

# Abbott Supplier Guidelines



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Abbott's suppliers are an integral part of the overall success of Abbott. Each day, Abbott and its suppliers make decisions that impact Abbott's ability to provide quality health care products to its customers.

The "Abbott Supplier Guidelines" documents the principles, guidelines and expectations for establishing and maintaining a business relationship with Abbott. Abbott works within standards set by federal, state, and industry regulations, and is committed to having business relationships with suppliers who share the company's dedication to conducting business in a legal and ethical manner. We also view our commitment to global citizenship not only as a business responsibility, but also as an opportunity to improve lives around the world. As an extension of our business, we have the same expectations of our suppliers.

Abbott is aware of cultural differences and challenges associated with interpreting and applying these principles globally. While Abbott believes these principles are universal, we understand that the methods for meeting these expectations may be different but must be consistent with the laws, values and cultural expectations of the different societies of the world.

All Abbott suppliers are expected to understand and comply with the "Abbott Supplier Guidelines." Suppliers are strongly encouraged to contact an Abbott purchasing representative with any questions. Suppliers are also strongly encouraged to contact Abbott Purchasing whenever there are questions relating to the appropriateness of any activity since Purchasing employees can provide an overview and further guidance on applicable Abbott policies.

We want to work with suppliers who have strong management systems in place, are transparent in their practices and manage their own supply chain. Abbott seeks assurances from suppliers that they promote sustainable procurement principles, as outlined in these Supplier Guidelines, to their own suppliers of materials and services.

Abbott reserves the right to verify a supplier's compliance with "Abbott's Supplier Guidelines" document. If Abbott becomes aware of any actions or conditions not in compliance with "Abbott's Supplier Guidelines," Abbott reserves the right to seek corrective action.

Abbott has established a program to monitor Supplier Social Responsibility which includes surveying and auditing supplier adherence to Abbott's Supplier Guidelines. If you require additional information regarding this program please contact [AbbottSupplierSocialResponsibilityProgram@abbott.com](mailto:AbbottSupplierSocialResponsibilityProgram@abbott.com)



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Abbott Purchasing is responsible for managing supplier relationships. Correspondence and questions related to materials or services should be directed to the appropriate purchasing function.

Abbott appreciates the contributions that suppliers make toward the success of the company and looks forward to continuing supplier relations designed to ensure a mutually beneficial business relationship.

# Ethics

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Suppliers shall conduct their business in an ethical manner and act with integrity. Abbott expects suppliers to comply with all legal and regulatory requirements regarding ethics including:

## 1. Business Integrity and Fair Competition

Suppliers shall conduct business competitively and in full compliance with all applicable laws, codes and regulations. Suppliers shall not pay or accept bribes or participate in other illegal inducements in business or government relationships. Suppliers shall employ fair business practices including accurate and truthful advertising.

Abbott employees are obligated to comply with all applicable provisions of the Abbott Code of Business Conduct, including the following concepts related to supplier relationships:

- Employees shall deal with all suppliers, customers, and all other persons doing business with Abbott in a completely fair and objective manner without favor or preference based on personal financial considerations or personal relationships.
- Employees shall not accept or provide (directly or indirectly) gifts, prejudicial discounts, payments, fees, loans, entertainment, favors or services from any person or firm, which may influence or give the appearance of influencing purchasing decisions.
- No employee shall do business on behalf of Abbott with a close relative or own any financial interest in a supplier's business where the Abbott employee has the appearance or ability to impact the supplier's relationship with Abbott. Such relationships must be disclosed per Abbott policies.
- No employee shall grant permission for use of Abbott's name and/or logo without permission from Corporate Public Affairs.

Abbott contract workers and agents (for example, consultants, contract sales forces, speakers, distributors, clinical investigators, etc.) must also comply with the applicable provisions of the Abbott Code of Business Conduct.

Abbott employees and suppliers are expected to report violations or possible violations of these Supplier Guidelines to Abbott Purchasing or to the Abbott Office of Ethics and Compliance, either directly or via the Ethics and Compliance Hotline (1-866-384-2756).

Abbott will promptly investigate reported violations of the Abbott Supplier Guidelines and expect employees and suppliers to cooperate in the investigation. If corrective action is required, Abbott will outline steps to address the issue.



## 2. Identification of Concerns

Supplier employees should be encouraged to report concerns or illegal activities in their relationship with Abbott without threat of reprisal, intimidation or harassment. Suppliers should review the concerns and respond to them in a timely manner.

## 3. Animal Welfare

Using animals in any testing or process should only occur after alternate methods have been fully explored and rejected. Animals shall be treated humanely, minimizing pain and stress. Animal testing should be performed only after consideration has been given to non-animal based test methods, reducing the numbers of animals used, or refining procedures to minimize distress in animals being tested. Alternatives should be used when scientifically valid and acceptable to regulators.

