



# sustainability

## 2020 REPORT

# expanding human possibility<sup>®</sup>

**WE ARE** a global leader in industrial automation and digital transformation. We connect the imaginations of people with the potential of technology to expand what is humanly possible, making the world more productive and more sustainable.

**OUR STRATEGY** is to **bring the Connected Enterprise to life.** Nobody is better positioned to bring information technology and industrial operational technology together than us and our partners.

**OUR MISSION** is to **integrate control and information** across the enterprise to help industrial companies and their people be more productive and sustainable.

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**W**HEN I LOOK BACK ON 2020, I BELIEVE IT WILL BE REMEMBERED AS A TIME WHEN our company's culture and our big aspirations became especially visible through our actions. Broadly, the pandemic laid bare basic human needs, emotions, strengths, and weaknesses. Concepts such as mobility, safe shelter, and effective healthcare became constant concerns.

If Rockwell could not make our value and **values** evident in a time like this, then when?

Our value was underscored from early in the crisis, as the role our technology and expertise play in the production of essential goods like packaged food, personal protective equipment, and medicine became clearer than ever. Quite simply, these products cannot be made in the necessary quantity or quality without automation. But beyond the technology, it was our people who made the difference. For example, our salespeople worked tirelessly to expedite critically needed products to make masks, service engineers helped to keep tissue-making lines running, software developers modified code to rapidly deploy pharmaceutical scheduling applications, and our own manufacturing associates dealt with new workflows and safety procedures to keep products coming.

Resilience, agility, and sustainability are not only attributes we strengthen within our customers' operations, they are also reflected in our culture and in our individual employees. We made sacrifices and kept going, confident that this was the best way to help our communities get to the other side. Along the way, however, we have found our voice on some issues where "keeping going" is not enough. One of these is the role Rockwell will play in promoting racial equality within our company, our network of partners, and our communities. Another is sustainability. We have always helped industrial companies be more efficient users of resources, but there are many other ways Rockwell can enable a more sustainable future. If not now, when?

We promise to expand human possibility, within our company and throughout the world of industrial production. It starts with our innovation and expertise, freeing people from the repetitive physical labor that previously defined the human role in manufacturing. We can now unlock new possibilities for creativity and foresight, which are essential human qualities, to add value in these processes. How we make the journey is important, with highly engaged people who all feel they can and want to do their very best work, and who understand how their individual efforts are so crucial to accomplishing big things.

This is how we are entering the new year, never so well-positioned to add value to a changing world by blending business success with social responsibility. It's time to pick up the pace.

Sincerely,

A handwritten signature in black ink that reads "Blake D. Moret". The signature is fluid and cursive, with the first name "Blake" and last name "Moret" clearly distinguishable.

**Blake D. Moret**  
Chairman and CEO  
Rockwell Automation

# 2020 AT-A-GLANCE



**Dow Jones Sustainability Indexes** 10th time named



**FTSE4Good** 19th time named

## FINANCIAL

**\$6.3B** GLOBAL SALES

Revenue generated for industrial automation and digital transformation technologies and services that **help industrial companies and their people be more productive and sustainable**

**\$1.6B**

Revenue generated from **energy efficiency-related products/offerings** per SASB's definition

**100+** COUNTRIES WHERE WE OPERATE

## SAFETY

**0.23** RECORDABLE CASE RATE PER 100 EMPLOYEES

Best-in-class global safety performance as compared to industry peers for 10+ years

## ISO/OHSAS CERTIFICATIONS

**19 sites**

transitioning to new ISO 45001 Safety Management System certification from OHSAS 18001

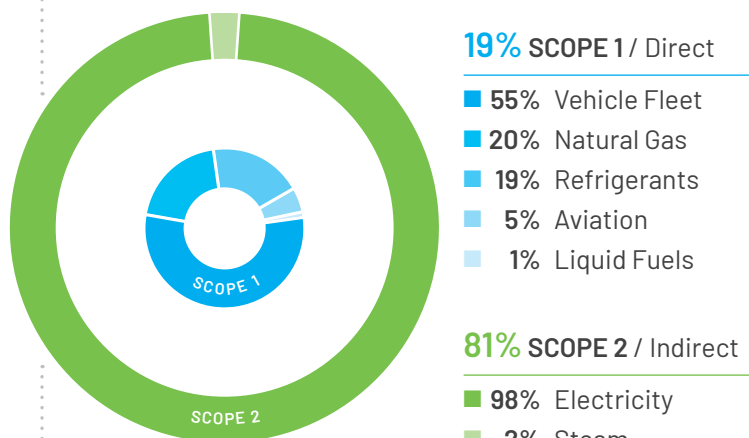
## ENVIRONMENT

### NEW NET-ZERO GOAL

Carbon Neutral (Scopes 1 & 2) by **2030**

### EMISSIONS SUMMARY

108,100 total metric tons of CO<sub>2</sub> equivalent



### WASTE GENERATION

9,645 tons of which

**8,102**

(84%) were **recycled or reclaimed**

### ISO CERTIFICATIONS

**20 sites**

certified to ISO 14001 environmental management standards



7th time named



We joined this U.S. EPA program in 2020

## DIVERSITY & INCLUSION

**23.5K** GLOBAL EMPLOYEES

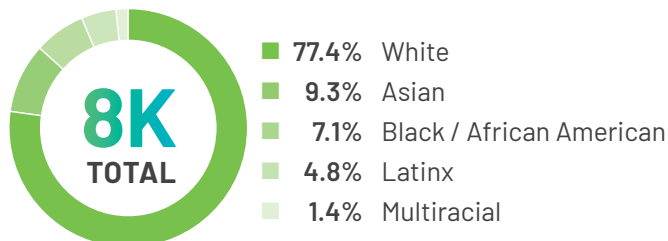
Rockwell Automation and its subsidiaries

