Supplier Responsibility Code – Supplier Intro

February 2019
Agenda

▪ Background / Purpose

▪ Benefits of New SRC

▪ Levels of Inquiry
  ▪ Declaration
  ▪ SAQ
  ▪ AQ

▪ 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 requested
Integrity Leadership

“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.”

Mike F. Roman
Chief Executive Officer

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

Aligned with:
✓ 3M Values, Principles & Policies
  ✓ e.g. 3M Human Rights Policy
✓ Industry Guidelines
  ✓ RBA (EICC)
✓ Regulatory Requirements
  ✓ e.g. UK Modern Slavery Act
✓ Contract Terms & Conditions
Supplier Responsibility Code
Levels of Inquiry

Declaration
A SRC declaration applies to All 3M suppliers, declaring their programs and practices as well as their sub-contractors are consistent with those in the 3M SRC.

SAQ
A Supplier Self-Assessment Questionnaire is used to understand a supplier’s response to the SRC questions and determine if there are areas where 3M would like the supplier to provide additional information.

On-site
An on-site Assessment helps 3M better understand a Supplier’s conformance to 3M’s requirements for:
- Environmental
- Health & Safety
- Labor
- Ethics
- Management Systems
3M Supplier Responsibility Code – Supplier Declaration:

Entitlement:

▪ New Suppliers:
  ▪ Integrate with 3M Supplier Add Change Request (SACR) process

▪ Existing Suppliers:
  ▪ Special Project supported by Sourcing & MDM*

3M Supplier Responsibility Code – Supplier Declaration:

Dated: February 13, 2019

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/suppliermbm 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 within two weeks of receipt. Thank you for your continued partnership!
3M SRC – SAQ & On-site AQ

3M Supplier Responsibility Code Questionnaire

- Supplier Name: 
- Supplier Address: 
- Street, City, State, Province: 
- Supplier Phone Number: 
- Supplier Website: 
- Registration/Certification: 
  - IS0: 
  - SQMS: 
  - AS9100: 
  - EN9100: 
  - ISO13485: 
  - Other: 

Person Completing Questionnaire: 
- Name: 
- Title: 
- Phone: 
- Email: 
- Date Started: 

Return Completed Assessment to: 
- This section is filled in by 3M Company prior to sending questionnaire.

SAQ File Includes: 
- SAQ File Includes:
  - Definitions ✓
  - Instructions ✓
  - Company Information ✓
  - Self-Assessment Questionnaire (SAQ) ✓
  - Supplier to indicate and share supporting example ✓

3M Supplier Responsibility Code Questionnaire

Rate your Company (1-10):
- Supplier – yellow
- 3M – light red
- No response required – gray

- 10 - Strong Policy & Practice
- 5 - Moderate Policy & Practice
- 1 - Weak Policy or Practice

<table>
<thead>
<tr>
<th>Section</th>
<th>Supplier Ratings/Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Questions</td>
</tr>
<tr>
<td>SECTION 1: Labor</td>
<td>Answer All Questions</td>
</tr>
<tr>
<td>10</td>
<td>Describe key aspects and rate the strength of your systems to track and control workplace hazards, exposures and medical provisions and legal requirements. Aspects include ensuring that all work is properly set up, maintained, and cleaned between shifts. Examples include ensuring that all work is properly set up, maintained, and cleaned between shifts.</td>
</tr>
<tr>
<td>11</td>
<td>Freely chosen employment:</td>
</tr>
<tr>
<td></td>
<td>Describe key aspects and rate the strength of your systems to ensure freely chosen employment. Aspects include ensuring that all work is properly set up, maintained, and cleaned between shifts. Examples include ensuring that all work is properly set up, maintained, and cleaned between shifts.</td>
</tr>
<tr>
<td>11</td>
<td>Freely chosen employment:</td>
</tr>
<tr>
<td></td>
<td>Describe key aspects and rate the strength of your systems to ensure freely chosen employment. Aspects include ensuring that all work is properly set up, maintained, and cleaned between shifts. Examples include ensuring that all work is properly set up, maintained, and cleaned between shifts.</td>
</tr>
<tr>
<td>11</td>
<td>Freely chosen employment:</td>
</tr>
<tr>
<td></td>
<td>Describe key aspects and rate the strength of your systems to ensure freely chosen employment. Aspects include ensuring that all work is properly set up, maintained, and cleaned between shifts. Examples include ensuring that all work is properly set up, maintained, and cleaned between shifts.</td>
</tr>
</tbody>
</table>

Supplier Examples
Thank You