

# **3M Japan Group Green Procurement Standards**

Version 5.21  
September 1, 2017

**3M Japan Group**

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## I. Introduction

Ever since establishing the Basic Environmental Policy in 1998, we have strived to improve and enhance every aspect of our business activities based on the corporate philosophy of respecting the global environment.

In the Basic Environmental Policy, we declared our intention to comply with laws and regulations, reduce the environmental load of our products, and ensure everybody's health and safety. To be more specific, in the Basic Environmental Policy (revised May 1, 2010), we determined that we would:

1. Solve environmental pollution and environmental protection issues we have caused;
2. Develop products that contribute to realizing a sustainable environment;
3. Do our best to prevent environmental pollution at its source;
4. Reduce the use of resources by optimizing production activities, recycling and other appropriate methods;
5. Make sure that our facilities and products meet all laws and regulations;
6. Extend the maximum cooperation possible to public agencies and private organizations that are promoting environmental conservation activities; and
7. Foster a corporate culture which promotes active and ongoing improvements.

3M US has also published a Supplier Responsibility Code for our suppliers focusing on the implementation of the following five items. We would like to ask our suppliers to understand the principles of these procurement standards and comply with them.

1. Labor: Hire employees according to the applicable domestic laws and provide working conditions and an environment in which the dignity of employees is respected.
2. Health & Safety: Ensure working conditions under which the possibilities of hazards have been minimized.
3. Environment: Promote environmental conservation and reduce the proliferation of harmful materials.
4. Ethics: Comply with all laws and regulations in implementing corporate activities.
5. Management System: Build check and management systems for corporate activities.

These policies include compliance with environmental conservation laws and regulations, such as regulations concerning chemical substances control led by Japan and the EU, the promotion of green procurement, and requests for working environment and corporate ethics that have come under increasing scrutiny from society and customers.

Thinking it extremely important to communicate to our suppliers these policies as a member of the 3M Group, we have reviewed the existing standards for procuring raw materials, out-sourced products, packaging materials, production support materials, and non-production materials.

To see the 3M Supplier Responsibility Code, please visit the following website.

<http://multimedia.3m.com/mws/media/12045670/3m-supplier-responsibility-code.pdf>

September 2017

Kiyoshi Endo, Executive Director, Manufacturing & Supply Chain, 3M Japan Limited

## II. Documents Needed for Procurement

For the purchase of production and non-production materials, our contact person will ask you to submit the document indicated below: Attachment 1, 2, or 3. For more information on the documents to be submitted, see Chapters III and IV on the following pages. To submit the correct document (Attachment) at the time of procurement, see the following quick reference table that shows the relationship between procured materials and documents (Attachments) required.

Document (Attachment) submitted for procurement	Production materials				Non-production materials
	Raw materials	Outsourced products	Packaging materials	Production support materials	
3M Japan Group Material Information Form (Attachment No. 1)	✓	✓	–	–	–
Annex to Attachment No. 1, including SDS	✓	✓	–	–	–
Guarantee of Substances Contained in Packaging Materials (Attachment No. 2)	–	–	✓	–	–
Certificate of Substances Contained in Production Support Materials (Attachment No. 3)	–	–	–	✓	–
Procurement Guidelines for Non-Production Materials Procurement based on the Principle of Product Selection	–	–	–	–	(✓)

Note 1: Submit Attachment that corresponds to the procured materials with a checkmark.

Note 2: For the procurement of non-production materials with a checkmark in parentheses, you may be asked to show documents or labels that prove compliance with regulations.

### **III. Procurement Guidelines for Production Materials**

#### **3-1 Basic attitude to procurement**

The 3M Japan Group develops and procures products based on the 3M Life Cycle Management (LCM) and the Supplier Responsibility Code we promote on a global basis. We carry out a prior hazard assessment of production materials using information from suppliers. With the full-scale introduction of the 3M LCM, we will bring more environmentally friendly products to market and strive for the best balance between the environment and business. While international regulations for environmentally hazardous substances, such as the RoHS directives, are increasingly tightened, our contact person will ask our suppliers to provide or check information to meet our customers' requirements. To ensure a firm cooperative relationship with you, we would very much appreciate it if you would understand and meet our requests. We will purchase production materials from our suppliers giving priority to those that cooperate with us and respect our intentions.

