Be 3M

- Be Good
- Be Honest
- Be Fair
- Be Loyal
- Be Accurate
- Be Respectful

Global Code of Conduct
Message from Mike F. Roman

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. We owe it to all who count on us—especially our families and colleagues—to do business the right way, at all times and under all circumstances.

Every decision we make must be guided by our Code of Conduct. If you see something that doesn’t look right, it is the responsibility of each of us to ask questions and raise concerns. Living and working by our values is fundamental to our continued success, as a company and as individuals.

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

Mike F. Roman
Chairman of the Board and Chief Executive Officer
Message from Ivan K. Fong

For over a century, 3M has built an extraordinary reputation for integrity and doing business the right way. Every day, you have the challenge, opportunity, and responsibility to maintain and enhance that reputation.

This responsibility is paramount: Nothing—not a request from a customer or a direct order from your manager, “making your operating plan” or personal loyalty—can or should justify compromising our collective commitment to integrity.

In addition, if you are a leader, you are responsible for creating a culture of compliance; for being a role model; for providing sufficient resources and training for compliance; for ensuring there are multiple channels to raise compliance concerns without fear of retaliation; and for promptly taking appropriate responsive actions when such issues are raised.

Perhaps most important, whether you are a supervisor or not, you do not shoulder this responsibility on your own. This handbook, for example, can help you spot issues and guide your decision-making under our Code of Conduct. Your manager, your Human Resources contacts, your assigned 3M Counsel, and our 3M Ethics & Compliance are among the many resources available to assist you.

Thank you in advance for your personal commitment to our Code of Conduct.

Ivan K. Fong
Senior Vice President, General Counsel and Secretary
Message from Michael Duran

Be 3M. It is what we do as a company and individuals to build on the ethical foundation of 3M. For more than a century, 3M has done things the right way, ensuring integrity is at the heart of what we do. We know that trust is an unwavering value that cannot be broken – trust in our employees, shareholders, customers and communities.

As a global company, we are facing new opportunities every day, which oftentimes come with added risks. Use the Code as your guide in this journey to answer questions and to solve ethical problems when the right choice may not be clear. It provides the foundation for the values we live by. These values can be felt all over the world.

It takes the collective effort of each one of us to make decisions every day to do the right thing, even when the choice is hard and things are not clear. It is always the right thing to do when you speak up and ask questions.

Michael Duran
Vice President, Chief Ethics & Compliance Officer
Ethics & Compliance
Code of Conduct

Be Good
Obey the law and 3M’s Code of Conduct.

Be Honest
Act with honesty and integrity.

Be Loyal
Protect 3M’s interests, assets, and information.

Be Fair
Play by the rules, whether working with government, customers, or suppliers.

Be Accurate
Keep complete and accurate business records.

Be Respectful
Respect one another and our social and physical environment around the world.

Ask a question, raise a concern at 3MEthics.com
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An Introduction to Our Code

What does it mean to Be 3M? It means acting with honesty and integrity, making a difference in the lives of our customers, using our high ethical standards to create a competitive advantage for our Company, and creating an inclusive workplace for all.
Do Business the 3M Way

Around the world, customers rely on 3M to provide innovative solutions to advance companies, enhance homes and products that improve their lives. But we are defined by more than just what we make—we are defined by how we do business: the 3M Way, always making the right choices for our Company and our customers and protecting our reputation in all we do.

The Code of Conduct ("Code") is part of the 3M Value Model, and positions 3M for long-term growth. Our Code summarizes the guidance provided in 3M’s principles, policies, standards, and procedures, which govern how we do business everywhere, every day. By living our Code, we create an inclusive workplace where each of us contributes to 3M’s vision. Our success depends on our integrity.

In some situations, the right choice might be clear. In more complex situations, our Code is here to provide guidance and insight for acting ethically. It also helps us know when to ask questions and where to get help when we need it.

In addition to meeting 3M’s high standards for integrity, we each have a responsibility to follow the laws and regulations that apply to the work we do and where we do business. If our Code conflicts with a local law, we should always obey the law. However, if the Code sets a higher standard for ethics and integrity than the law, we should follow the Code and get help from a resource listed in the “Be Good” section.
Meet High Standards

All 3M People are held to the same high standards. If the Code sets a higher standard than the law, we are expected to follow the Code and do business the 3M Way.

Demonstrate High-Integrity Leadership—3M People

3M’s success depends on each of us doing the right thing. No matter our job title, we are all leaders when it comes to ethics and integrity, and we must meet these important commitments:

- Know and follow the guidance set forth in our Code.
- Foster a positive, inclusive work environment and a strong culture of ethics.
- Complete compliance courses and certifications on time.
- Report suspected violations of the law or our Code unless prohibited to do so by local law.
- Do not engage in workplace retaliation.
- Report any known or suspected retaliation.
- Cooperate with investigations.

3M People

All employees, officers, and directors, and may include non-employee third parties who act on 3M’s behalf, such as sales agents, representatives, consultants, contract workers, joint venture partners, distributors, converters, and outside counsel.
Demonstrate High-Integrity Leadership—Managers and Supervisors

We all play a key role in 3M’s ethical culture. But if you are a manager or supervisor, you have some additional responsibilities, including:

- Set the tone and act as an ethical role model for everyone around you.
- Create an environment that encourages asking questions and raising concerns.
- Listen and report concerns appropriately, escalating them as needed and keeping in mind 3M’s escalation requirements.
- Ensure those who report to you complete their compliance training courses and certification to the Code on time.
- Do your part to create a fair and respectful workplace.

For more information, see the following resources:

- Compliance Principle
- Employee Obligations and Reporting Principle
- Policy Central

Escalation Requirements

Some types of issues must always be escalated to another resource. If you are a manager or supervisor, be sure you understand your responsibilities in this area.
Do Business Ethically

Acting ethically means more than just following the law. 3M People are expected to meet a higher standard, even if the situation is complex or there is no specific policy to follow. We are all expected to use our best judgment to make good decisions every day. When in doubt, seek help.
3M’s Ethical Decision-Making Process

Am I following 3M’s values?

Would I want my coworkers, my friends, my family, or the general public to read about this?

Does this uphold 3M’s reputation for conducting business ethically?

