



Science.
Applied to Life.™

3M Supplier Responsibility Code

Supplier Responsibility Code

**Introduction for Suppliers
2024**

Agenda

- 3M Supplier Responsibility Code
- 3M Supplier Responsibility Code Expectations
- 3M's Right to Audit / Verify
- Supplier's Responsibility
- 3M SRC Risk Identification and Mitigation Processes
- Additional Resources

At 3M, we think holistically about how our people, products, and operations can all contribute to a brighter future. We understand that our sustainability and environmental, social, and governance (ESG) impact extends beyond our own operations, and we expect our suppliers to uphold the same standards we set for ourselves around environmental and social governance. We expect suppliers to meet our standards and be transparent about their related practices and to work with us to transform our shared value chain

3M Supplier Responsibility Code (SRC)

Foundational expectations on:

- Labor/Human Rights
- Health and Safety
- Environment
- Ethics
- Management Systems

Aligned with:

- 3M Values, Principles & Policies (e.g. 3M Human Rights Policy)
- Industry Guidelines (e.g. Responsible Business Alliance)
- Regulatory Requirements (e.g. UK Modern Slavery Act)



Available in 14 Languages

3M Supplier Responsibility Code Expectations



Applies to all 3M suppliers and Conformance to this Code is required to become or remain a supplier to 3M, anywhere in the world, and for any supplied material or service.



3M's suppliers are required to hold their subcontractors and suppliers accountable to the principles in this Code i.e., disseminate and educate the requirements of this Code to their employees, agents, subcontractors, and suppliers.



Suppliers are required to communicate their conformance status to 3M when requested and to make any necessary improvements to ensure full conformance.



If non-conformance to this Code is detected, 3M will attempt to work with the supplier concerned to correct the situation. We require the supplier to develop a corrective action plan to bring its operations into Code conformance so that supply to 3M can continue. If a supplier does not develop such a plan or fails to implement it, 3M may move to terminate the business relationship.

3M Supplier Responsibility Code

Labor Expectations



Expectations on:

- Prohibition of Forced Labor
- Young Workers
- Working Hours
- Wages and Benefits
- Non-Discrimination / Non-Harassment / Humane Treatment
- Freedom of Association and Collective Bargaining

Aligned with:

- 3M's Human Rights Policy
- Equal Employment Opportunity Commission (EEOC)
- Organization for Economic Cooperation and Development (OECD)
- United Nations Guiding Principles on Labor and Human Rights
- UN Global Compact Principles 1-6 on Human Rights and Labor
- ILO Discrimination (Employment & Occupation) Convention (No.111)
- SA8000, etc.



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Health and Safety Expectations



Expectations on:

- Occupational Health and Safety
- Emergency Preparedness
- Occupational Injury and Illness
- Industrial Hygiene
- Physically Demanding Work
- Machine Safeguarding
- Sanitation, Food, and Housing
- Health and Safety Communication

Aligned with:

- ISO 45001
- ILO Guidelines on Occupational Safety and Health

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Environment Expectations



Expectations on:

- Environmental Permits and Reporting
- Hazardous Substances
- Solid Waste
- Air Emissions
- Materials Restrictions
- Water Management
- Energy Consumption and Greenhouse Gas Emissions
- Pollution Prevention and Resource Conservation
- Transportation
- Responsible Sourcing of Renewable Materials
- Responsible Sourcing of Minerals

Aligned with:

- ISO 14001
- UNGC Principles 7-9 on Environment

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Ethics Expectations



Expectations on:

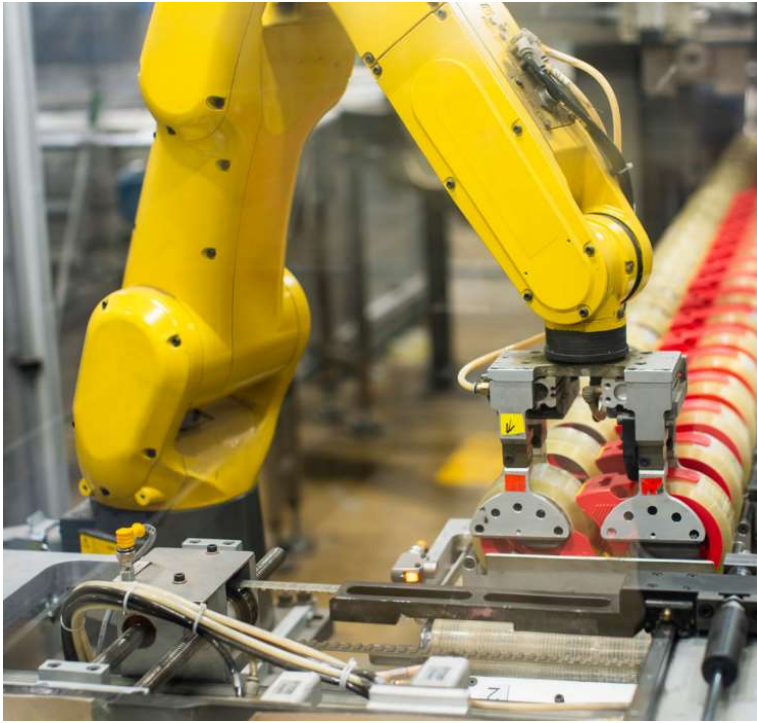
- Business Integrity
- Anti-corruption
- Gifts and Entertainment
- Conflicts of Interest
- Disclosure of Information
- Intellectual Property
- Fair Business, Advertising and Competition
- Reporting, Protection of Identity and Non-Retaliation
- Privacy
- Artificial Intelligence (AI)

Aligned with:

- UN Convention Against Corruption
- UNGC Principle 10 on Anti-corruption

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Management Systems Expectations



Foundational expectations on:

- Company Commitment
- Management Accountability and Responsibility
- Legal and Customer Requirements
- Risk Assessment and Risk Management
- Improvement Objectives
- Training
- Communication
- Worker/Stakeholder Engagement and Access to Remedy
- Audits and Assessments
- Corrective Action Process
- Documentation and Records
- Supplier Responsibility

Aligned with:

- OECD Guidelines for Multinational Enterprises
- OECD Due Diligence Guidance



3M's Right to Audit / Verify



3M reserves the right to assess the supplier's facilities through remote or onsite audits conducted at the supplier's expense. These could include 3M led audit or 3M approved 3rd party led audit.



