



# Global Supplier Expectations Manual - Quality Global Quality Standard

For External Distribution

Rev 1.0

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Revision	Release Date	Description of Changes	Prepared by
1.0	16-May-24	Initial Release	Katharine Rogers

## 1. INTRODUCTION & PURPOSE

3M is committed to effectively providing high quality products, services and solutions that meet or exceed statutory, regulatory, and customer requirements, as well as 3M's internal requirements, efficiently and sustainably enabling business growth, customer experience, operational excellence, and business continuity. Our focus is on continuous improvement, committed to excellence and integrity, supporting the 3M brand in everything we do.

### Purpose

3M employs processes and standards such as: ISO9001, ISO14001, IATF16949 and GMP (good manufacturing practices) seeking to maintain the outstanding quality of its products and services. The supplier is an extension of our commitment.

This manual communicates 3M's minimum requirements and expectations to our suppliers. It is expected that all suppliers shall comply with this Quality Manual.

## 2. SCOPE

This manual applies to both existing and new suppliers of materials and services to 3M. Certain 3M divisions may have more specific Quality Manuals based on their unique business needs, which will supplement the requirements in this Manual. If applicable, a division representative will provide the division-specific Quality Manual. Automotive suppliers should contact their 3M Quality contact to obtain specific requirements to comply with IATF supplier requirements.

## 3. RESPONSIBILITY

Suppliers are expected with all the requirements and expectations outlined in the Global Supplier Expectations Manual. 3M will provide updates and revisions to this manual as necessary, and suppliers are expected to incorporate these changes into their business operations. It is the responsibility of suppliers to review new and revised 3M requirements, assess the impact on their internal systems, and promote awareness of the quality manual.



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#### 4. SUPPLIER EXPECTATIONS AND REQUIREMENTS

##### 4.1. Quality Expectations General

A solid systems approach to quality management is crucial in meeting the high level of quality integrity demanded by today's customers. This approach offers several benefits, including:

- A common platform for Quality Management
- Improved communication through shared systems
- Standardized format for training
- Systemic change control

##### 4.2. Certifications

3M encourages suppliers to obtain relevant certifications for their processes and products. It is highly recommended that suppliers become certified to the current version of ISO 9001:2015 and ISO 14001.

All suppliers in the automotive field must obtain IATF 16949:2016 certification, with ISO 9001:2015 certification being the minimum mandatory requirement.

In accordance IATF, 3M aims to continuously improve the management system of its automotive suppliers. The Current Step and Intended Step (Ideal step to be achieved) are indicated for each supplier, based on the risk associated with them. The certification step is defined as shown below:

- Step 1 ISO 9001 v2015 - Conformity - Part 2 Audit
- Step 2 ISO 9001 v2015 - Certification - Part 3 Audit
- Step 3 ISO 9001 v2015 - Certification - Part 3 Audit + MAQMSR - Conformity - Part 2
- Step 4 ISO 9001 v2015 - Certification - Part 3 Audit + IATF Conformity Part 2 Audit
- Step 5 IATF 16949 v2015 - Certification - Part 3 Audit

Suppliers shall maintain updated copies of all certifications and provide them to 3M upon request. Failure to submit certificates or valid transition timelines may have a negative impact on the supplier's scorecard and future business with 3M.

3M reserves the right to verify the compliance of supplier manufacturing locations with these standards by conducting audits performed by qualified representatives at any time.



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### 4.3. Supplier Assessment Survey

The Supplier Self-Assessment Survey is a tool used to evaluate potential or existing suppliers to 3M Company. Completion of this survey does not guarantee a contract or agreement to purchase from any specific supplier.

The purpose of this survey is to assess the systems in place to ensure that the supplier consistently meets 3M's quality, service, and cost expectations.

Each section of the survey is designed to gather information about the supplier's capabilities and performance. The sections should be completed by someone who is knowledgeable about the systems related to that section.

When the need for a survey arises, whether for a new or existing supplier, 3M Procurement, Division, or Operations personnel will send the relevant survey to the supplier. Suppliers shall complete the survey within 30 days and return it electronically. After assessing the self-survey, it may be necessary for a 3M survey team to conduct an on-site evaluation of the supplier's systems.