If you answered “yes” to all these questions, then the decision to move forward is probably okay.

For more information, see the following resources:

- Compliance Principle
- Employee Obligations and Reporting Principle
- Ethical Business Conduct Principle
Speak Up

If you find yourself in a situation where the right course of action is not clear, remember that you are not alone. 3M provides multiple resources for advice and help when you need it. By asking questions and reporting potential problems, you are helping 3M succeed.

3MEthics.com
At 3MEthics.com, you may report anonymously (where allowed by local law), 24 hours a day, 7 days a week in your chosen language.

Audit Committee of the Board of Directors
3M Company, Corporate Secretary
3M Center, Building 220-14W-06
St. Paul, MN 55144-1000

If you see or know of any misconduct, you have an obligation to report the issue, unless prohibited to do so by local law. To make a report, you can contact any of the following resources:

- Your manager or supervisor
- Your assigned Human Resources Manager
- 3M Legal Counsel
- 3M Ethics & Compliance (ethicsandcompliance@mmm.com)
- 3MEthics.com
- 3M Corporate Audit Department
- Audit Committee of the Board of Directors

Managers and supervisors have different reporting responsibilities. If you are a manager or supervisor, you are expected to report all suspected violations of the law or the Code to your assigned 3M Legal Counsel, 3M Ethics & Compliance, your management, or 3MEthics.com.
Investigations

When you raise a business conduct concern, 3M takes it seriously. Our Company will thoroughly review all reports and conduct investigations as necessary—while handling your personal information discreetly. No matter his or her seniority or role in our Company, anyone who violates our Code, 3M policies, standards and procedures, or the law will be subject to discipline, up to and including termination of employment, unless prohibited by local law. We expect everyone to do business with honesty and integrity and make sure their actions align with 3M’s values.

Non-Retaliation

3M does not tolerate retaliation for asking a question, making a report in good faith, or participating in an investigation.

What is retaliation?

Retaliation is any negative consequence that you experience as a result of making a report, participating in an investigation, or asking a question. This might include being inappropriately demoted, getting an unfairly negative performance evaluation, or receiving an unjustified reduction in your bonus or pay. It can also include more subtle actions, like being intentionally left out of important projects or meetings.

If you think you have experienced or witnessed retaliation, contact one of the resources listed above. By reporting retaliation, you are taking a stand for ethics and integrity in our workplace and making 3M a better place to work.

For more information, see the following resources:

- Non-Retaliation Policy
- Investigations Policy
- Investigation Standard

Good Faith

A good faith report is one that you believe to be true and that contains all the information you have—even if it is later determined that you were mistaken.
Business Courtesies

During the course of our work, we may provide or accept business gifts, entertainment, meals, or travel. Exchanging business courtesies in this manner helps us strengthen our relationships with Business Partners and provide them with information about 3M’s products.

When working with a health care professional (HCP) or a government official, special rules apply to these relationships and you must ensure that you comply with specific policies, standards, and local laws.

Business Partner

Non-3M People who may be involved in a business arrangement, contract, or transaction with 3M to provide or purchase a product or service, such as distributors, suppliers, customers, health care professionals (HCPs), sales agents, representatives, consultants, contract workers, joint venture partners, and outside counsel.
When offering or accepting business courtesies, there are several factors we need to keep in mind.

**Value**

Business courtesies should be of modest value, such as a 3M-branded product or a reasonable meal. We should never offer or accept anything that we—or anyone else—could consider to be extravagant.

**Timing**

To ensure that all our business dealings are honest and unbiased, we must consider the timing of contract renewals and other significant decisions when offering or accepting business courtesies. Avoid the appearance that any business courtesy is an attempt to influence a business decision.

**Frequency**

The exchange of business courtesies should be infrequent. Offering or accepting gifts, entertainment, meals, or business travel too often could make it appear that the business relationship is not completely impartial.

**Cash or cash equivalents**

In general, it is against 3M’s policy to offer or accept cash or cash equivalents such as gift cards, gift certificates, or vouchers. There may be rare exceptions to this policy. For help, contact 3M Ethics & Compliance (ethicsandcompliance@mmm.com).
Read the following list of business courtesies and decide whether it would be appropriate to offer that item to a Business Partner, under 3M’s policies.

- **Business lunch at a casual restaurant**
  - ✅ Appropriate!
  - It is fine to offer a modest lunch to a Business Partner when there are legitimate business purposes for the meeting.

- **An iPad for a Business Partner’s son who is starting college**
  - ❌ Not Appropriate!
  - This gift is too valuable and could seem like an attempt to influence a Business Partner’s judgment.

- **A monthly basket of fruits and cheeses**
  - ❌ Not Appropriate!
  - These gifts are too frequent to be appropriate under 3M’s policies.

- **A shirt with the 3M logo**
  - ✅ Appropriate!
  - This is an item of modest value branded to 3M, which is usually fine to offer to a Business Partner. Remember you must follow specific policies, standards, and local laws regarding the exchange of business courtesies with Government Officials and Health Care Professionals (HCPs).
For those of us who work with government officials, or health care professionals (HCPs), we must exercise additional caution when offering business courtesies. It may be illegal to offer anything—even a modest meal or a promotional item. If you are considering offering a business courtesy to a government official or health care professional (HCP), speak with your manager or supervisor beforehand. Remember that laws vary across countries, and even if exchanging business courtesies is permitted under local laws, it may not be permitted by 3M’s policies. Be sure to check with local Legal Counsel or Health Care Compliance, and 3M Ethics & Compliance.

For more information, see the following resources:

- Gifts, Entertainment, Meals and Travel Principle
- Business Courtesy - Gifts, Entertainment, Meals (GEMS) Standard
- Sponsorship Standard
Interacting with Business Partners

When we work with Business Partners, we have a responsibility to be sure that they are operating ethically, according to the law, and consistent with our expectations and, for suppliers, with the 3M Supplier Responsibility Code. Our Business Partners’ actions reflect on 3M, and in certain circumstances 3M could be held legally responsible for them. In some cases, we may be required to conduct a more detailed review of some of our Business Partners using the 3M Integrity Assessment process. It is up to us to demonstrate high-integrity leadership, explain our expectations of doing business the 3M Way to our Business Partners, and ensure they consistently meet those expectations.
Anton is managing the opening of a new 3M facility, and he needs to find a lobbyist to represent 3M’s interests before the local government at an important session next week. He meets with a lobbyist who is offering Anton a great rate for his services. Anton feels pressured to move quickly. Can he skip completing due diligence through 3M’s Integrity Assessment process, just this once?

a. Yes, as long as the lobbyist gets good results for 3M.

b. Yes, as long as the lobbyist gives his word that he operates ethically.

c. No, it is more important to perform due diligence and make sure this Business Partner meets our standards.