Contract laboratories and collaborating laboratories must be accredited by the Association for Assessment and Accreditation of Laboratory Animal Care International (AAALAC), and/or their laboratory animal care and use program must be assessed by Abbott veterinary staff and approved by Abbott's Animal Welfare Officer prior to placement of work and thereafter on a periodic basis.

## 4. Conflict Minerals

Suppliers shall track and report on the presence or use of conflict minerals in the parts, components or materials supplied to Abbott. Conflict minerals include columbite-tantalite (coltan), cassiterite, gold, wolframite or their derivatives, which are limited to tantalum, tin, and tungsten, (also known as 3TGs) as further defined in Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act and implementing regulations promulgated by the U.S. Securities and Exchange Commission. Following guidelines developed by the Organization for Economic Cooperation and Development (OECD), Suppliers shall report on the source and chain of custody of any 3TGs contained in the parts, components or materials supplied to Abbott (e.g., location of the mine or the country of origin and/or the smelter where the 3TG was processed). For information on Abbott's position statement relating to conflict minerals [click here](#).

## 5. Privacy

Suppliers shall not use or disclose Abbott confidential information other than with the express consent of, and for the benefit of, Abbott. In particular, suppliers shall not exchange or otherwise disclose Abbott confidential information with any competitor or other supplier. Any information or data regarding Abbott operations shall be treated as confidential at all times unless that information is in the public domain. Confidential information includes, but is not limited to:

- Purchase material specifications and conditions
- Purchase strategies
- Computer software programs
- Requests for quotation
- Contract details
- Personal information about employees, officers and directors
- Cost sheets
- R&D data
- Wage and salary scales
- Profit information
- Financial/sales/marketing information
- The Abbott name or logo
- Asset information
- Operating processes/formulas and other know-how and trade secrets, which are Abbott property and have not been disclosed to the general public
- Names of suppliers
- Pricing

Abbott may require that suppliers confirm these obligations by entering into confidentiality agreements with regard to any of the previously listed confidential information and to ensure that company, worker and patient privacy rights are protected.

## 6. Sales Techniques

Suppliers are expected to interact with Abbott in an open and honest manner. The following sales techniques are strictly prohibited:

- Backdoor selling – circumventing the proper Abbott channels to convince an individual to purchase a specific product or service.
- Inaccurate lead time commitments – knowingly providing unattainable lead time commitments to Abbott in an effort to secure business.
- Over-committing capacity – making commitments to provide a product or service without having the capacity to meet the commitment.
- Request for competitor information – asking for information regarding a competitor’s product, pricing, terms, distribution or other segment of their business.
- Offering gifts in excess of nominal value.
- Providing pricing structures that are less favorable to Abbott if the supplier is the single or sole source for the goods or services provided.
- Requesting Abbott to accept a proposal after the closing date.

## 7. Supplier Visitation Process

Suppliers have limited access to Abbott facilities. The following procedures are to be followed by all Abbott suppliers.

- Suppliers should not be on Abbott premises without proper registration/access badge.
- Suppliers are to be accompanied by an Abbott purchasing professional or Abbott end user.
- Suppliers are never to occupy an Abbott employee’s office or cubicle without displaying proper Abbott-issued identification.
- Suppliers, upon departure of Abbott property, are to leave their visitor badge with the receptionist.

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Suppliers shall be committed to fair treatment of their employees and to treat them with dignity and respect. Abbott expects suppliers to comply with all legal and regulatory requirements pertaining to the fair and equitable treatment of employees including:

## 1. Freely Chosen Employment

Suppliers shall not use forced, bonded or indentured labor, involuntary prison labor or human trafficking.

## 2. Child Labor and Young Workers

Suppliers shall not use child labor. The employment of young workers below the age of 18 shall only occur in non-hazardous work and when young workers are above a country's legal age for employment or the age established for completing compulsory education. Employee files should be maintained with adequate data to verify ages of employees.

## 3. Non-Discrimination

Suppliers shall provide a workplace free of harassment and discrimination. Discrimination for reasons such as race, color, age, gender, sexual orientation, ethnicity, disability, religion, political affiliation, union membership or marital status is not condoned. Abbott expects suppliers to share its commitment to equal opportunity in employment and its commitment to employee diversity.

## 4. Fair Treatment

Suppliers shall provide a workplace free of harsh and inhumane treatment, including any sexual harassment, sexual abuse, corporal punishment, mental or physical coercion or intimidation of workers.

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## 5. Wages, Benefits and Working Hours

Suppliers shall pay workers according to applicable wage laws, including minimum wages, overtime hours and mandated benefits as per custom of the country.

Suppliers shall communicate with the worker the basis on which they are being compensated in a timely manner. Suppliers are also expected to communicate with the worker whether overtime is required and the wages to be paid for such overtime. Suppliers shall keep accurate records regarding employee working hours and vacation hours.

## 6. Freedom of Association

Open communication and direct engagement with workers to resolve workplace and compensation issues is encouraged.