**31%** WOMEN

**\$255M** SPENT WITH DIVERSE SUPPLIERS

including small, veteran, minority, women, and LGBTQ-owned U.S. enterprises

## U.S. EMPLOYEE REPRESENTATION



Diversity & Inclusion  
Program Award Winner



8th time named

## CYBERSECURITY

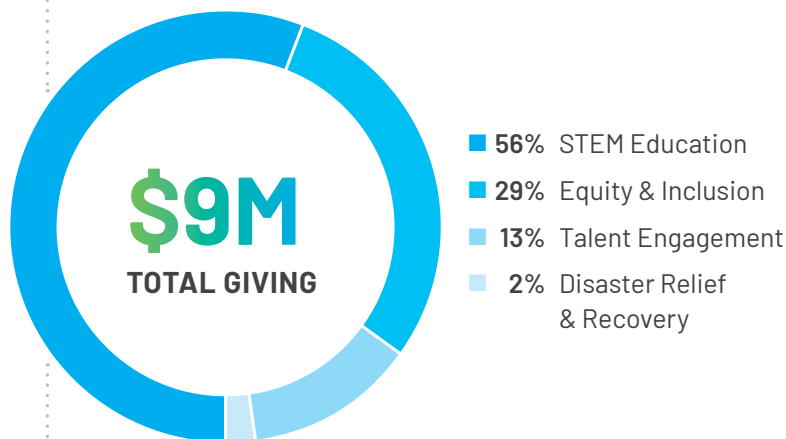


FOUNDING MEMBER

### CERTIFICATIONS:

Several ISA/IEC 62443 series certifications  
ISO 27001

## PHILANTHROPY



## COVID-19 RELIEF & RECOVERY

**\$30M+**

WORTH OF FREE INDUSTRY  
SUPPORT AND SERVICES

**\$200,000**

IN PHILANTHROPIC CONTRIBUTIONS

## INTEGRITY



# Materiality assessment and new sustainability strategy

Sustainability is central to our mission to make the world more productive and more sustainable, and to our promise of Expanding Human Possibility. A priority for us long before it became a mainstream imperative, we've constantly adapted our sustainability approach to meet new challenges and make a meaningful, lasting difference in the world.

We conducted an extensive materiality assessment this past year to update and further inform our sustainability strategy with the assistance of [ERM](#), a global leader in this field. We evaluated best-in-class approaches and conducted a peer review of industrial automation and business-to-business companies identifying issues most pertinent to our industry. We interviewed our customers, partners, employees, and investors to determine what was most important to them.

We learned that we've prioritized the right things with well-established programs and demonstrated success, which you'll read about in this report. But we also learned about emerging areas of importance and how we can do more to make a positive impact, advance change, and minimize risk. We prioritized the topics we defined as material and believe will create the most value for our company, customers, and communities under our three sustainability pillars—Environment, Social, and Governance (ESG).

## SUSTAINABILITY OUTCOMES

Through these ESG pillars, our sustainability strategy remains focused on driving three outcomes:

**Sustainable customers:** Enable our customers to achieve their own sustainability goals, making a positive impact on the world.

**Sustainable company:** Create innovative, sustainable products and solutions, and foster a culture that empowers employees to operate safely, sustainably, and responsibly.

**Sustainable communities:** Support the communities in which we live and work, having an impact that extends beyond our own organization.

Our new sustainability strategy demonstrates a continuing commitment to many areas where we have well-established processes and programs as well as the addition of new goals and areas of focus, including the following:

- A carbon neutral goal (Scopes 1 and 2) by 2030
- Incorporation of climate risk into our existing enterprise risk management process, including identification of the team that will start the research, assessment, and risk prioritization process following the TCFD (Task Force on Climate-related Financial Disclosures) framework
- Intentional enhancement of Responsible Supply Chain
- Better alignment of other programs into our holistic strategy such as cybersecurity and product quality & safety

Also new in 2021, we will begin to report information aligned with the GRI (Global Reporting Initiative). •

# Our sustainability pillars & priorities



## Environment

**We are committed to environmental stewardship** within our own operations and across our entire value chain.

### **CUSTOMER SUSTAINABILITY**

We help customers achieve their sustainability goals by providing innovative ways to reduce waste and increase operational and resource efficiency across value chains.

### **ENERGY AND EMISSIONS MANAGEMENT**

To demonstrate our leadership in energy and environmental stewardship, we manage our operations in a way that minimizes our emissions and energy use.

### **RESPONSIBLE SUPPLY CHAIN**

We partner with suppliers responsibly, focusing on long-term sustainable solutions to make our business more resilient and help ensure continuity in a globally diverse ecosystem.



## Social

**Our people set us apart.** By coming together to create a culture that values fairness and equity, where all people can and want to do their very best work, we are expanding human possibility.

### **TALENT & CULTURE**

Our ability to inspire, enable, and equip our employees is how we innovate and outperform our competitors and deliver value to our customers.

### **DIVERSITY, EQUITY & INCLUSION**

We value diversity, inclusion, and cultural awareness and create an environment where all employees can learn and grow.

### **WORKFORCE OF TOMORROW**

We improve and expand STEM and technical education, especially among underrepresented groups, to build a strong, diverse pipeline of prepared talent.