#### **3-2 Criteria for procurement of raw materials and outsourced products**

Regarding all raw materials and outsourced products, we have incorporated the prior hazard assessment system for chemical substances. We ask you to provide us with a completed 3M Japan Group Material Information Form (hereinafter referred to as "Certificate No. 1," also known as Attachment No. 1) and Material Safety Data Sheet (SDS; in the new form according to JIS Z 7253). Using the provided information, the relevant department will check related laws and perform the prior hazard assessment to determine if your raw materials and outsourced products are suitable for their intended use. We also use this information for safety and health control in the company and for checking the release amounts of chemical substances; this check is required by the Act on Confirmation, etc. of Release Amounts of Specific Chemical Substances in the Environment and Promotion of Improvements to the Management Thereof (PRTR Law) promulgated in 1999. We also expect that pulp and paper products have been sourced from sustainably managed forests. For details, please refer to the following website.

<http://multimedia.3m.com/mws/media/1033426O/3m-pulp-paper-sourcing-policy-guidance-v1-march-2015.pdf>

As a prerequisite for procurement, please submit a Certificate No. 1 and the SDS required by law in advance whenever you plan to deliver raw materials or outsourced products to us. If there are changes in the information given in the documents, including composition information, applicable laws, and toxicity information, provide us with a revision each time there is a change so that we can update our database. It is not mandatory for you to submit an SDS when not required by law, such as one for molded products, although we would appreciate it if you would do so anyway.

We have revised our chemical substance control criteria and Certificate No. 1 as laws and regulations for chemical substances are diversified and changed. We will review them as appropriate.

### **1) Submission of 3M Japan Group Material Information Form**

Fill in composition information, physical/chemical properties, and information related to laws and regulations in Certificate No. 1 and send it to us. If the composition or other information is changed, promptly submit the document again to help us carry out the prior hazard assessment.

### **2) List of submitted documents**

Certificate No. 1: 3M Japan Group Material Information Form (Attachment No. 1)

Annex to Attachment No. 1: Material Safety Data Sheet (SDS) and information on ISO 14001/ISO 9001 Certification (to be submitted at the start of transactions)

Follow the instructions given in the certificate to fill it out. If you have any questions, contact our person in charge.

See page 14 for contacts for questions about the procurement guidelines for production materials.

## **3-3 Criteria for procurement of packaging materials**

### **1) Basic attitude to procurement of packaging materials**

As the Containers and Packaging Recycling Law and Law on Promoting Green Purchasing have been enforced, the role of companies in environmental conservation has become increasingly important to establish a sound material-cycle society. We are more than ever focusing on the reduction of environmental load when packaging materials are procured. We hope our suppliers will comply with environmental laws and regulations, support our environmental protection activities, promote their own environmental protection activities, and continue to help us procure packaging materials.

### **2) 3M Japan Group's definition of packaging materials**

Packaging materials in the Procurement Standards are materials to package products from the 3M Japan Group that include:

- 1) Materials with JV numbers, including JV-1234-5678-9, and
- 2) Materials with P numbers, including P012345.

### **3) Basic requirements for packaging materials**

#### **(1) Reduce**

Reduce the amount of materials for lighter and less waste.

#### **(2) Reuse**

Design packaging materials to maximize the number of uses.

#### **(3) Recycle**

- Limit use to one type of material when possible to facilitate recycling. If multiple materials are used, ensure that they can be easily separated.
- Select materials with the highest recycling rate possible.
- Use resin identification codes to facilitate separate collection according to the

Containers and Packaging Recycling Law.