The correct answer is C. Working with ethical Business Partners is more important than getting good results or fulfilling a business need quickly. Although we trust our Business Partners, we must verify that they act ethically. We need to perform due diligence in order to confirm it for ourselves. 3M considers certain Business Partners, like lobbyists, high-risk vendors according to the United Nations Standard Products and Services Code (UNSPSC). Any potentially high-risk relationship like this must be reviewed closely and may require an Integrity Assessment.

For more information, see the following resources:

- 3M Supplier Responsibility Code
- Integrity Assessment System
- 3M Business Partner Expectations Brochure
Working with the Government

Business interactions with government entities are often subject to strict regulations and requirements, which we have a responsibility to meet. Always be honest, accurate, and forthright in all dealings with government officials, agencies, contractors, and subcontractors, complying with all applicable laws, regulations, and 3M policies. We must follow all requirements in government contracts, never deviating from the contract’s terms.

There are specific negotiation rules for government contracts, which we must know and follow. Before entering into a government contract, be sure to consult your 3M Legal Counsel or 3M’s Government Contract Compliance Department (governmentcontractcompliance@mmm.com).

For more information, see the following resources:

- Anti-Bribery Principle
- Doing Business with Government Agencies and Contractors Principle
- Gifts, Entertainment, Meals and Travel Principle
- Government Contract Compliance Policy
- Hiring Former and Current Government Employees or their Relatives Policy
Integrity in Sales and Marketing

To the public, 3M’s promotional and marketing materials represent more than just our products and services—they represent our Company as a whole and each of us who works here. To best represent the 3M brand and our value of being honest, these materials must always represent our products and services fairly and accurately. Any claims we make about 3M’s products and services should be appropriately substantiated and approved, helping us make sure that we are making commitments we can keep.

Our high-quality products and services, combined with our values and integrity, give us a competitive advantage in the marketplace—we do not disparage others in order to succeed. Where statements about competitive products or services are allowed by local law, be sure that any claims you make comparing competitors’ products or services to 3M’s are properly substantiated through appropriate testing. Never unfairly criticize our competitors or seek to improperly discredit their products or services.

In addition, we must use only legal, honest means to gather information about our competitors. Never conceal your identity as a 3M employee to collect competitive information or force or coerce anyone else to disclose such information. In the event you are offered competitive information that you feel should not be disclosed, refuse to accept the information and notify your manager or supervisor.

For more information, see the following resources:
- Advertising and Product Representation Principle
- Advertising and Product Representation Policy
- Advertising and Product Representation Standard

Promotional and Marketing Materials

Sales materials, advertising, packaging, promotional materials, product information, and any other similar communication.
Bribery

Our key values of fairness and integrity are central to our sustainable business growth around the world. We never gain or keep business through unethical means, such as bribes, kickbacks, or other corrupt payments—regardless of any local business custom. We comply with the US Foreign Corrupt Practices Act, the UK Bribery Act, Brazil’s Clean Company Act, and any local anti-corruption laws that apply to us. We must not accept or provide bribes and we must be especially careful when working with government officials. It is illegal to offer, promise, give, or accept anything of value to a Business Partner or government official that could corruptly influence them.
Key terms

Anti-bribery laws can be complex. It is important to understand the terminology involved.

Keep in mind that these rules apply to all 3M People, not just employees. Anyone who works on 3M’s behalf must never offer or accept any sort of corrupt payment. In addition, when selecting a Business Partner, avoid anyone who has a history of bribery or unethical conduct. Remember, we must perform due diligence on all third parties as required by our Integrity Assessment procedures. Speak to your manager or supervisor, your assigned 3M Legal Counsel, or a member of 3M Ethics & Compliance if you have questions related to bribery or corruption.

Bribe
An offer or promise—either direct or indirect—to give or accept something of value with the intent to gain an improper advantage or improperly influence a decision. Bribes can come in many forms, including favors, gifts, charitable or political contributions, offers to hire a government official’s relative, or even discounts that are not available to others.

Kickback
The return of a sum of money paid (or due to be paid) as a reward for making or influencing a business arrangement. A kickback differs from a bribe in that kickbacks are generally solicited by the buyer’s employees, whereas bribes are generally offered by the seller or those seeking to gain an unfair advantage.

Facilitation payment
Generally, a small payment made to speed up a non-discretionary government action, such as obtaining a permit or starting a utility service. 3M prohibits facilitation payments.

Government official
This is a broad term that includes:
- Anyone acting on behalf of a government or its departments, agencies, or divisions
- Employees or associates of institutions owned or controlled by a government, such as public universities, hospitals, utility companies, or transportation authorities
- Political candidates and political party officials
- Employees of some international organizations, such as the United Nations
- Members of royal families
Larissa works at a 3M manufacturing plant that needs to renew an environmental permit for handling a specific chemical that is frequently used. Upon submitting the renewal paperwork, the clerk at the permit office hands her an empty envelope and tells her that it will take at least two months to process the permit, unless the envelope is filled. Larissa knows that if the permit is not obtained in time, the plant will have to shut down. What should she do?

a. Speak to her manager or supervisor, management, 3M Legal Counsel, or a representative from 3M Ethics & Compliance immediately.

b. Make the payment, as long as it is a small amount of money.

c. Ask a local agent to make the cash payment for her, so it is not coming directly from 3M.

The correct answer is A. This is a request for a bribe, and Larissa should seek guidance to help her make the right choice. 3M does not pay bribes, even if it is a small amount of money. In addition, remember that we are responsible for actions that third parties take on our behalf, so we never knowingly allow anyone we work with to make corrupt payments.