### **OCCUPATIONAL HEALTH & SAFETY**

Protecting the health, safety, and welfare of our employees and our customers' employees is a core value.



## Governance

**Our commitment to integrity defines who we are and how we act.** We do what we say we will, always honestly and ethically, no exceptions.

### **ETHICS & COMPLIANCE**

Success never comes at the expense of doing what is right. We lead by example prioritizing ethics and integrity.

### **CYBERSECURITY**

We work to ensure both our internal systems and our customers' industrial control and automation systems are safe, secure, and resilient.

### **PRODUCT QUALITY & SAFETY**

Customers can rely on us to deliver safe, high-quality products that meet the highest standards of regulatory compliance.

### **ENTERPRISE RISK MANAGEMENT**

We proactively identify significant risks that could potentially disrupt our business and impact our company, employees, and customers.

### **CORPORATE GOVERNANCE**

Our governance practices reflect a fundamental commitment to all of our stakeholders, and are focused on delivering value to our customers, investing in our employees, dealing fairly and ethically with our suppliers, supporting the communities in which we live and work, and generating long-term value for shareowners.

For more in-depth detail about our current sustainability performance including SASB (Sustainability Accounting Standards Board), TCFD, and GRI data, key policies, and updates on our progress and efforts throughout the year, please visit our online [sustainability content hub](#).





**SUSTAINABLE  
CUSTOMERS**

# Helping the world **recover**

If there was ever a year when we lived our promise of Expanding Human Possibility, it was 2020. Our automation technology and expertise has been central in the fight against the global coronavirus pandemic and helping the world recover.



From a centralized, urgent, and rapid response led by our COVID-19 Situation Room team to dozens of Malaysian manufacturing employees spending nights in Singapore hotels away from family so they could continue to go to work, we had a direct impact on protecting the health of millions of people worldwide. We enabled manufacturers to produce more and deliver faster—critical supplies, life-saving tests and treatments, food for our tables, and daily essentials.

The pandemic accelerated the need for industrial automation and digital transformation solutions that address manufacturing safety, operational flexibility, and resiliency. COVID-19 prompted new food and beverage packaging formats and unprecedented demand for testing kits, therapeutic drugs, and doses of vaccines. Without automation, manufacturers can't produce these products with the necessary scale, safety, and quality.

We take enormous pride in our relationships with the world's leading pharmaceutical and healthcare companies, including Pfizer, Roche, Cytiva, Abbott, and many others. They are working tirelessly to develop tests, treatments, and vaccines, and have invested in manufacturing capabilities as they scale up production. For example, our engineering experts were onsite with Roche when they needed to transform several manufacturing facilities to quickly produce test kits. They also used our software to schedule and increase production.



## Exceptional efforts to support customers

WHEN THE MALAYSIAN BORDER WAS CLOSED as part of COVID-19 mitigation efforts, we provided hotel rooms in Singapore for more than 70 employees so they could continue to go to work at our nearby manufacturing facility that was producing essential products to serve our customers. It was a tremendous sacrifice for our colleagues who volunteered to spend months away from family and loved ones, allowing us to respond to customers' pandemic needs. •

## Test kits in half the time

LANCO INTEGRATED HAS PROGRAMMED ITS machines with our software and hardware for more than 30 years, each one custom built. Lanco turned to



us again in 2020 to help it design and build a machine to produce COVID-19 rapid result test kits. The

faster the machine was deployed, the faster it could potentially save lives. With our technologies, Lanco simplified machine design, programming, and use, all of which cut delivery time in half. •



## Meeting global mask demand

WHEN THE WORLD HEALTH ORGANIZATION CALLED on industry and governments to increase mask manufacturing by 40% to meet global demand, the Australian government tasked the country's only surgical mask manufacturer, Med-Con, to help. Med-Con enlisted original equipment operator (OEM) Foodmach with a 60-day deadline to engineer and build the first of seven new machines. Foodmach modernized original machine mechanics with our latest technologies and built the first machine ahead of schedule in seven weeks. The new mask machines provide the capability for Med-Con to produce more than 3 million masks a week, up from just 50,000 previously.

Italy not only struggled with shortage of surgical masks, but also with the means to produce them locally. Exports were no longer an option as borders closed. Leading machine builder IMA Group and its subsidiary, Teknoweb Converting—which specializes in machines that produce wet wipes—rose to the challenge leveraging their capability to process non-woven fabrics. The two OEMs worked with us to design and produce a mask-making machine capable of producing 400 masks per minute in only three months from concept to delivery. As of June, the first of five units were built, and another 35 units were shipped in August. •

We're working with Johnson & Johnson as they design and develop next generation, flexible manufacturing systems including its new "universal machine" concept, a modular and mobile robot "mobot" solution that uses several of our technologies. Think of the mobot as a small, localized, and easily configurable "factory in a box" with integrated robotics and manufacturing processes that can be updated and deployed anywhere in the world. While especially useful where social distancing is required, universal machine development has the potential to further advance manufacturing and healthcare innovation.

Our technology has been crucial to projects that rapidly increased PPE supply. We worked with 3M as they ramped up PPE production and together, we're developing a smart factory-enabled PPE communications headset. In China, Heng Chang Machinery, a hygiene products machine builder, used our technologies to increase production of its high-speed mask-making machine from 150 to 500 masks per minute.

We also helped companies from automotive to food and beverage, and even diaper manufacturers, pivot and repurpose manufacturing operations to produce critical supplies. Fiat Chrysler Automobiles together with Comau, one of its original equipment manufacturers (OEMs), and Magna International, Canada's largest automotive supplier, used our control and safety technologies to set up machines to produce and donate millions of pieces of PPE. Ford, with our support and maintenance services, produced millions of face shields and more than 200,000 respirators and washable gowns.