### 4.4. Quality Document Retention

3M suppliers shall maintain quality records in a manner that ensures their retrievability and legibility upon request by 3M. This includes records related to the maintenance of the quality system, product traceability, development records, and any other records that may be used for investigations impacting product quality or 3M's image. These records must be retained for a minimum of 10 years. If the shelf life of the product is longer than 5 years, the documents must be retained for twice the product's shelf life.

Specific divisions within 3M may establish additional record retention requirements in accordance with ISO 9001:2015 and/or IATF 16949:2016.

### 4.5. Specifications

Suppliers shall be fully responsible for the quality of the raw materials, components, services, and products they supply to 3M. It is crucial that they ensure compliance with the agreed-upon specifications. Therefore, all inputs, finished products, and/or services shall have specifications established by the supplier in accordance with 3M's requirements.



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Suppliers shall provide the specification when requested by 3M. Additionally, the supplier is accountable for reviewing and accepting the specifications sent by 3M and maintaining an up-to-date version of the specifications in their records.

#### 4.6. Inspection and Testing

The supplier shall conduct all necessary inspections and tests to ensure that the provided product and/or services meet all requirements. When requested, the supplier must provide all records that serve as evidence of compliance.

It is essential for the supplier to have methods in place to demonstrate adherence to the specifications. This can include quality control analysis, analysis conducted by external laboratories, process control measures, and other relevant means. The supplier shall make this information available whenever it is requested.

#### 4.7. Statistical Process Control & Supplier Control Plan Expectations:

Suppliers shall establish appropriate Statistical Process Controls (SPC) for key quality characteristics. During the New Product Introduction (NPI) process with 3M, suppliers shall develop a control plan for these key quality characteristics, which must be followed during production. The control plan shall be based on established capability, and any changes to the control plan must be communicated to 3M.

Suppliers shall develop a control plan for critical processes that directly impact product quality. A control plan is a documented plan that outlines how product and process quality will be controlled by addressing key characteristics and engineering requirements. The control plan should describe the necessary actions at each phase of the process to produce the part. Product and process characteristics that require monitoring should be listed in the control plan, and monitoring should be conducted to ensure control.

#### 4.8. Supplier Non-Conformities/Supplier Corrective Action Requests (SCAR)

- **Identification and Notification:**

The ultimate quality target is zero defects. However, if a non-conformity is identified at any stage of the process (e.g., incoming inspection, production, final inspection, customer complaint), a Supplier Corrective Action Request (SCAR) will be issued. The responsible 3M SCAR owner will communicate the nature of the issue to the supplier that requires corrective actions. Non-conformities can be related to quality, service, or paperwork.



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- **Containment**

The supplier is responsible for defining, verifying, and implementing interim containment measures to isolate the effects of the problem from internal and/or external customers until permanent corrective and preventive actions are implemented. This includes assessing any material from the same lot(s) or suspect lot(s) that have been produced since the non-conforming material was identified. The entire supply pipeline, including but not limited to the supplier, third-party warehouse, enroute, and customer, should be assessed, and contained as necessary. It is recommended (required for automotive suppliers) that containment activities occur within 24 hours of discovering the non-conformance to minimize the likelihood of non-conforming material escaping.

- **Supplier Corrective Action Request**

When a non-conformance is identified and a SCAR is issued to a supplier, the supplier must respond with root cause analysis and corrective actions that effectively eliminate the root cause of the non-conformance. The supplier should provide details of the investigation methods used to determine the root cause(s) of the problem. Additionally, the supplier shall provide a comprehensive plan for short-term and long-term corrective actions to prevent further occurrences. The supplier shall provide target dates for implementing the planned actions. Before taking any action regarding the affected material, the supplier must engage in a discussion with 3M and reach a mutual agreement on how to proceed with its disposition. Unless approved by the SCAR contact at 3M, the supplier is required to respond within 15 days. While 3M does not mandate the use of an 8D (Eight Disciplines) for the corrective action response, it is recommended as a best practice to include in the response.