For more information, see the following resources:
- Anti-Bribery Principle
- Anti-Bribery Policy
- Integrity Assessment (IA) Standard
Fair Competition

We succeed by selling innovative, quality products and competing vigorously, not by manipulating the market. In the marketplace, we follow the letter and spirit of the antitrust and competition laws that apply to us. These laws aim to encourage competition, so that customers are provided with products at competitive prices.

What activities could be considered anticompetitive?

Many different business activities may be considered anticompetitive. Certain business practices, such as agreements with competitors to set (or fix) prices or allocate to customers or territories, always violate antitrust and competition laws and can result in criminal sanctions. These agreements or understandings may be written or oral, or formal or informal. Many other business activities, such as restrictive supply or distribution agreements or unfairly using a strong market position to harm competition, also may violate antitrust and competition laws in some situations. Because antitrust and competition laws vary from country to country and are complex, consult your assigned 3M Legal Counsel for advice about your specific situation.
Here are several examples of anticompetitive behaviors.

**Price fixing**
Making an agreement with a competitor to raise, lower, or stabilize prices or other competitive terms.

**Bid rigging**
Coordinating bidding activity with competitors.

**Group boycotts**
Agreeing with a competitor to not do business with targeted individuals or businesses.

**Market division or customer allocation**
Dividing customers, territories, or markets among competitors.

**Output restriction**
Agreeing with a competitor to reduce output or restrict capacity.

**Monopoly or abuse of dominant position**
Using a dominant market position to impose exclusive dealing terms on customers, such as pricing, discounts, rebates, or other terms.
Paola is a sales representative for 3M in a large city. At a café, she runs into her friend Rafael, who is a sales representative for a competitor. Paola mentions that the two of them always seem to be competing for the same contracts, and Rafael says, “Let’s make it easy on ourselves. Let’s alternate bidding lower on big contracts, so that we both meet our quota.” What should Paola say in response?

a. “I don’t know... let me think about it.”

b. “No, that wouldn’t be right. Sorry, I have to go.”

c. “Maybe just for a little while. This has been a tough quarter for me.”

The correct answer is B. It is a clear choice: anticompetitive behavior like this is never okay. Remember that even discussing this type of behavior can be against the law, so it is important to make your position clear and leave. You must report the conversation as soon as possible to your assigned 3M Legal Counsel, manager or supervisor, or 3MEthics.com.

For more information, see the following resources:
- Antitrust and Competition Law Principle
- Antitrust and Competition Policy
- Antitrust and Competition Standard
Product Quality

Our customers depend on 3M’s products to advance, enhance, and improve their companies, homes, and lives—and we have a responsibility to live up to those expectations. For this reason, we must strive to produce only the highest quality products. Every item we sell must meet rigorous quality standards and must be safe for its intended use. We must follow all laws, regulations, and 3M policies, standards, or procedures that deal with the quality and safety of our products. If you become aware of a quality or safety concern, report it immediately.

If you are a manager or supervisor, you have additional responsibilities in this area. You should be prepared to address any safety or quality concerns that are reported to you, and you must ensure that your direct reports are properly trained regarding all applicable laws, regulations, and 3M policies, standards, and procedures. In this way, you help to create a culture of ethics and compliance, where all 3M people can live up to our Company’s values.

For more information, see the following resources:

- Product Safety, Quality, and Stewardship Principle
- Quality Management System Quality Policy
- Global Quality Audit Management Standard
Adam works in quality control in one of 3M’s manufacturing plants, and he notices that the adhesive in one recent batch of one of the Company’s best-known products is below the specification limit for adhesion. The plant is really busy lately, so Adam decides not to raise the issue. It is only one batch out of thousands, and it would be a hassle to interrupt the production schedule to remake the product. Is he making the right choice?

Not Appropriate.

No, he is not. Every product that we ship needs to meet our specifications and quality standards. It does not matter if it would be costly or inconvenient to correct this mistake; keeping our commitments to our customers is more important. Adam should take this opportunity to show high-integrity leadership by reporting his concerns to his manager or supervisor or another resource.
Political Activities

Many 3M people engage in political activities. These activities, while commendable, should not interfere with your work at 3M. With the exception of approved 3M and 3M Company PAC political activities, you should never use 3M’s resources for political activities or give the impression that 3M sponsors any candidate, referendum, or ballot initiative.

3M Government Affairs lawfully advocates for our Company’s business interests. 3M and the 3M Company PAC sometimes make lawful political contributions. Any corporate political contributions outside the United States must be approved by the Area Corporate Affairs Vice President and assigned 3M Legal Counsel.

At times, 3M may engage in lobbying. Lobbying activities are highly regulated in some countries, and they often come with detailed registration and reporting requirements. If you interact with government bodies or officials, be sure to know and follow all lobbying laws and reporting requirements. Doing so helps us accurately represent the Company’s interests while meeting all legal requirements. If you need guidance, contact your assigned 3M Legal Counsel or 3M’s Government Affairs Department.

For more information, see the following resources:

- Lobbying and Political Activities Principle
- Lobbying Policy
- Lobbying Standard

Political Activities
This can include campaigning, distributing literature, fundraising, and hosting events.

3M Company PAC
A separate fund made up of voluntary employee contributions that is organized in the US under the Federal Election Campaign Act.

Lobbying
Communicating with lawmakers and public officials in a legal and transparent way to support legislation and other government action that may affect the Company or our employees.
Conflicts of Interest

At 3M, each of us has a responsibility to make decisions that are in the best interest of 3M. Disclosure is needed for those personal interests and activities that create potential conflicts of interests. When you disclose a potential conflict of interest to your manager or supervisor, you protect yourself and 3M.

If you think you have an actual or potential conflict of interest, disclose it immediately. Disclosing conflicts of interest as soon as possible helps us maintain our culture of integrity.

For more information, see the following resources:

- Conflict of Interest Principle
- Conflict of Interest Policy
- Conflict of Interest Standard

Conflicts of Interest

A situation in which your personal interests or relationships influence—or could reasonably appear to influence—decisions you make on 3M’s behalf. Conflicts of interest can harm 3M’s reputation and business success.

Ask a question, raise a concern at 3Methics.com
Mei-Ling is a supervisor in one of 3M’s manufacturing plants. Her son, Jian-Hong, runs a small janitorial company. Mei-Ling sits on a committee that makes decisions about which suppliers the plant should hire for maintenance needs. They are currently looking for a new janitorial company and soliciting bids from different suppliers, including Jian-Hong’s company. Mei-Ling would like to give the contract to her son’s company. She knows they do good work. Can she do that?