# Simulation software helps essential providers plan and prepare

WHILE MANUFACTURERS USE OUR SIMULATION SOFTWARE to efficiently change over operations and find the most optimal way to stagger shifts, hospitals used the software to model and anticipate the amount of resources they needed to help patients and save lives. For example, New York's Northwell Health Lennox Hill hospital converted its pediatric outpatient surgery area into an adult intensive care unit. The hospital also used the software to help manage COVID-19 emergency department and patient queues, admissions, and capacity. Software data helped decision makers understand the flow of systems and the constraints of resources, including doctors, nurses, and equipment. The same software was used by another one of our customers to model PPE distribution in Brazil. With simulation software, planners and caregivers can prepare for pandemics, flu season, and natural disasters. •



Despite travel restrictions, social distancing, and other safety measures, we were with our customers every step of the way. Our TechConnect support team remotely coached and resolved a variety of complex issues using video and virtual support technologies. For customers with existing contracts, we offered a free virtual support application for mobile devices. More than 45,100 people downloaded this application. For those without an existing agreement, we offered free online support from our global engineering experts and access to our library of more than 100,000 articles.

Through our partnership with PTC, we provided free downloads of augmented reality software that enabled customer teams to share a live view of the same environment and solve issues

without being physically on site. More than 15,300 users downloaded this collaborative remote assistance tool. Internally we activated 2,500 seats as part of our customer support and training efforts.

To help keep customers' employees up to date on needed skills, we provided a free pass to access one of our 14 e-learning classes that cover six core automation technologies. As a result, our customers accessed more than 15,000 online training courses.

Overall, during the pandemic's early months we provided more than \$30 million worth of free industry support and services. We remain committed to doing all we can to support our customers. We're in this together. •



# Supporting sustainable goals

The pandemic has forced manufacturing to change at an unprecedented rate, but it's also created the opportunity to build a sustainable and resilient industry. Everything we do is focused on helping our customers be more sustainable and productive.

We help customers achieve sustainability goals with products, solutions, and services designed to:

- Reduce energy usage
- Reduce emissions
- Reduce waste
- Increase resource efficiency
- Improve employee safety
- Ensure regulatory and environmental compliance



WATER



AIR



GAS



ELECTRICITY



STEAM

With technology and services that help customers achieve their own sustainability goals, we are uniquely positioned to have an exponential impact on the world around us. We offer innovative ways to reduce waste, increase operational and resource efficiency, and empower customers to successfully navigate sustainable and socially responsible digital transformation.

Meeting carbon neutral and other sustainable goals depends on the improved ability to monitor and benchmark where and how operational resources are used. We help industry unlock information and productivity by marrying operational technology (OT) with information technology (IT) for data-driven decision making that aligns with sustainable outcomes.

## World's first all-electric truck and SUV

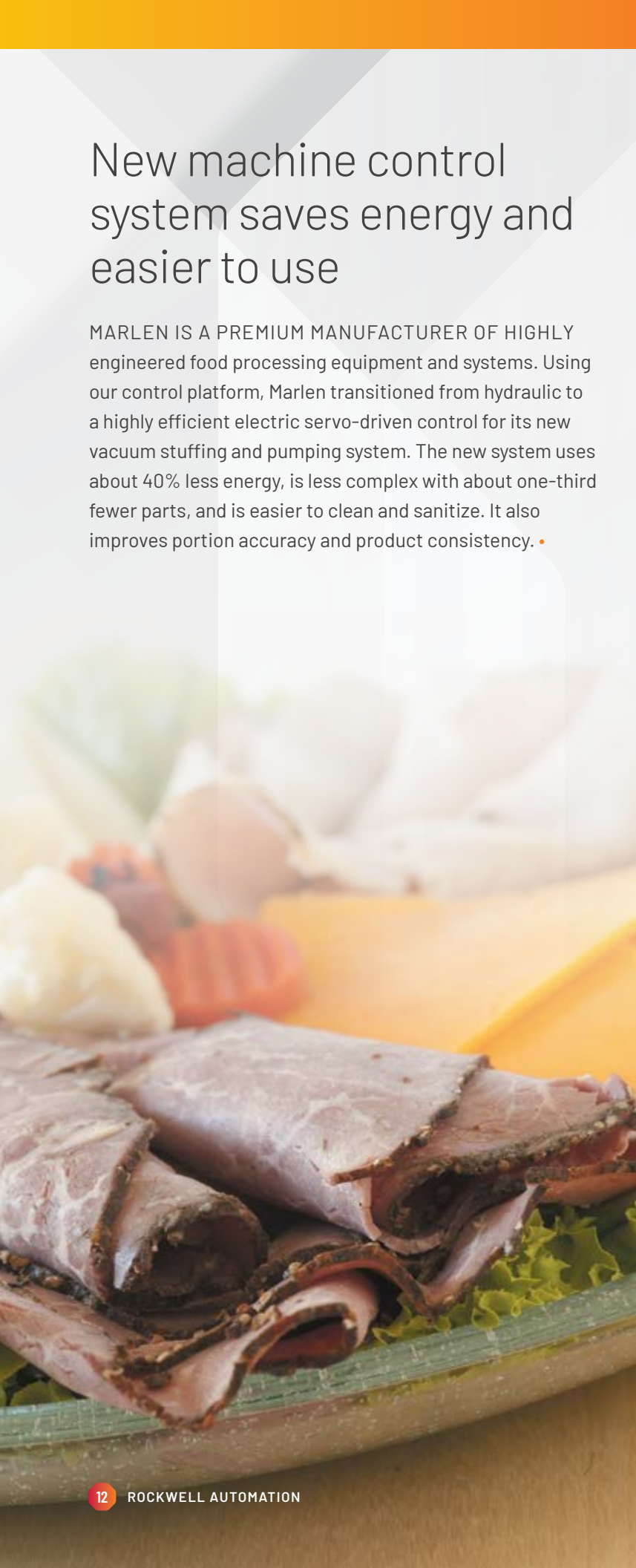
ACCORDING TO A REPORT FROM [BLOOMBERG New Energy Finance](#), it's expected that 54% of new vehicle sales will be electric vehicles (EVs) by 2040. As battery costs continue to fall, demand for EVs will rise. From innovative start ups to traditional automotive companies, we're helping manufacturers develop and deliver to market, faster than ever, EVs and batteries.



