required, but Seller will retain and make available the Seller Personnel Agreement to 3M upon request for the duration of such Seller Personnel's 3M Assignment plus seven (7) years.

### **Food and Drug Administration**

If a 3M Assignment is subject to FDA requirements, Seller will verify that the Seller Personnel is not on the FDA's Debarment List.

### **Export Control**

As a global company, 3M must comply with various export regulations, collectively known as Export Controls. All 3M businesses must adhere to these regulations in order for 3M to sell or otherwise export from the U.S. certain products, technology, and equipment, as well as share certain export-controlled technology with "foreign persons" within the United States. If a 3M Assignment is subject to these export control requirements, Sellers will comply with 3M's export control process.

- 3M will notify Sellers if the 3M Assignment is subject to the export control requirement.
- Seller will advise Seller Personnel that the 3M Assignment is subject to US Export Controls and as such will require that Seller Personnel disclose their country of birth, current citizenship(s) and the order in which they were obtained, if more than one.
- Seller will obtain the birth country and citizenship information from Seller Personnel prior to 3M Assignment and provide this information, and any requested supplemental information, to 3M in order for 3M to determine the whether the Seller Personnel is permitted to perform an export controlled 3M Assignment. If the laws governing Seller prohibit Seller from requesting this information or from disclosing this information to 3M, Seller must notify 3M at [N3MExport Control@mmm.com](mailto:N3MExportControl@mmm.com) prior to the commencement of any 3M Assignment involving such Seller Personnel and must not proceed with such 3M Assignment without 3M's confirmation of approval to proceed.
- Upon completion of the determination of eligibility for the export controlled 3M Assignment, 3M will notify the Seller of the determination and next steps.

Under no circumstance will Seller place Seller Personnel in an export controlled 3M Assignment without having followed this process and received 3M confirmation of approval to proceed. Failure to do so may result in the immediate end of the 3M Assignment for Seller Personnel and exposure to Seller of indemnification claims from 3M for any penalties imposed on 3M.

### **Former or Current Government Employee**

Seller will comply with 3M's process if Seller Personnel or an immediate family member (spouse, child, parent, brother or sister) currently or ever have been employed by a U.S. Federal, State, Local or Foreign Government (either as a civilian or in the military), or in a Reserve or Guard component of the Armed Services, or in any other position that may either: (1) prevent the Seller Personnel from entering into a contract with 3M, or (2) place restrictions on what work assignments 3M may give the Seller Personnel due to U.S. Federal, State, Local or Foreign Government "revolving door" or conflict of interest laws.

- Seller will ask whether a Seller Personnel is a former or current government employee.
- If Seller Personnel indicates a positive response, Seller will issue a Conflict of Interest Questionnaire (COI-1) to Seller Personnel and send the completed questionnaire to 3M, via fax at 651-732-8154, for review and approval.

Upon review, 3M will advise the Seller of any further requirements which may include a secondary questionnaire.

Under no circumstance will Seller place Seller Personnel who is a former or current government employee without having followed this process and received 3M confirmation of approval to proceed. Failure to do so may result in the immediate end of the 3M Assignment for Seller Personnel. If the laws governing Seller prohibit Seller requesting this information or from disclosing this information to 3M, Seller must

notify 3M at [N3MCOI@mmm.com](mailto:N3MCOI@mmm.com)

prior to the commencement of any 3M Assignment involving such Seller Personnel and must not proceed with such 3M Assignment without 3M's confirmation of approval to proceed.

### **3M Manufacturing Qualification Test**

All Seller Personnel working in a manufacturing/light industrial category must meet requirements for the 3M Manufacturing Qualification Test to be eligible for 3M Assignment. Seller will administer this test to their Seller Personnel and deliver the results to the Administrative Team at [N3MAdministrator@mmm.com](mailto:N3MAdministrator@mmm.com)

. If a passing score is achieved, the Seller Personnel is eligible for 3M Assignment. If a passing score is not achieved, a six-month waiting period is required before the Seller Personnel can re-take the test.

### **Medical Surveillance**

Specific baseline medical surveillance exams are required prior to certain 3M Assignments and as a condition of certain 3M Assignments at a 3M facility.

3M will notify Seller that medical surveillance is needed and will provide the following information:

- List of what medical surveillance programs are needed
- Copy of medical surveillance protocols and test instructions if needed

Seller will provide all medical surveillance required by governmental agencies or 3M.

It is the responsibility of the Seller to arrange for needed medical surveillance and to ensure the evaluations are completed. Once the exams are completed, Seller will provide 3M with a Medical Surveillance Certificate for each Seller Personnel. If the laws governing Seller prohibit Seller from performing this medical surveillance, requesting this information or from disclosing this information to 3M, Seller must notify 3M at [N3MOccMed@mmm.com](mailto:N3MOccMed@mmm.com)

prior to the commencement of any 3M Assignment involving such Seller Personnel and must not proceed with such 3M Assignment without 3M's confirmation of approval to proceed.

### **National Identification Number**

A national identification number (a.k.a. a social security, passport identification number, etc.) is necessary to protect 3M facilities and information contained in 3M systems. Seller will provide a national identification number for each Seller Personnel.

### **Former 3M Employee**

Former 3M employees may be ineligible for 3M Assignment. Seller will ask whether a Seller Personnel is a former 3M employee prior to placing a Seller Personnel on 3M Assignment. If a Seller Personnel indicates that he/she is a former 3M employee, Seller will notify 3M, either through the Non-3M Workforce system or via e-mail to the Administration Team at [N3MAdministrator@mmm.com](mailto:N3MAdministrator@mmm.com). The 3M Administration team will verify eligibility and notify the Seller.

### **Former Seller Personnel**

Former Seller Personnel may be ineligible for 3M Assignment. Seller will ask whether a Seller Personnel has been on 3M Assignment previously. If a Seller Personnel indicates that he/she has previously had a 3M Assignment, Seller will notify 3M, either through the Non-3M Workforce system or via e-mail to the Administration Team at [N3MAdministrator@mmm.com](mailto:N3MAdministrator@mmm.com). The 3M Administration team will verify eligibility and notify the Seller.