- **Corrective Action Approval and Verification of Effectiveness.**

The SCAR contact will review and assess the Corrective Action Plan provided by the supplier. If additional information is needed or the corrective action is deemed unacceptable, the SCAR contact will resend the SCAR to the supplier for further consideration. The supplier will then provide an updated Corrective Action Plan. Once all corrective actions are completed, and multiple new shipments have been received by 3M in conformance with relevant specifications, the SCAR contact will gather objective evidence to verify the effectiveness of the corrective actions. Upon verification of the effectiveness of the corrective actions, 3M can close the SCAR.



- **Supplier SCAR Compensation**

Suppliers shall reimburse 3M for the cost of materials that were found to be non-conforming. Further, 3M may seek to recover additional costs incurred as a result of the non-conformance. These costs can include, but are not limited to:

- Administrative fees
- Sorting labor costs
- Downtime
- Premium freight
- Scrap costs
- Rework costs

#### 4.9. Quality Performance Reporting

##### Key Process Indicators:

Key Process Indicators (KPIs) are essential for measuring the effectiveness of internal processes. It is considered a best practice for suppliers to define KPIs that are relevant to their operations, set targets for these parameters, measure them against the established targets, report the findings, and develop improvement plans based on the results. KPIs should be regularly reviewed by management and communicated to all team members. They should cover various aspects, including:

- **Quality**
  - Customer DPPM
  - Supplier DPPM
  - Internal DPPM
  - SCAR response submission timing
- **Manufacturing efficiencies**
  - Scrap rate
  - Downtime
  - Production relative to plan (e.g. First Time Capability, Output vs Plan)
- **Shipping**
  - On-time delivery performance
  - Premium freight costs
- **Safety**
  - Lost Time accidents
  - Recordable accidents
  - Days without a lost time accident
  - Proactive safety metrics (e.g. safety observations, engagements)



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### 4.10. Quality Roadmap

Suppliers shall maintain a quality roadmap that documents their current quality performance and outlines action plans for continuous improvement to meet 3M's expectations.

The quality roadmap should provide a clear overview of the supplier's current quality performance, including key metrics, such as defect rates, customer complaints, and audit findings. It should also outline specific action plans and initiatives aimed at improving quality performance over time.

The roadmap should be regularly updated and reviewed by the supplier's management team. It serves as a strategic tool to drive continuous improvement efforts and ensure alignment with 3M's quality requirements.

### 4.11. Change Management

It is crucial for suppliers to inform 3M about any changes that may impact the quality of the products they supply. Changes that must be communicated to your 3M Quality contact include, but are not limited to:

- Process changes
- Composition changes
- Supply source changes (site, plant)
- Sub-supplier changes
- Tolerance changes
- Equipment changes

These changes must be communicated to your 3M Quality contact at least 6 months in advance. 3M will assess the risk associated with the change and communicate the requirements that must be met before implementing the change. The supplier shall continue supplying qualified material until the end of the qualification and approval process.

Effective change management ensures that any potential risks to product quality are identified and addressed in a timely manner. By proactively communicating changes, suppliers and 3M can work together to maintain the desired level of quality.



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### 4.12. Customer Owned Equipment

The supplier shall be fully responsible for maintaining the integrity and quality of any materials, products, tools, and devices that belong to 3M while they are under the supplier's control. Supplier shall identify, inspect, protect, and securely store any property provided by 3M for use or incorporation into the product. If any of the provided property is damaged, altered, or deemed unsuitable, supplier shall promptly report to 3M, and records of such incidents must be maintained by the supplier.

By ensuring the proper care and protection of 3M's equipment and materials, the supplier contributes to maintaining the quality and integrity of the products delivered to 3M.

## 5. REFERENCES

**3M Supplier Direct website:** [https://www.3m.com/3M/en\\_US/suppliers-direct/](https://www.3m.com/3M/en_US/suppliers-direct/)

**3M Global and Division Specific Supplier Manuals:** [3M Supplier Manuals](#) | [3M Supplier Direct](#)