(4) Environmental consciousness

- Use materials that are easy to dispose of and have low environmental impact.
- Materials should not contain heavy metals as indicated in 5) below. If they do, the content should not exceed reference values.
- We expect that pulp and paper products have been sourced from sustainably managed forests. For details, please refer to the following website.

<http://multimedia.3m.com/mws/media/1033426O/3m-pulp-paper-sourcing-policy-guidance-v1-march-2015.pdf>

**4) Packaging material design criteria**

Categories	Criteria
Cardboard	<ul style="list-style-type: none"><li>① Give priority to recycled paper containing 80% or more waste paper.</li><li>② Paint and ink should not contain any substances indicated in 5) below. If they do, the content should not exceed reference values.</li><li>③ Make sure to place recycle marks.</li></ul>
Cartons and labels	<ul style="list-style-type: none"><li>① If lucidity is not required, use recycled paper containing waste paper in principle. Strive to use FSC-certified paper if virgin pulp is needed.</li><li>② Paint and ink should not contain any substances indicated in 5) below. If they do, the content should not exceed reference values.</li><li>③ Aggressively use soy ink, VOC free ink, or hybrid UV ink.</li><li>④ Place resin identification codes or recycle marks as appropriate.</li></ul>
Bags and film	<ul style="list-style-type: none"><li>① Use reclaimed materials, including recycled PET, as much as possible.</li><li>② Materials and paint should not contain any substances indicated in 5) below. If they do, the content should not exceed reference values.</li><li>③ Place resin identification codes or recycle marks as appropriate.</li></ul>
Plastic products, including pallets	<ul style="list-style-type: none"><li>① Use reclaimed materials, including recycled PET, as much as possible.</li><li>② Consider reusability and returnability.</li><li>③ Paint should not contain any substances indicated in 5) below. If it does, the content should not exceed reference values.</li><li>④ Place resin identification codes or recycle marks as appropriate.</li></ul>
Others	<ul style="list-style-type: none"><li>① Select recyclable materials whenever possible.</li><li>② Materials and paint should not contain any substances indicated in 5) below. If they do, the content should not exceed reference values.</li><li>③ Place recycle marks as appropriate. Add resin identification codes whenever possible.</li></ul>

**5) Guarantee of substances contained in packaging materials**

The 3M Japan Group asks you to prove that packaging materials we purchase do not contain specific substances over their reference values or to submit a Guarantee of Substances Contained in Packaging Materials (hereinafter referred to as “Certificate No. 2,” also known as Attachment No. 2). We may decline transactions with providers when the proof is not given or the appropriate certificate not submitted. At the start of all new transactions, it is mandatory to prove that:

1. The total concentration (based on metal equivalence) of four specific heavy metals (lead, mercury, hexavalent chromium, and cadmium) or their compound is less than 100 ppm; and



2. No substances shown below are intentionally used; or if they are used unintentionally, the concentration is less than the threshold.

\* We cannot purchase materials in which the substances are intentionally used or the concentration is equal to or over the threshold. Immediately contact our person in charge in such a case.

Banned chemicals	threshold level (ppm)
Polybrominated biphenyls (PBB)	1000
Polybrominated diphenylethers (PBDE)	1000
Polychlorinated biphenyls (PCB)	Intentional use
Polychlorinated naphthalenes (more than 3 chlorine atoms)	Intentional use
Hexachlorobenzene	Intentional use
Bis(tributyltin)=oxide	Intentional use
2,4,6-Tri-tert-butylphenol	Intentional use
Hexachlorobuta-1,3-diene	Intentional use
2-(2H-1,2,3-benzotriazol-2-yl)-4,6-di-tert-butylphenol	Intentional use
Perfluorooctane sulfonate (PFOS) and its salts	Intentional use
Perfluoro-octane sulfonyl fluoride (PFOSF)	Intentional use
Formaldehyde	75
4,6-dichloro-7-(2,4,5-trichloro-phenoxy)-2-trifluoromethyl-Anthracene (incl. Benzo(a)-anthracene and Dibenz(a,h)-	Intentional use
Tris(1-aziridiny)-phosphineoxide	Intentional use
Tris(2,3-dibromopropyl)	Intentional use
Triphenyltin compounds	Intentional use
Tributyltin compounds	Intentional use
Benzopyrene	Intentional use
Asbestos	Intentional use
Azo colourants and amines (specified by ETAD Information notice No.6 and 2003/3/EC)	Intentional use
Dimethyl fumarate	Intentional use
Polychlorinated terphenyls	Intentional use
Cobalt chloride (as drying agent)	Intentional use
Short-chain chlorinated paraffins (C10-C13)	Intentional use
Arsenic and its compounds	Intentional use
Ozone depleting substances, Radioactive substances	Intentional use
Hexabromocyclododecane	Intentional use
Endosulfan	Intentional use