RIVIAN

With our technology, Rivian has retrofitted a former automotive plant in Normal, Ill., to build the world's first all-electric pickup truck and SUV which will be available in summer 2021. •





## New machine control system saves energy and easier to use

MARLEN IS A PREMIUM MANUFACTURER OF HIGHLY engineered food processing equipment and systems. Using our control platform, Marlen transitioned from hydraulic to a highly efficient electric servo-driven control for its new vacuum stuffing and pumping system. The new system uses about 40% less energy, is less complex with about one-third fewer parts, and is easier to clean and sanitize. It also improves portion accuracy and product consistency. •

We support numerous sustainable innovations and industries including electrical vehicle, water/waste-water, wind, biomass, hydro, solar, and geothermal. For example, at Toyota—one of the world's largest automakers—the vision is emission-free vehicle production with a goal to remove CO<sub>2</sub> from the company's global production plants by 2050. New air compressor controls use our technology to help the automaker's Huntsville, Ala., engine plant support that zero-emissions goal. The new system gives workers trending information to monitor air pressure and flow, energy usage, and critical data at each machine, either onsite or with remote access. As a result, the plant has reduced energy usage by nearly 1 million kilowatt hours annually. Toyota plans to replicate the project elsewhere for similar energy savings as it strives to meet its 2050 Challenge.

In Bulgaria, Solvay Sodi is Europe's largest synthetic soda ash producer. It's Devnya plant generates its own electricity using steam turbines fed from boilers. To save energy and reduce emissions, the company upgraded its steam generation system with our variable frequency drives and expertise. The upgrade, the heart of Solvay's companywide sustainability initiative, reduced electricity consumption by 22 megawatt hours a day, a 20% savings, and lowered related CO<sub>2</sub> emissions.

A California sanitation district reduced energy consumption by nearly 50% and CO<sub>2</sub> emissions by half a million tons annually after it automated its wastewater treatment plant with our controls, drives, and software. With onsite and remote data visibility, managers have the ability to monitor and control the plant at all times. Since the upgrade, the plant has received numerous state awards for its energy management, including Engineering Achievement and Plant of the Year awards.





# Spanish waste processing plant more than doubles recycling capability

VALTALIA RECYCLES WASTE FROM MORE THAN 2.2 million people in the Galicia region of Spain. After building and automating a new recycling plant and optimizing its processes with our controls, drives, software, and other technologies, each plant line can pick and pack between 40 and 120 tons of waste per hour. That equals between 750,000 and 1 million tons of waste a year. Overall, the new plant has doubled its capacity to recycle waste and quadrupled the amount of material it transfers to other recycling facilities. Only 10% of the waste Valtalia processes is sent to landfill. •

We also actively participate in thought leading industry programs. We are members of two new World Economic Forum working groups focused on CO<sub>2</sub> data transparency and the next generation of manufacturing leaders, and for three years, we've served on the board of the Great Lakes Energy Institute. Affiliated with Case Western Reserve University, the Institute brings together industry and research to advance energy initiatives including energy storage, solar, and emerging technologies.

Manufacturers are responsible for more than a quarter of global CO<sub>2</sub> emissions. As one of the largest users of energy, sustainability is both a business and societal imperative for our industry. We are committed to being a sustainable supply-chain partner with a relentless focus on innovation to power the low-carbon circular economy of the future. •





# Cybersecurity

Cybersecurity is critical to digital transformation, not only to protect information and intellectual property, but also to protect physical assets, the environment, and worker safety.

**W**ith greater connectivity comes greater risk for security threats. We help customers use technology to expand what's possible in their operations as well as protect what matters most to them.

We continue to aggressively expand and invest in our cybersecurity certifications and offerings, incorporating advanced security capabilities into more of our products. Customers take comfort in having a trusted partner with both automation expertise and products and services built with security in mind. We meet customers wherever they are on their OT (operational technology) cybersecurity journey, helping them identify and mitigate risks from initial assessment to maintaining and evolving security throughout a solution's lifecycle.

To further expand our global reach and expertise, we acquired two cybersecurity leaders in 2020. Avnet Data Security is an Israeli-based cybersecurity provider with over 20 years of experience and Oylo is a Barcelona, Spain-based provider.

We also added to our list of achievements in industrial cybersecurity. We received certification to the IEC 62443-3-3 cybersecurity standard. This means we demonstrated the ability to install and configure production systems that meet level 1 security requirements as defined by the world's leading global standard for industrial control applications. This follows several other previously earned certifications in the ISA/IEC 62443 series.

