

Supplier Responsibility Code

Supplier Intro

January 2022

Agenda

- Background / Purpose
- Supplier Responsibility Code (SRC) Expectations
 - Benefits
- Levels of Inquiry
 - Declaration
 - Self Assessment (SAQ)
 - 3M On site or Remote
 - 3rd Party On-site
- Next Steps
 - Supplier to ensure understanding and alignment of 3M's SRC expectations.
 - Ensuring their suppliers understand and align as well.
 - Complete Supplier Declaration, Self-Assessment or On-site Assessment as 3M requests.



3M Value Model

Vision

3M Technology Advancing Every Company
3M Products Enhancing Every Home
3M Innovation Improving Every Life

Strengths

-  Technology
-  Manufacturing
-  Global Capabilities
-  Brand

Priorities

-  Portfolio
-  Transformation
-  Innovation
-  People & Culture

Values

Diversity, equity, and inclusion
Sustainability
3M Code of Conduct

Integrity Leadership

2025 Supplier Sustainability Goal:
"Drive Supplier Sustainability through Targeted Raw Material Traceability and Supplier Performance Assurance"



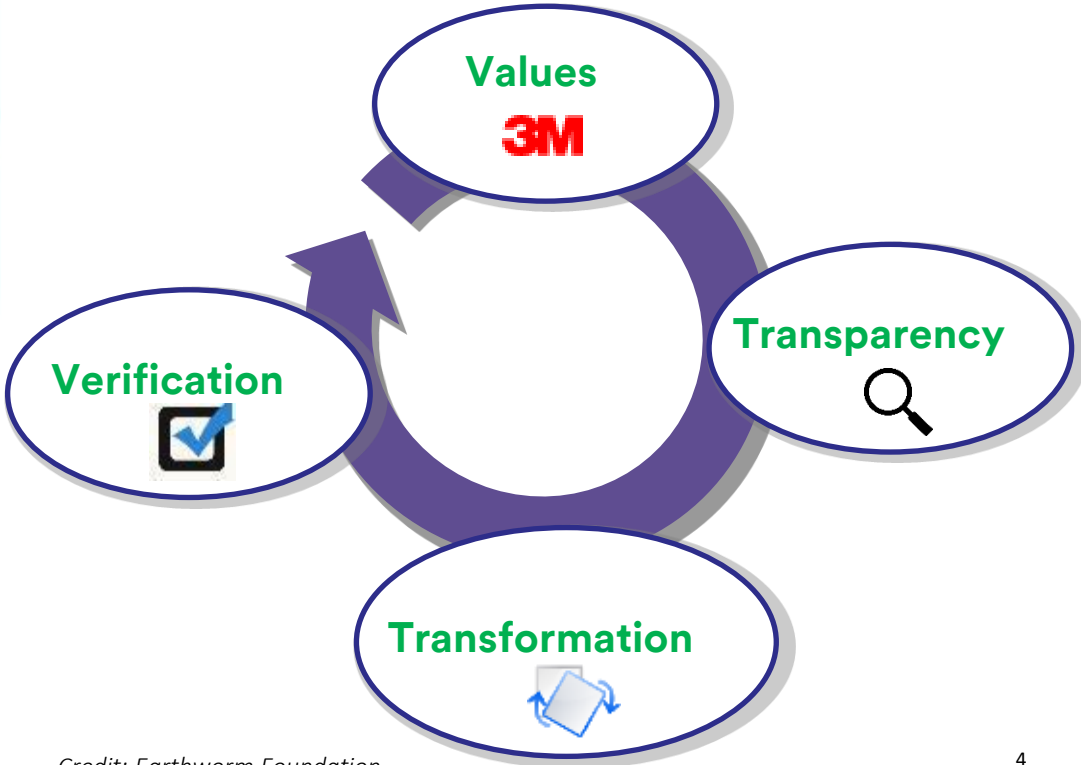
Mike F. Roman
Chief Executive Officer

"Great and enduring companies are driven by purpose, and built on a foundation of trust—trust from our customers, employees, partners, shareholders and communities. At 3M, we cannot break that trust—ever.

We've earned our reputation for integrity over many decades, and no one at 3M is free to compromise it.

Thank you for your commitment to doing business the right way."