3.

Certificates concerning the use of substances contained in the subject matter or its package that are regulated by laws and regulations, including substances listed in the REACH Regulation (hereinafter referred to as “regulated substances”), have been obtained. For details of the list, please see the following URL.

<http://echa.europa.eu/web/guest/candidate-list-table>

## 6) List of submitted documents

Certificate No. 2: Guarantee of Substances Contained in Packaging Materials (Attachment No. 2)

Follow the instructions given in the guarantee to fill it out. If you have any questions, contact our person in charge.

See page 14 for contacts for questions about the procurement guidelines for production materials.

### 3-4 Criteria for procurement of production support materials

As mentioned above, we have incorporated the prior hazard assessment system for chemical substances regarding all raw materials and outsourced products. Production support products/components used during production do not intentionally get mixed in with products. However, if they are hazardous chemical substances and make direct or indirect contact with products resulting in them getting mixed in with the products, the products will become contaminated. For any production support materials that may get mixed in, we would like you to submit a Certificate of Substances Contained in Production Support Materials (hereinafter referred to as “Certificate No. 3,” also known as Attachment No. 3). Using the provided information, the relevant department will check related laws and perform the prior hazard assessment to determine if your production support products/components are suitable for their intended use.

As a prerequisite for procurement, submit Certificate No. 3 in advance whenever you plan to deliver production support products/components to us. If there are changes in the information given in the document, including banned substances, provide us with a revision each time there is a change.

As international regulations for environmentally hazardous substances are increasingly tightened, our contact person will ask you to provide information to ensure a firm cooperative relationship with you. We would really appreciate it if you would understand and meet our requests.

#### **1) Submission of certificate of substances contained in production support materials**

Fill in the “No Banned Substances Used” and other items in Certificate No. 3 and send it to us with SDS. If the composition or other information is changed, promptly submit the documents again to help us evaluate the suitability of production support materials.

#### **2) List of submitted documents**

Certificate No. 3: Certificate of Substances Contained in Production Support Materials (Attachment No. 3)

Follow the instructions given in the certificate to fill it out. If you have any questions, contact our person in charge.

See page 14 for contacts for questions about the procurement guidelines for production materials.

## **IV. Procurement Guidelines for Non-Production Materials**

### **4-1 Basic attitude to procurement**

We give priority to non-production materials that comply with the “Principle of Product Selection” below.

The Principle of Product Selection is an integrated guideline for the 3M Japan Group and is applied by each company in the group. For the applicable company names, see “VI. Names of 3M Japan Group Companies Using Procurement Standards” on page 14.