Additionally, we received certification for the ISO 27001 standard, which confirms the information security management system we use to protect data meets the standard's requirements. This provides customers with peace of mind that we use best practices to protect their intellectual property, such as when they use our remote support and monitoring services.



Across our industry, we make it a priority to lead and collaborate with partners and research institutions to

develop secure products, networks, and software. We are a founding member of the [ISA Global Cybersecurity Alliance](#), a first-of-its-kind initiative that brings together end-user companies, automation and control systems providers, IT infrastructure providers, services providers, and system integrators to address growing cyber threats. Together, our goal is to help customers reap the benefits of digital transformation, including reducing their cybersecurity risk. •

# Product compliance and disclosure

Our customers expect products that comply with industry standards and regional regulations for hazardous materials, energy efficiency, lifecycle impacts, safety and product quality, and stewardship.

**O**ur proactive approach prioritizes achieving compliance with new and expanding regulations ahead of scheduled deadlines.

We're significantly ahead of the July 2021 deadline to meet EU RoHS (Restriction of Hazardous Substances) 3 Directive requirements which added additional products and restricted substances to its scope. As part of this effort, we contacted all our suppliers for a statement of conformance. Our early start provided both us and suppliers with ample time to discover and identify noncompliant components and find an alternative so suppliers could design nonconforming materials out of identified products.

In China, we addressed new mandatory regulatory controls requiring CCC Ex certifications for electronic equipment used in hazardous locations, and a Chinese energy label regulation amendment affecting servo motor products. In Europe, we successfully passed four regulatory audits related to recycling schemes as part of compliance with Extended Producer Responsibility for packaging policy.

For safety, we comply with an expanding list of country-specific regulatory requirements including most recently Morocco's CE mark. As countries continue to adopt their own requirements based on EU precedents, our strategy has been to identify key common standards across countries and address a harmonized list of requirements. Additionally, we actively participate in the global organizations and serve on committees that develop, improve, and update product safety standards for the industries we serve. These include the IEC, NEMA (National Electrical Manufacturers Association), and UL. •



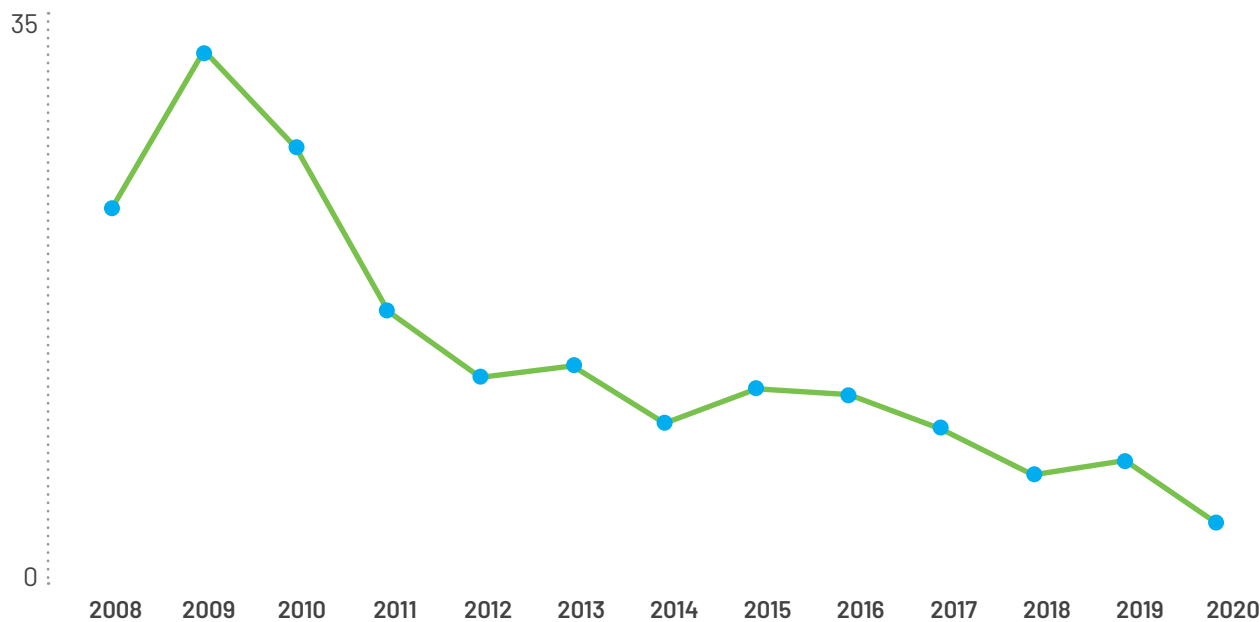
**SUSTAINABLE  
COMPANY**

# Environmental **performance**

We focus our environmental stewardship on reducing energy, waste, and water use.

NORMALIZED EMISSIONS TREND

Scopes 1 and 2 emissions, as metric tons of carbon dioxide equivalent, per million USD of sales



We use most of our energy for electricity to light, heat, and cool our buildings—which means most of our CO2e emissions are indirect. Known as Scope 2, these emissions are generated by the utilities, not our locations.

We measure and report energy use and carbon emissions at our largest locations including core manufacturing and office sites. We calculate the balance of our carbon footprint using emission factors based on location and occupied office space. Energy is a minor percentage of the total operational costs at these locations.