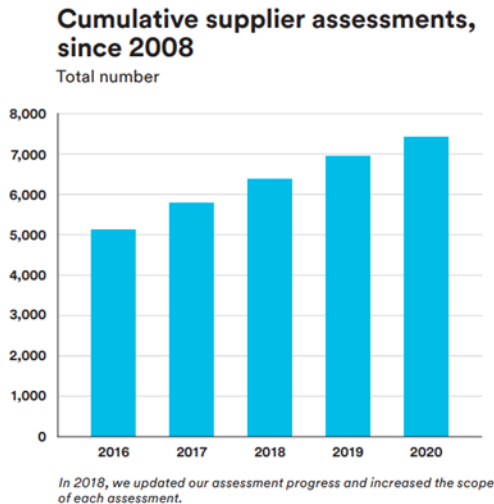
3M's suppliers are an extension of our business and must have the same high level of standards and expectations that support our values and the 3M Supplier Responsibility Code



3M Supplier Responsibility Code (SRC)

Foundational expectations on:

- ✓ Labor/Human Rights
- ✓ Environment
- ✓ Safety & Health
- ✓ Ethics
- ✓ Management Systems

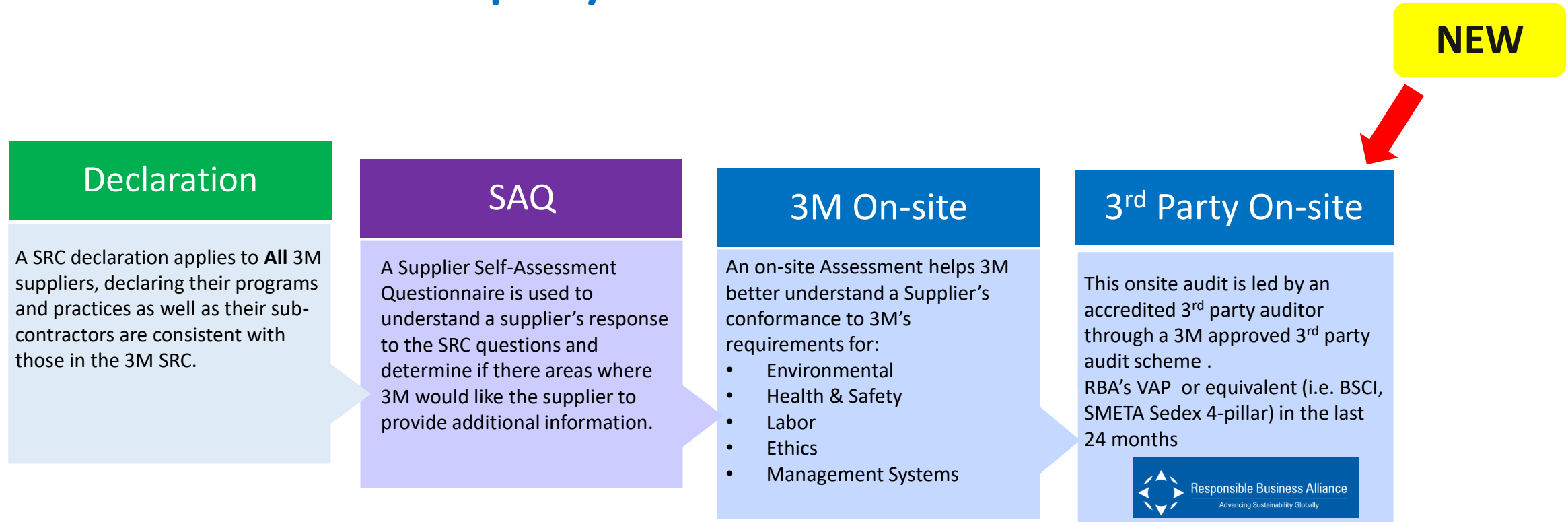


15 Languages

Aligned with:

- ✓ 3M Values, Principles & Policies
 - ✓ e.g. 3M Human Rights Policy
- ✓ Industry Guidelines
 - ✓ RBA
- ✓ Regulatory Requirements
 - ✓ e.g. UK Modern Slavery Act

3M SRC Levels of Inquiry



3M SRC – Supplier Declaration

3M Supplier Responsibility Code – Supplier Declaration:

Dated: January 1, 2022

To Our Valued Supply Partner:

3M is committed to improving our business, our planet and every life. Our employees demonstrate that commitment every day in our own operations and in the communities in which we live and work. We recognize the choices we make for our material and service providers must also reflect these values. 3M expects its suppliers to share in the commitment to maintaining compliant, responsible and sustainable operations and practices. The 3M Supplier Responsibility Code replaced the 3M Supply Chain Policies in 2016 to help 3M supply chain partners clearly understand 3M's supplier expectations and ensure due diligence practices are in place to best demonstrate commitment to these values.