Supplier must cooperate and make resources/facilities available. The necessary documentation shall be maintained and made available upon request by 3M. This requirement also applies to any third-party employment agencies used by the Facility.



3M requires full transparency during the audit process, accurate and honest disclosure of all documentation and information.



Any forms of bribery, corruption, deception and falsification of records are strictly prohibited

Supplier's Responsibilities



Ensure understanding and alignment of 3M's SRC requirements



Ensure your direct and upstream suppliers understand and align with 3M's SRC requirements. Conduct conformance verification of your suppliers



Support 3M inquiries, assessments, and audits. This includes providing relevant information upon request, making resources/facilities available during an audit and providing full transparency (i.e., accurate and honest disclosure of all documentation and information, full supply chain traceability, etc.)



Conduct an ESG assessment of your own operations/facilities at least every two years to ensure conformance to legal and regulatory requirements and the content of the SRC

3M SRC Risk Identification and Mitigation Processes

Risk Key: ● Extreme Risk ● High Risk ● Medium Risk ● Low Risk ● No Data

| Supplier Name | Overall Risk | Confidence | Country | Supply Chain | Product | Material | Spent |
|---------------|--------------|------------|---------|--------------|---------|----------|---------|
| Supplier A | Low | High | USA | Low | Low | Low | Low |
| Supplier B | Medium | Medium | China | Medium | Medium | Medium | Medium |
| Supplier C | High | Low | India | High | High | High | High |
| Supplier D | Extreme | Low | Brazil | Extreme | Extreme | Extreme | Extreme |
| Supplier E | Low | High | Germany | Low | Low | Low | Low |
| Supplier F | Medium | Medium | Japan | Medium | Medium | Medium | Medium |
| Supplier G | High | Low | UK | High | High | High | High |
| Supplier H | Low | High | Canada | Low | Low | Low | Low |
| Supplier I | Medium | Medium | France | Medium | Medium | Medium | Medium |
| Supplier J | High | Low | Italy | High | High | High | High |

3M Conducts Risk Assessments

AI ESG risk screening process using multiple industry recognized risk indicators performed on all prioritized suppliers

Informs 3M's prioritization of supplier self-assessments to be completed

Self-Assessment Questionnaire

Company Name: _____

Site Name: _____

SAQ Type: _____

SAQ Version: _____

| Question Number | Question | Rating/Answer |
|-----------------|---|---------------|
| 1001 | Do you hold a current certification or other formal documentation to show that your Health and Safety management system or practices have been independently assured or verified, such as RBA VAP or Factory of Choice, or ISO 45001 or equivalent or similar? | |
| 1002 | Does your facility have a written Health and Safety policy that includes all the RBA Code Health and Safety elements: Occupational Safety; Emergency Preparedness; Occupational Injury and Illness; Industrial Hygiene; Physically Demanding Work; Machine Safeguarding; Sanitation, Food and Housing; Health and Safety Communication? | |
| 1003 | Has your facility assigned responsibility to specific staff for implementation of the health and safety policy? | |

Supplier Completes Self-Assessment


Supplier completes an ESG Self-Assessment Questionnaire (SAQ)

Provides 3M info on strengths, potential gaps and risk level

Input into 3M's annual plan to drive supply chain ESG improvements

CAPA - Corrective Action/Preventive Action

| Issue | Root Cause | Corrective Action | Preventive Action | Completion Date |
|---------|--------------|---------------------|---------------------|-------------------|
| Issue 1 | Root Cause 1 | Corrective Action 1 | Preventive Action 1 | Completion Date 1 |
| Issue 2 | Root Cause 2 | Corrective Action 2 | Preventive Action 2 | Completion Date 2 |



Continuous Improvement & Capacity Building Programs

Corrective and Preventative Action Plan (CAPA) to address findings, improve performance

Supplier, Factory capacity building programs and opportunities to support continuous improvements related to:

- Labor
- Health & Safety
- Environment
- Ethics
- Management Systems



Responsible Business Alliance
Advancing Sustainability Globally

Validated Assessment Program (VAP)

The RBA Validated Assessment Program (VAP) is the leading standard for onsite compliance verification and effective, shareable assessments conducted by independent, third-party firms.

3rd Party On-Site Audit

On-site audit led by accredited 3rd party audit standard approved by 3M (i.e. RBA or equivalent standard) within the last 24 months

Audit costs are covered by the supplier

Additional Resources

[Global Supplier Responsibility Code | 3M Supplier Direct](#)

[Supplier Responsibility Expectations | 3M Supplier Direct](#)

[Contract Provision Information | 3M Supplier Direct](#)

[Supplier Manuals | 3M Supplier Direct](#)

[Supplier Learning Academy | 3M Supplier Direct](#)

[3M Supplier News | 3M Supplier Direct](#)

[Responsible Business Alliance \(RBA\)](#)

At 3M, we encourage all employees and people who interact with 3M to report suspected misconduct or ask a compliance question and speak up at 3MEthics.com.

Those who report a concern can be confident that they will not be subject to retaliation. In most countries, you may use this system to report your concerns anonymously



Thank you