Suppliers shall respect the rights of workers, as set forth in local laws, to associate freely with one another. Workers shall be able to communicate openly with management regarding working conditions without threat of reprisal, intimidation or harassment.

# Health and Safety

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Suppliers shall protect workers in the workplace, and in any company-provided living quarters, by providing a safe and healthy environment. Abbott expects suppliers to comply with all legal and regulatory requirements regarding employee health and safety including:

## 1. Worker Protection

Suppliers shall protect workers from exposure to chemical, biological, physical hazards and physically demanding tasks in the workplace and other company-provided facilities, including living quarters and transportation vehicles. For example, supplier's management is responsible for providing appropriate hearing protection, gloves, masks or other forms of worker protection based on the type of work performed.

## 2. Process Safety

Suppliers shall have programs in place to prevent and respond to catastrophic chemical releases.

## 3. Emergency Preparedness and Response

Suppliers shall identify and assess emergency situations affecting the workplace and any company-provided living quarters, and shall minimize potentially adverse consequences by implementing and maintaining effective emergency plans and response procedures. For example, supplier's management is responsible for providing safety awareness training, safety drills or other types of safety training as required by the industry type and based on fire and safety regulations.

## 4. Hazard Information

Suppliers shall make available safety information relating to hazardous materials in the workplace, including pharmaceutical compounds and pharmaceutical intermediate materials, to educate, train and protect workers from hazards.

## 5. Anti-Counterfeiting

In an ongoing effort to work together to secure the supply chain from the dangers of counterfeiting, illegal diversion and theft of Abbott products, Abbott expects that suppliers notify us immediately if they are offered the opportunity to purchase counterfeit, illegally diverted or stolen products or otherwise become aware of any such products.



# Environment

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Suppliers shall operate in an environmentally responsible and sustainable manner and shall strive to minimize adverse impacts on the environment. Suppliers are encouraged to conserve natural resources, to avoid the use of hazardous materials where possible, and to promote activities that reuse and recycle. Key environmental considerations should include, but not be limited to:

## 1. Environmental Authorizations and Compliance

Suppliers shall obtain all required environmental permits, licenses and approvals and comply with all applicable operational and reporting requirements.

## 2. Air, Water and Waste Impacts

Suppliers are expected to be transparent in their environmental management practices and to embed sustainable environmental management principles into their operations. Suppliers shall have systems in place to ensure the safe handling, movement, storage, recycling, reuse, or management of waste, air emissions and wastewater discharges. Any waste, wastewater or emissions with the potential to adversely impact human or environmental health shall be appropriately managed, controlled and treated prior to release into the environment.

## 3. Spills and Releases

Suppliers shall have systems in place to prevent and quickly respond to all accidental spills and releases into the environment.

## 4. Restricted Substances

Suppliers are to adhere to all applicable restricted substance laws, regulations and customer requirements, including responding to requests for substance composition in materials/parts, and prohibition or restriction of specific substances, including labeling for recycling and disposal.



# Management Systems

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Suppliers shall use management systems to facilitate continual improvement and ensure compliance with these principles. Management system elements include:

## 1. Commitment and Accountability

Suppliers shall allocate adequate financial, human, and technical resources.

## 2. Legal and Customer Requirements

Suppliers shall identify all applicable laws, regulations, rules, ordinances, permits, licenses, approvals, orders, standards and relevant customer requirements and ensure compliance with them.

## 3. Risk Management

Suppliers shall have mechanisms in place to determine and control risks in all areas addressed by this document. Suppliers shall have adequate financial resources to assure business continuity and maintain financial solvency.

## 4. Documentation

Suppliers shall maintain documentation necessary to demonstrate conformance with these principles and compliance with applicable laws, regulations, rules, ordinances, permits, licenses, approvals and orders.

## 5. Training and Competency

Suppliers shall have a training program that achieves an appropriate level of knowledge, skills and abilities in management and workers. Documented training must be available for all employees as evidence that training was performed.

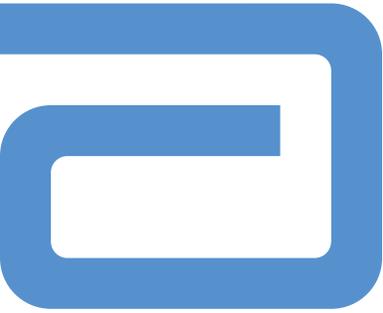
## 6. Continual Improvement

Suppliers are expected to continually improve by setting performance objectives, executing implementation plans and taking necessary actions to correct deficiencies identified by internal or external assessments, inspections and management reviews.

## 7. Communication

Suppliers shall maintain open and direct communication with appropriate business functions including purchasing.





# Abbott Supplier Guidelines

I certify that our company has received, read, understood and will abide by the Abbott Supplier Guidelines if we are chosen as an Abbott supplier.

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Company Name

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Representative

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Job Title

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Signature

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Company Stamp/Chop (Asia Only)

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Date