#### **Contact for the procurement guidelines for non-production materials:**

Indirect Sourcing Department

3M Japan Limited

TEL: +81-3-6409-3749 FAX: +81-3-6409-5809

### **4-2 Principle of product selection**

#### **1) Compliance with laws and self-regulations**

Select products that meet self-regulations in the industry and laws, including:

- ① Basic Environment Act,
- ② Basic Act on Establishing a Sound Material-Cycle Society,
- ③ Waste Management and Public Cleansing Act (Waste Disposal Law),
- ④ Act on the Promotion of Effective Utilization of Resources,
- ⑤ Act on the Promotion of Utilization of Recyclable Resources (Recycling Law),
- ⑥ Act on the Promotion of Sorted Collection and Recycling of Containers and Packaging (Containers and Packaging Recycling Law),
- ⑦ Act on Recycling of Specified Kinds of Home Appliances (Home Appliance Recycling Law),
- ⑧ Act on Promotion of Procurement of Eco-Friendly Goods and Services by the State and Other Entities (Law on Promoting Green Purchasing), and/or
- ⑨ Act on the Rational Use of Energy (Energy Saving Law).

#### **2) Resource saving**

Select products that:

- ① Use refurbished parts,
- ② Use recycled resources,
- ③ Are smaller and lighter, and/or
- ④ Have longer lifecycles.

**3) Energy saving**

Select products with lower power consumption during operation and standby.

**4) Consideration of vicinity**

Select products that emit less:

- ① Hazardous substances, including ozone and formalin,
- ② Electromagnetic waves,
- ③ Noise,
- ④ Noxious odors,
- ⑤ Dust, and
- ⑥ Vibrations.

**5) Chemical substances**

Select products that contain no, less, or controlled amounts of hazardous chemical substances.

**6) Recycling**

Select products that can be recycled when they are no longer needed.

**7) Disposal**

Select products that cause less waste and can be appropriately disposed of.

**8) Packaging materials**

Select products whose packaging materials save resources, contain no, less, or controlled amounts of hazardous chemical substances, and can be recycled.

**9) LCA**

Select products for which Life Cycle Assessment has been in place or on trial.

**10) Environmental labels**

Select products that have obtained Eco Marks, Blue Angle, Energy Star, etc.

**11) Use of environmental information**

Select products whose environmental information is disclosed.

**12) Environmentally friendly printing**

1) From the viewpoint of air pollution control, give priority to products printed with:

- ① Soy ink, VOC free ink, or hybrid UV ink, and/or
- ② Waterless printing process.

2) From the viewpoint of resources and forest conservation, give priority to:

- ① Recycled paper containing waste paper if lucidity is not required; or
- ② FSC-certified paper if virgin pulp is needed.

### 4-3 List of applicable items

Categories	Items to be examined
1) Paper	Communication paper (copy paper and forms), printing paper (coated and uncoated paper), sanitary paper (toilet paper, paper towels, tissue paper)
2) Stationery	Writing materials, mechanical pencils, lead for mechanical pencils, ballpoint pens, felt-tipped pens, markers, pencils, rulers
3) Office supplies	Trays, erasers, staplers, clips, office correction tools, office adhesive tape, scissors, tape cutters, punches, pencil sharpeners, office equipment cleaners, mouse pads, cutter knives, OHP film, office glue, inkpads, vermilion inkpads, clear plastic folder, batteries, carrier bags
4) Files and binders	Files, binders, card cases
5) Paper products	Office envelopes, lined paper, drafting (proposition) paper, notes, indexes, sticky notes, business cards
6) Office furniture	Chairs, desks, tables, storage furniture, cabinets, bulletin boards, whiteboards, carpets, curtains, blinds, partitions
7) Office equipment	Copiers, PCs, printers, faxes
8) Home appliances	Refrigerators, freezers, vacuum cleaners, lawn mowers
9) Lighting	Fluorescent light fittings, fluorescent lamps
10) Company cars	Automobiles
11) Uniforms and work clothes	Uniforms, work clothes, work gloves
12) Vending machines	Vending machines, cups
13) Printed matter	Catalogs, fliers, newsletters
14) Others	Garbage cans, garbage bags, recycling containers

**Note:** We will add new items in these categories as appropriate.

## V. About Attachments

Before transactions begin, our contact person will ask you to complete and submit Attachment 1, 2, or 3 indicated below. We would prefer to receive the submissions as Word files. However, you can also print out the attachment and submit a hard copy if Word files are not possible.