We met our 2022 goal to reduce emissions normalized to sales by 30% four years early. In late 2020, we announced a new goal to be carbon neutral by 2030 for Scope 1 (direct) and Scope 2 (indirect) emissions. Our plan to achieve this goal is to continue to pursue best practices to reduce energy demand through ongoing monitoring, efficiency, and optimization at our sites. We'll look for new

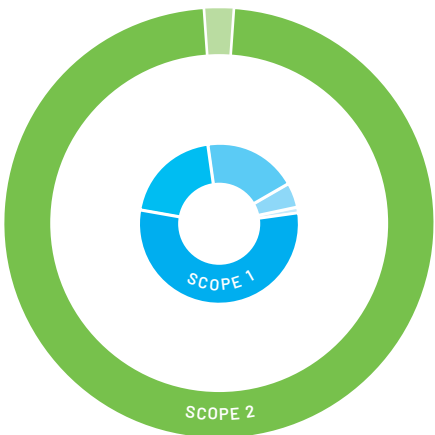
opportunities that build on our previous efforts, which included green and reflective roofs, solar energy fields, geothermal heating and cooling, sensing technologies, and HVAC and lighting upgrades.

20 sites

Certified to ISO 14001 environmental management standards

EMISSIONS SUMMARY

108,100 total metric tons of CO2 equivalent



19% SCOPE 1 / Direct

- 55% Vehicle Fleet
- 20% Natural Gas
- 19% Refrigerants
- 5% Aviation
- 1% Liquid Fuels

81% SCOPE 2 / Indirect

- 98% Electricity
- 2% Steam



# Listed on leading sustainability indices



**Dow Jones Sustainability Indexes**

10th time named



**FTSE4Good**

19th time named

WE WERE NAMED TO THE [DOW JONES SUSTAINABILITY Index](#) for the 10th time in 2020. Listed companies demonstrate best-in-class performance against numerous sustainability metrics following a thorough analysis of economic, environmental, and social practices.

For almost two decades, we've been listed on the [FTSE4Good Index Series](#), a market-leading tool for investors seeking to invest in companies that demonstrate good sustainability practices and wish to encourage positive change in corporate behavior.

A new honor in 2020 was *Newsweek* naming us to its first [America's Most Responsible Companies list](#).

## U.S. EPA SmartWay partner



WE JOINED THE U.S. EPA (Environmental Protection

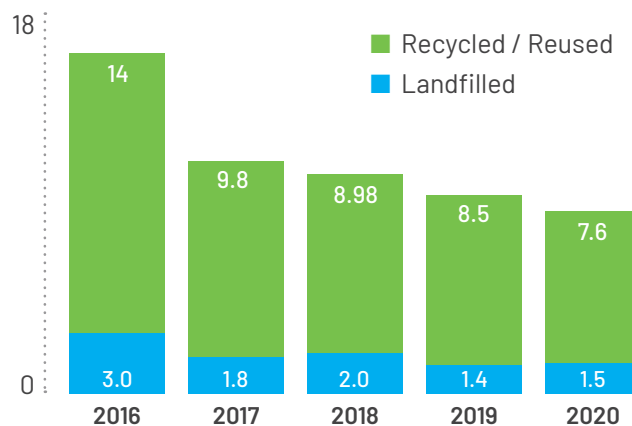
Agency) SmartWay Partnership program which helps companies advance supply chain sustainability and improve freight transportation efficiency. Accepted SmartWay Partners measure, benchmark, and improve performance on key air quality and fuel efficiency metrics related to corporate supply chain freight transportation.

Moving toward 2030, we will work to reduce emissions from our global vehicle fleet, including increasing the number of hybrid and green vehicles. And we'll explore investments in renewable energy through virtual power purchasing agreements, targeted renewable energy installations at our own locations, and renewable energy credits.

For waste and water, we remain committed to recycling or reclaiming almost all the solid waste we generate each year, and to an annual net-zero water use goal. We use water mostly to drink, for sanitary purposes, and to cool and clean during manufacturing.

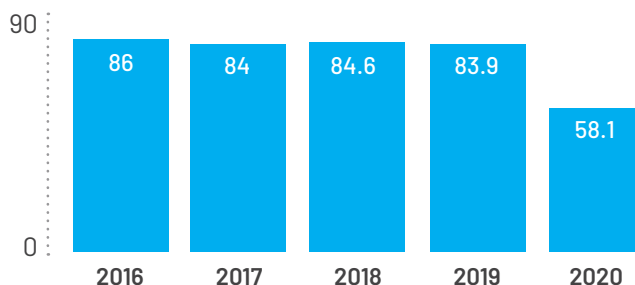
Overall, in 2020, we reduced our energy intensity, the amount of water we used and the amount of waste we generated, all because of the impact of COVID-19 restrictions on operations. As business activity normalizes and employees return to our locations, we expect an upward trend in our environmental metrics.

### WASTE GENERATION 1,000 TONS



Deferral was slightly below our goal of 85%

### WATER USE IN MILLION GALLONS



We met our goal of net-zero increase from prior year





# Employee well-being

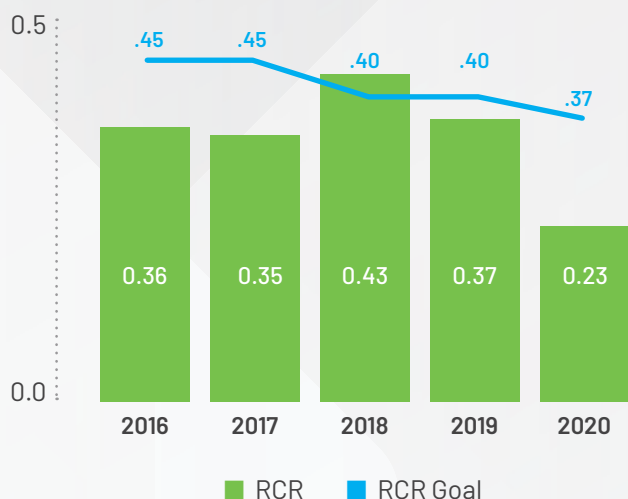
**Our top priority is to protect the safety and well-being of our employees. They are our most valuable resource and are at the core of who we are and what we do.**

**T**hroughout the year, our employees put in extraordinary effort caring for one another, our customers, and our communities. They did so while working under difficult conditions and facing challenges we could never have predicted. Whether from a makeshift desk in their kitchen or from a socially distanced workspace on the plant floor, their work made it possible for our customers to supply the products needed during the global pandemic.