No, she cannot. Mei-Ling cannot be involved in the supplier selection process that includes her son’s company, because she has a conflict of interest. As such, she must remove herself from the bid process for the new janitorial service. Additionally, she should not seek to influence any other committee members, or, if her son’s company is selected, be involved in any negotiation or oversight of the relationship. Given the conflict, an even better solution is for her son’s company to remove itself from bidding on this work. We need to keep professional and personal relationships separate, to make good business decisions and to do what is right for 3M. If you have questions about working with family or friends, speak to your manager or supervisor or any resource listed in the “Speak Up” section.

Several common situations that may lead to conflicts of interest are:

- Conducting 3M business with a family member, significant other or close friend. We must avoid situations where we mix personal relationships and business, as this could create a conflict between doing what is right for a friend, relative, or significant other and what is right for 3M. This includes making a business decision that would directly affect anyone we have a personal relationship with, such as hiring them as an employee or vendor, buying goods or services from them on 3M’s behalf, or providing them with an unfair business advantage.

- Conducting 3M business with a former 3M employee. Sometimes 3M employees leave our Company and work with companies that conduct business with 3M. Business dealings with these individuals can give rise to conflicts of interest, especially if their company, or 3M, seeks or receives an unfair business advantage. It is important to disclose any business dealings with former 3M employees to avoid a potential conflict of interest.

- Outside employment. We may not accept outside employment that negatively impacts or interferes with our responsibilities at 3M, such as working for a competitor or starting a business that competes or does business with 3M.

- Investing in other companies. Avoiding significant interests in companies that are competitors, suppliers, or customers of 3M helps us steer clear of conflicts of interest. However, it is usually okay to have small investments in publicly traded companies.

- Serving on a board of directors. If you are asked to serve on the board of directors of a charitable, educational, or nonprofit organization, or trade association, speak to your manager or supervisor before agreeing, in order to make sure the situation does not create a conflict of interest. You must also get management approval before accepting a position as a director or officer of any outside organization.
Damien is good friends with Tyler, who used to work with him at 3M but now works in the procurement department for ABC Company, one of 3M’s largest customers. Damien has drafted the following email to send to Alyssa, who works in 3M’s sales department. Should he send it or delete it?

Not Appropriate!

He should delete the email. Damien is asking Alyssa to give Tyler’s company special terms based on their personal relationship—and that is not fair. Our personal relationships must not affect business decisions that we make for 3M.

---

Hello Alyssa,

I heard that you are working on updating 3M’s contract with ABC Company. I happen to know that Tyler is working on that deal for ABC. Tyler used to work here at 3M, and we are still good friends. Would you be able to offer him a discount on his company’s next order? I know it would help him make a good impression at his new company.

Thanks,
Damien
3M’s Assets

3M's assets are essential to our Company’s success. No matter which assets we use or have access to as part of our work, our responsibilities are the same:

- Safeguard 3M’s assets
- Limit personal use of 3M assets

We should use 3M's electronic resources wisely. To protect 3M's information and allow our Company to continue to achieve a competitive advantage, we must be careful when using electronic resources in public. When conducting 3M business, use only devices and systems managed and maintained by 3M, unless otherwise authorized. All devices must meet 3M's security standards. Always protect passwords and user IDs. When we use Company electronic assets, we must follow both the law and our Company’s policies, and we should always be cautious when downloading or opening attachments or software from unknown sources. As with physical assets, our personal use of electronic resources must be limited, and we must never use them to send or view inappropriate materials, or to conduct work for an outside business or for personal gain. When allowed by local law, our Company may monitor and disclose your use of any 3M assets, including electronic resources. Accordingly, you should have no expectation of privacy when using 3M’s electronic resources.
Tamara works in accounts payable at 3M. She receives an email from her supervisor, asking her to wire $50,000 to an account she does not recognize. As she looks more closely at the email, she sees that it came from an email account in her supervisor’s name, but not his usual 3M account. Tamara decides that this email must be a phishing attempt, and she deletes it. Did she do the right thing?

Not quite. Tamara was right to take a closer look at the email to make sure it really came from her supervisor. However, instead of just deleting the email, Tamara should notify IT Information Security so that they can look into the situation further and advise her how to proceed.

For more information, see the following resources:

- Electronic Resources Principle
- Electronic Resources and Acceptable Use Policy
Personal Information

Part of our commitment to being respectful relates to how we handle personal information we might have access to about other 3M People, customers, patients, or Business Partners. We must always get permission before collecting, using, or disclosing this information. Those of us with access to personal information must safeguard it, use it lawfully and properly, and never share it with anyone who does not need to know it or is not authorized to receive it. Data privacy laws can vary by country, so we should speak to our 3M Legal Counsel if we have any questions about the right way to handle such information.

Personal Information

Information that, either alone or in combination, identifies an individual. It might include someone’s contact information, health information, national identification number, marital status, or similar information.
Lorraine works in Human Resources at a 3M office in France. She needs to share some sensitive personal information about French employees with a colleague at a 3M office in the US, so she organizes the information in a spreadsheet and emails it to her American colleague. She knows that data privacy laws in the two countries are different, but she is just sharing the information within 3M, so she figures it must be okay. Is she right?

No, she is not. Ensuring compliance with all local laws can be complicated when transferring sensitive personal information across borders, even within our Company. At 3M, we follow all data privacy laws that apply to us. Lorraine should check with her manager or supervisor or 3M Legal Counsel about the best way to handle this situation. If you have questions about working with sensitive personal information, do not hesitate to ask questions and speak up.

For more information, see the following resources:

- Data Privacy Principle
- Data Privacy Policy
- Information Classification and Handling Standard
Confidential Information

3M is constantly developing innovative products to build our Company’s competitive advantage. To accomplish that, we rely on our Company’s confidential information, which is one of its most valuable assets.

At 3M, information is classified as described in the Information Classification and Handling Standard. We must know the classification of 3M information we create and have access to. All information, other than public information, must be treated confidentially. Never disclose confidential information outside the Company without explicit approval and appropriate confidential disclosure agreements. Even within 3M, do not share confidential information with people unless they have a “need to know.”