You can download the Procurement Standards (PDF file) and Attachments (Word files) provided in the Procurement Standards page (<http://www.mmm.co.jp/sustainability/customer/procurement.html>) in our website.

**Attachment No. 1:** 3M Japan Group Material Information Form (Certificate No. 1)

**Attachment No. 1-2:** Substances List (Annex No. 1)

**Attachment No. 2:** Guarantee of Substances Contained in Packaging Materials (Certificate No. 2)

**Attachment No. 3:** Certificate of Substances Contained in Production Support Materials (Certificate No. 3)

## VI. Names of 3M Japan Group Companies Using Procurement Standards

Company name	Procurement department/group	Zip code	Address	Phone No.	FAX No.
3M Japan Limited	Direct Sourcing Dept.	141-8684	6-7-29, Kitashinagawa, Shinagawa-ku, Tokyo	+81-3-6409-3719	+81-3-6409-5809
	Indirect Sourcing Dept.			+81-3-6409-3749	+81-3-6409-5809
	Package Engineering Group			+81-3-6409-3203	+81-3-6409-5809
	Site Sourcing Group Sagamihara Site	252-5285	3-8-8, Minami Hashimoto, Chuo-ku, Sagamihara, Kanagawa	+81-42-779-2127	+81-42-773-5794
3M Japan Products Limited	Site Sourcing Group Iwate Site	024-0192	3-17, Kita Kogyo Danchi, Kitakami-shi, Iwate	+81-197-66-4557	+81-197-66-4527
	Site Sourcing Group Yamagata Site	999-3737	5500, Oaza Osanagi, Higashine-shi, Yamagata	+81-237-48-4241	+81-237-48-4580
	Site Sourcing Group Ibaraki Site	319-1725	880-21, Fujigaoka, Sekimoto-cho, Kita Ibaraki-shi, Ibaraki	+81-293-46-0906	+81-293-46-7695
	Site Operations Group Chiba Site	283-0052	719-3, Ninofukuro, Togane-shi, Chiba	+81-475-54-1128	+81-475-54-0288

## VII. Revision History

- \* July 1, 2001 First edition issued (Version 1.00)
- \* September 1, 2003 Second edition issued (Version 2.00)
- \* May 10, 2004 Version 2.10: Attachments Nos. 1 and 2 revised
- \* June 1, 2005 Version 2.11: Attachments Nos. 1 and 2 revised
- \* July 1, 2006 Third edition issued (Version 3.00)
- \* April 1, 2007 Version 3.10: Attachment No. 1 and others revised
- \* July 1, 2007 Version 3.11: Attachment No. 1 and environment executive names revised
- \* December 1, 2007 Version 3.12: Attachment No. 1 and others revised
- \* March 12, 2008 Version 3.13: Attachment No. 1 and others revised
- \* October 1, 2008 Version 3.14: Attachment No. 1 and others revised
- \* July 1, 2009 Version 3.20: Attachment No. 1 and others revised
- \* May 1, 2011 Version 3.30: Attachments Nos. 1 to 3 and others revised
- \* July 1, 2011 Version 3.31 Attachment No. 1 revised
- \* October 1, 2011 Version 3.32 Text and Attachment No. 3 revised
- \* May 27, 2013 Version 3.33 Text revised
- \* September 3, 2013 Version 3.34 Text revised
- \* June 2, 2014 Version 3.35 Text revised
- \* September 1, 2014 Fourth edition issued (Version 4.00)
- \* June 1, 2015 Fifth edition issued (Version 5.00)
- \* January 1, 2016 Version 5.01 Text, Attachment Nos. 2 and 3 revised
- \* March 25, 2016 Version 5.02 Attachment No. 1 and others revised
- \* May 1, 2016 Version 5.10 Text and Attachment No. 1 revised
- \* August 10, 2016 Version 5.20 Text revised
- \* September 1, 2017 Version 5.21 Text revised

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