Online courses are available at [3M Business Partner Compliance Awareness](#) with information about laws and principles for doing business the right way.

All suppliers are requested to complete the following declaration:

The undersigned hereby declares, on behalf of _____ (company name), that our programs and practices as well as our sub-contractors involved in the supply of products and/or services conform to standards that are consistent with the 3M Supplier Responsibility Code www.3M.com/supplerrgmts including but not limited to:

- Labor Management Policies, including prohibition of forced labor and human trafficking; and no workers under age 15
- Occupational Safety & Health Programs
- Environmental Management Programs
- Ethics and Business Integrity Policies, including confirmation that no actual or perceived conflict of interest will exist with a 3M supplier relationship
- Management Systems that support due diligence practices

If necessary, please attach information on programs or practices within your facility(ies) that may not align with the 3M Supplier Responsibility Code requirements, including plans and associated timing to address the gaps.

(Name) Serves as Signature & Supplier Declaration
(representative authorized to bind the supplier.)

(Date)

(Title)

Please sign and submit the signed certificate within two weeks of receipt. Thank you for your continued partnership!

Available in 15 languages.



3M SRC – SAQ & On-site Assessment

3M Supplier Responsibility Code Questionnaire

1 Supplier Name:

2 Supplier Address:

(Street, City, State, Province, Country)

3 Supplier Phone Number:

4 Supplier Website:

5 Site Name:

6 Site Address:

(Street, City, State, Province, Country)

7 Total number of employees at the site:

8 Year of establishment:

9 Registration/Certification:

	Attainment Date	Expiration Date	Certificate Number	Audit Company
ISO 9001				
ISO/TS 16949				
AS 9100				
ISO 14001				
OHSAS 18001 / ISO 45001				
ISO 50001				
Sedex: SMETA				
FDA QSR				
SA 8000				
RBA: VAP				
BSCI				
Other:				

10 Person Completing Questionnaire:

Name:

Title:

Phone:

Email:

Date Started:

11 Return Completed Assessment to **This section is filled in by 3M Company prior to sending questionnaire**

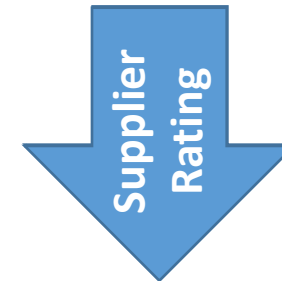
Name:

Address:

Phone:

Email:

Due Date:



Fields to Complete:
Supplier = yellow
No response required = grey

Rate your Company (1-10):
10 - Strong Policy & Practice
5 - Moderate Policy & Practice
1 - "No" or Weak Policy or Practice

Leave field blank if it does not apply and put a note in "Comments" column.

0

Supplier Ratings/Comments

X = Question applies to	X = Question applies to Direct	SECTION	Answer All Questions, unless you are an Indirect Supplier – only answer those noted with "X" in column A and if this is for an On-Site Contractor only answer those noted with "X" in column B.	Rating (per definitions above)	Comments, Particular Strengths and Opportunities, Description of Systems, Examples
		SECTION 1: Labor			
X	X	1.0	Describe key aspects and rate the strength of your systems to track and comply with applicable labor and employment legal requirements. Attach or provide links to relevant documents or policy.		
X	X	1.1	Freely chosen employment Describe key aspects and rate the strength of your systems to ensure freely chosen employment. Aspects include ensuring labor is not hired through the means of threat, force, coercion, abduction or fraud for labor or services. Able for workers to freely move about the facility and to freely enter and exit company-provided facilities including, if applicable, workers dormitories or living quarters. Employees are free to leave at any time or terminate their employment without penalty if reasonable notice is given as per worker's		
X		1.1.1	Are foreign workers used? If yes, describe your process for hiring foreign workers.		
X		1.1.2	If yes to 1.1.1, Are foreign migrant workers made aware of the terms and conditions, provided in a written employment agreement in their native language? Is substitution or change allowed in the employment agreement after departure from the country of origin?		
X	X	1.1.3	Do you have workers from North Korea?		
X	X	1.1.2	Do employees pay recruitment or any reoccurring fees to either an agency or the company as a means of being offered a job?		
X	X	1.1.3	Does your company hold employee passports or government-issued identity documents against the employees will? If yes, please indicate		

SAQ File Includes:



SAQ template

- ✓ Supplier Instructions
- ✓ Supplier Info
- ✓ Assessment Questionnaire (SAQ)
 - ✓ Supplier to indicate and share supporting example
- ✓ Definitions

Thank You!