Confidential Information
This includes any secret or restricted information that belongs to our Company, customers, Business Partners, or competitors.
What is Confidential Information?

We have a responsibility to protect 3M’s confidential information. This can include several different categories of information.

**Product information**
This could include information about future products, potential product improvements, product formulas or drawings, records of invention, unpublished patent applications, technical reports, or proprietary manufacturing methods and processes.

**Financial information**
Examples include sales figures, earnings projections, information about pricing or profit, or any other information related to 3M’s finances.

**Organizational information**
This includes business plans, customer lists and customer or business partner information.

**Customer and Business Partner Information**
This includes 3M customer, supplier or other third-party information that 3M is legally obligated to protect or keep confidential, including point of sale data.

Keep in mind that this is not a complete list. Speak to your manager or supervisor if you have questions about what information is or is not considered confidential information.
Some confidential information may be considered a **trade secret**. We must be careful with this information, ensuring that we never accidentally disclose it, or leave it where others may find it.

We may use confidential information we have access to only for business purposes, being careful not to share it with anyone unless they are authorized and have a business reason to know it—even within 3M. Be careful when discussing 3M information in public places, as you may be overheard.

We must also protect confidential information that belongs to other companies. If you have access to a Business Partner’s information, safeguard it the same way you would 3M’s, and do not share it with anyone who does not have a business need to know it. Speak to your manager or supervisor or another resource listed in “Speak Up” if you have questions about how to handle third party confidential information.

For more information, see the following resources:

- Information Security, Trade Secrets and Confidential Information Principle
- Information Security Policy
- Information Classification and Handling Standard

**Trade Secret**

Trade secrets are a form of intellectual property. They are valuable and must be protected by keeping them confidential. Trade secrets have the following characteristics: 1) they have economic value, 2) they are not generally known outside 3M, and 3) 3M is making reasonable efforts under the circumstances to keep them confidential.
Zhang’s daughter Li is studying to be an engineer, and she is interested in how 3M’s manufacturing plant applies the concepts she is learning in her classes. Can Zhang give Li the 3M plant’s procedure manual, which explains the manufacturing process in detail? Li is not going to use it for a project or share it with anyone; she is just curious.

a. Yes, it is fine for Zhang to do so, so long as Li keeps what she learns to herself.

b. No, 3M’s confidential information has to be protected.

**The correct answer is B.** It does not matter if Li is going to keep the information to herself. Zhang, like all 3M people, has a responsibility to protect our Company’s confidential information and share it only with people who are authorized to receive it and have a business need to know it—and that does not include his daughter.
Insider Trading

Our work for 3M may give us access to inside information. Keep in mind that this information does not have to be about 3M; we may also have access to material nonpublic information about other companies, such as 3M’s customers or suppliers.

Regardless of what company the information relates to, the expectation is the same: we must never trade in that company’s stock or other securities while we have material nonpublic information. Even after this information is released to the public, we must wait two full trading days before buying or selling stock or other securities in that company.

Insider trading is not just unethical—it is also illegal. Anyone who trades on material nonpublic information could face criminal penalties, including jail time. If you reveal inside information to someone else (a practice called tipping), you could still be in violation of insider trading laws—even if you yourself did not make a trade or profit. Insider trading laws can be complex, and it is vital that we all follow them. Speak to your manager or supervisor or your 3M Legal Counsel if you have any questions.

Inside Information

Also known as material nonpublic information, this is information that is not available to the public and could influence someone’s decision to buy, sell, or hold stock.
Read the following instant message conversation. Should Daria send the message she has written?

M: Did you hear about SupplyMart?

D: What about them?

M: We got their order for office supplies for next quarter, and it is WAY smaller than usual. And my contact there mentioned that they are going to have to close a bunch of stores.

D: Wow!

M: I know... and my brother-in-law owns a bunch of SupplyMart stock. I guess I should tell him to rethink that...

Yeah, maybe there is still time to sell before the bad news really gets out.

Not Appropriate!

No, she should not send the message. This news is not public yet and is likely material, so Milo cannot share it with his brother-in-law. Remember that insider trading laws apply not just to our activities, but also to those of our friends and family. Daria should not send the message as drafted but should immediately inform Milo not to share the information with his brother-in-law. Milo and Daria should contact their assigned Legal Counsel if they have questions.

For more information, see the following resources:

- Securities Trading and Insider Information Principle
- Securities and Insider Trading Policy
Social Media

Many 3M People use social media to connect with friends and family members or learn more about the world. We all have a responsibility to exercise caution when speaking about our Company or its business via social media platforms. How you conduct yourself on social media not only reflects on you—it can be a reflection on the Company. Only a limited number of people are authorized to speak on behalf of the Company. Do not overstate your authority to speak for 3M. When using social media and posting about topics related to 3M’s business, products, services, or industries, be sure to clearly disclose, as part of your post or comment, that you are a 3M employee and identify your opinions as your own. Also, stick to your experiences and be careful not to make claims you cannot support. We should also never reveal any confidential or proprietary 3M information in our online activities.
Which of these social media updates is okay to post?

Shellandra:
Is anyone looking for a new Executive VP of Marketing? My boss is about to announce his resignation, and he is looking for a new opportunity.

Claudia:
The prep for this new product release is KILLING ME! The whole medical division has been working overtime on this secret launch.

Jaime:
Great 3M volunteer day today! Check out the pictures on the Company’s page.

Jaime’s update is okay to post. It contains only publicly available information about 3M. The other updates give away confidential information about 3M, so they are not appropriate to post on social media.

For more information, see the following resources:
- Social Media Policy
- Social Media Affiliation Disclosures Standard
- Social Media Employee Advocacy Standard
- Social Media Governance Standard
- Social Media Paid Media Standard
Speaking for the Company

Occasionally we may find ourselves involved in discussions that relate to 3M. In these situations, we should be careful not to speak for the Company or give the impression that our views represent 3M. The Company has authorized spokespersons who will give 3M’s official position on specific issues. If you are approached by the media, you should refer them to 3M Corporate Communications.

For more information, see the following resources:

- 3M Communications Policy
Accurate Books and Records

As part of our work for 3M, many of us create business and financial records.

These records are important to our Company’s business decisions and operations, and we all have a responsibility to ensure they are accurate, up to date, truthful, and complete. Make sure you follow all laws, regulations, and Company policies, standards, and procedures when creating business and financial records, seeking guidance when needed.

Keeping accurate records is not just about creating documents—it is also about managing them. We must know and follow 3M’s internal controls and policies about records management, including maintaining, retaining, and correctly disposing of records. If you are asked for records or information as part of an audit or an investigation conducted by 3M or its external auditors, you have a responsibility to be transparent and provide full and complete information. Doing so helps 3M complete the audit or investigation quickly, and it demonstrates our culture of compliance and ethics.

Business and Financial Records

Some examples include purchase orders, contracts, manufacturing records, expense reports, invoices, manufacturing and laboratory data, government-required financial disclosures, other financial statements, regulatory reports to government entities—even routine things like emails and timesheets.
Liliana works in sales at 3M, and she just closed a big deal with a new client. Business was a little slow last quarter, and she did not meet her sales goal. She already has a few deals lined up for the next month, so she knows she will not have any trouble meeting her goal this quarter. She figures she will backdate the sales from her new client to last quarter, so she can meet that sales goal. Is that okay?

**Not at all.** Our financial records need to accurately reflect every transaction. Regardless of her sales goals, the orders from Liliana’s new client should be recorded on the day they were shipped. No matter what work we do for 3M, we all have a responsibility to make sure the Company’s records are complete and accurate.

For more information, see the following resources:

- Internal Controls, Financial Reporting, Document Retention, and Auditing Principle
- Financial Reporting Policy
- Internal Controls Policy
- Tax Policy
- Sourcing Policy
Money Laundering

3M is committed to complying fully with all anti-money laundering and anti-terrorism laws throughout the world. 3M conducts business only with reputable Business Partners whose business activities are legal and whose funds come from legitimate sources. In support of that commitment, we must all watch for signs of money laundering and terrorism funding by monitoring our Business Partners for any indication of illegal activity and being alert to possible “red flags” that may appear in the course of business and signal a problem. Use care in choosing 3M’s Business Partners, and perform due diligence on all third parties as required by our Integrity Assessment procedures. We must keep complete and accurate records of all business transactions and follow the requirements for reporting cash transactions.

Make sure to promptly alert your assigned 3M Legal Counsel or 3M Ethics & Compliance of any suspicious activity.

For more information, see the following resources:

- Anti-Money Laundering Principle
- Anti-Bribery Principle

Money Laundering

Money laundering can be any scheme or process that seeks to hide or “wash” money that was obtained through illegal activities.
Global Trade Compliance

In all of our business activities for 3M, we must know and follow the international trade compliance laws that apply to us. This includes the laws that regulate the following:

<table>
<thead>
<tr>
<th>Imports and customs activities</th>
<th>Exports and export controls</th>
<th>Trade embargoes and economic sanctions</th>
<th>Anti-boycott</th>
</tr>
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<tbody>
<tr>
<td>Customs authorities and their partner government agencies around the world require that the importer of goods states or ensures accurate tariff classification, value, country of origin, product marking, preferential trade status, and other critical data elements.</td>
<td>Exports of certain products, technologies, software, and technical information may be subject to licensing requirements. Licensing requirements also apply to exports of products for sensitive end-uses—such as the development of weapons of mass destruction. Export can mean both physical movement of goods and intangible transfers, such as through email, discussions, or presentations.</td>
<td>Trade embargoes and economic sanctions prohibit some or all business activities with certain countries and their nationals, or with specific entities or individuals.</td>
<td>Under the trade laws of the US and other countries where 3M does business, we must not participate in unsanctioned boycotts, or refusals to trade with a specific country.</td>
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</table>

It is up to all 3M People to understand and follow the trade compliance laws that apply to our work—and to ask questions when we are unsure. Just as we must never participate in any trade activity that violates these laws, we may not ask a third party to do so on our behalf. If there is a conflict between 3M’s policies and local trade laws, always follow the law. For additional guidance, please contact 3M’s Global Trade Compliance Department.

For more information, see the following resources:

- Export, Import, and Trade Compliance Principle
- Export Compliance Policy
- Import Compliance Policy
- The Trade Compliance section of Policy Central
Discrimination

We all bring a variety of backgrounds and experiences to work with us, and that diversity is part of what makes 3M successful. To support and uphold our commitment to diversity, we all have a responsibility to demonstrate respect and create an inclusive environment in the workplace. Accordingly, we never tolerate unlawful discrimination based on any protected characteristics. Protected characteristics may vary around the globe, but at 3M they generally include:

- Race or color
- Age
- Gender
- Creed
- National origin
- Disability
- Religion
- Sexual orientation
- Sex
- Gender identity
- Marital status
- Pregnancy
- Genetic information
- Citizenship Status
- Other characteristics as protected by law

Managers and supervisors must ensure that 3M offers a fair and respectful workplace and that complaints are handled promptly and effectively.
Read the following instant message conversation between Caitlin and Rosa, two 3M People who work in the same department. Decide whether or not Caitlin should send the response she has typed.

Not Appropriate!

**Caitlin should not send this message.** At 3M, we treat everyone equally, and we never exclude anyone from work-related activities on the basis of factors like marital or family status. Rosa should have been invited to this team dinner. She should speak to a resource listed in the “Speak Up” section for guidance about how to handle this situation.

**Hey, just wondering… did Dave invite you to the team dinner next Tuesday evening?**

- **Caitlin:** Yeah, I thought everyone was invited.

- **Rosa:** I wasn’t. I found out about it because I overheard Dave talking about it to someone else.

- **Caitlin:** That seems weird…

- **Rosa:** I thought so too. I asked him about it, and he said, “Oh, you have kids, so I assumed you would be too busy to make it.”

- **Caitlin:** That makes sense. I mean you probably are busy with your kids, right?

**SEND**
Harassment and Disrespectful Behavior

Our actions and the way we treat one another are key to creating a productive and inclusive workplace. We must always treat each other fairly and respectfully, never engaging in harassment or other unprofessional behavior.

In addition, we do not tolerate bullying at 3M. This includes both threats and acts of violence, as well as intimidation, use of abusive language, threatening conduct, and attempts to instill fear in others. If you think you have experienced or witnessed discrimination, harassment, or bullying at 3M, speak up. You can voice your concern to your manager or supervisor or any other resource listed in our Code. 3M does not tolerate or permit retaliation for asking a question, making a report, or participating in an investigation.

For more information, see the following resources:

- Respectful Workplace Principle
- Non-Retaliation Policy
- Human Rights Standard

Harassment

Unwelcome conduct based on a protected characteristic that creates an intimidating, hostile, or offensive work environment, causes work performance to suffer, or negatively affects job opportunities.
Forced Labor and Human Trafficking

3M complies with all applicable laws and employment regulations and does not engage or participate in forced labor. We have those same expectations for all vendors doing business with us. Our approach to human trafficking, sometimes referred to as “modern slavery,” is very simple: we do not tolerate it. We are committed to using effective systems and controls to prevent human trafficking from taking place anywhere within our business or supply chains.
Workplace Safety

As 3M People, we perform a variety of jobs in different environments, from offices to manufacturing facilities. No matter where we work, we must meet the safety standards that apply to us. We must follow all laws, regulations, and Company policies and procedures that apply to our work, such as those related to handling hazardous materials and working with tools and machinery.

Maintaining a safe workplace also means making sure that our actions do not create risk for ourselves or those around us. 3M never tolerates any threatening or violent behavior in the workplace, and at no time may we engage in risky behavior. This includes working on behalf of 3M while under the influence of any substance that could impair our actions or judgment, such as illegal drugs, misused prescription medications, or alcohol.

Those of us who serve as managers or supervisors need to ensure that the 3M People who report to us are properly trained on the relevant safety laws and policies, and we must address any reported safety issues promptly.

We have a responsibility to promptly report any safety issues or concerns. Of course, if you feel that you or someone else may be in immediate danger, contact your local emergency responders right away.
Read the following scenarios and decide whether each 3M employee is doing their part to create a safe workplace.

Cristobal pulled a muscle in his back last night, so he took some prescription painkillers this morning before coming to work. He feels a little bit dizzy, but he thinks he will still be able to get his work done, so he does not say anything about the pills to his supervisor.

会产生影响，所以他应该立即向他的主管汇报此事。错选。

Francesca notices that an important piece of machinery is not working the way it should. Her coworker tells her it is fine to keep using it anyway, but Francesca decides to talk to her supervisor about it.

会产生影响，所以他应该立即向他的主管汇报此事。错选。
Lloyd works in a 3M research facility. He often mixes hazardous chemicals without wearing gloves because he knows he will be careful.

 Kling Not Appropriate!

Wrong choice. Even if he thinks he is being careful, Lloyd still needs to take the appropriate safety measures when working with hazardous chemicals.

For more information, see the following resources:

- Workplace Environmental, Health and Safety Principle
- Safety and Health Policy
- Human Rights Policy
- Human Trafficking Prevention Standard
- 3M’s EHS standards in Policy Central
Sustainability

At 3M, we know that our commitment to sustainability truly sets us apart from our competition. We innovate with purpose. We empower individuals to address issues that matter to them, and we collaborate with our customers and communities to take on shared global challenges—bringing value to both our business and our society. We are committed to conserving natural resources, reducing our environmental impact wherever possible, and doing business in a way that protects the health and safety of 3M’s employees, the communities where we work, and those who use our products. Our goals are simple: we want to improve every life and ensure the long-term success of our Company.

There are a variety of sustainability initiatives that help us accomplish these goals.

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<thead>
<tr>
<th>Resources</th>
<th>Water</th>
<th>Energy</th>
<th>Health and safety</th>
<th>Education and development</th>
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<tbody>
<tr>
<td>We are constantly working to develop recyclable materials and use sustainable resources in our products. At 3M, we are finding ways to reduce our packaging in order to reduce our use of resources. We are striving to achieve zero landfill status at 30 percent or more of our manufacturing sites, and to reduce our global waste by another 10 percent.</td>
<td>We create filtration systems that help our customers improve water quality and use water more efficiently. In our own work, we use water responsibly, and we have set an ambitious goal to reduce our water usage by 10 percent by 2025.</td>
<td>3M makes products that help our customers become more energy efficient. We have increased our use of renewable energy, with a goal of having 25 percent of 3M’s electricity come from renewable sources by 2025.</td>
<td>Building on our existing customer education program, we are educating workers and patients about the proper use of health and safety products—which is critical to infection prevention, personal safety, and overall health.</td>
<td>We support empowerment and enrichment to provide people everywhere the opportunity to live life to its fullest.</td>
</tr>
</tbody>
</table>
3M invests in programs that increase access for people worldwide to science, technology, engineering, math, and business skills. Our Company also works to improve lives through investments in environment, health, and safety programs. Each of us is encouraged to develop career paths and opportunities aligned with our interests. 3M knows that increasing diversity in our organization around the world is a core part of our sustainability strategy.

For more information, see the following resources:

- Responding to Customer Sustainability-Corporate Governance Requests Policy
- Sustainability Report or 3M.com/Sustainability
Volunteering and Charitable Giving

Just as we are passionate about our work for 3M, many of us are also passionate about volunteering for charitable causes. 3M encourages us all to become involved in our communities and give back. However, we should never use the Company’s resources or Company time to support a charity without permission from a manager or supervisor.
Miranda participates in an “e-mentor” program that is organized through 3M and a local school district. Once a week, she receives an email at her 3M email address from a high school student seeking advice and perspectives on education and professional development. Miranda writes back from her 3M email address with information and stories about her own career path. The program will last 10 weeks and midway through, Miranda will travel to the high school to meet her mentee. The visit to the high school is two hours long and occurs during the workday. Before participating in this program, Miranda informed her manager about her plans, including the use of her professional email and the mid-day meeting that would interrupt her normal workday. She asked if her manager had any concerns about this, and he did not.

What did Miranda do wrong?

a. Miranda’s use of her 3M email address is an unreasonable personal use of 3M’s electronic resources.

b. Leaving work for a volunteer “meet and greet” is not permitted.

c. Nothing. Miranda did everything right by informing her manager of the program and checking with her manager if he had any concerns.

For more information, see the following resources:

- Charitable Contributions Standard