We've taken significant steps to keep our employees healthy and safe. Starting in the pandemic's earliest days, we convened our existing global and regional crisis management response teams to closely monitor developments and respond quickly. We followed U.S. Center for Disease Control (CDC) and World Health Organization (WHO) guidelines, as well as a myriad of evolving regional and local mandates around the world. We rapidly transformed how, when, and where we worked without compromising employee safety or productivity. We restricted business travel and shifted approximately 70% of our employees to work from home, while our manufacturing and engineering facilities and our distribution, solution and service centers remained open with onsite teams.

## SAFETY PERFORMANCE 5-YEAR TREND

### PER 100 EMPLOYEES



## BEST-IN-CLASS SAFETY

### 0.23 RECORDABLE CASE RATE PER 100 EMPLOYEES

Best-in-class global safety performance as compared to industry peers for 10+ years. This high-level performance will remain as our goal for FY 2021.



Approximately 80% of our 2,200 field personnel continued to support customers at their locations, enabled by thorough risk assessment and additional PPE. For our 6,500 manufacturing associates, we separated shifts by adding extra time in between to limit employee contact and to provide ample time for enhanced cleaning. We screened employees' temperatures upon arrival, and we reconfigured workstations or installed physical barriers between workstations to ensure social distancing. We provided PPE including masks and shields, even recycling materials to produce some of the equipment ourselves in our Monterrey, Mexico, and Jundiai, Brazil, locations.

Manufacturing and distribution center support teams were also encouraged to work from home where possible. Some of our manufacturing locations required unique measures. For example, when public transportation was shut down in the Dominican Republic, we hired a fleet of vans to pick up and drop off employees at their homes each workday.

We relaxed attendance policies and offered time-off options for at-risk employees and others not comfortable coming to work, as well as those with personal demands such as childcare during school closings. Additionally, we established two new benefits, [Enhanced Family Supports](#) and [Back-up Care](#), for benefits-eligible U.S. employees serving as caregivers for children and other dependents while working.

To keep all our employees updated and connected, we created a single source of information available through a fully searchable internal website. The site includes return to the workplace safety guidance, the latest government notices, videos, infographics, frequently asked questions in multiple languages, a library of letters for use with suppliers, partners, customers, and others, and even an educational resource hub for employees with remote learners at home. For our managers, we held live interactive webinars with between 800 and 1,200 globally participating each week. We sent a biweekly e-newsletter summarizing new resources and issued email alerts when immediate action was needed.

Most of our employees continue to work from home and we continue most of the protocols previously described. As we develop and execute return to the workplace plans, we closely follow guidance from public health agencies and government authorities and seek input from our global and regional business and functional leaders. Additionally, we require all employees to complete our return to the workplace web-based training, so they understand our safety requirements and know what to expect when they return to our workplaces.

Despite the stress of working through a global pandemic and the many process changes, we achieved record-setting safety performance (Recordable Case Rate) in our manufacturing operations. Companywide, we continued to work safer than our industry peers with another year of best-in-class global safety performance.

## 19 sites

transitioning to new ISO 45001  
Safety Management System  
certification from OHSAS 18001

## Safety honors

THE MINISTRY OF MANPOWER AND WORKPLACE  
Safety and Health Council honored our Asia Pacific Business Center for the ninth time with an award. This is Singapore's award for upholding the highest standard performance in safety and health. •



To foster continuous improvement, we conducted 39 internal EHS (Environment, Health and Safety) compliance audits as well as hosted third party assessments. While we began 2020 with onsite audits, we transitioned to virtual assessments for both internal and external audits.

We successfully navigated interactions with health authorities from several countries including the U.S., Switzerland, United Kingdom, Poland, China, Singapore, and most notably, Mexico, around pandemic precaution requirements, enabling our manufacturing facilities to continue operations. We received four citations and fines totaling less than \$500 from the U.S. Mine Safety & Health Administration for an administrative issue.

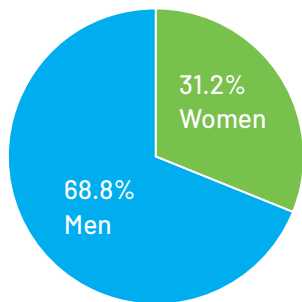
We remain laser-focused on employee safety and strive to support and empower our employees, wherever they are, to do their best work. •

# Diversity and inclusion

While COVID-19 impacted us all, it was especially trying for our employees who are Black, Latinx, Indigenous, and all people of color whose communities were hardest hit by the pandemic. That toll was further compounded by escalating acts of violence, racial injustice, and systemic racism.

## GLOBAL GENDER – FY20

BASED ON 22K+ EMPLOYEES



### PEOPLE MANAGERS

Women 24.5%      Men 75.5%

### ENGINEERS

Women 13.9%      Men 86.1%

### INDIVIDUAL CONTRIBUTORS

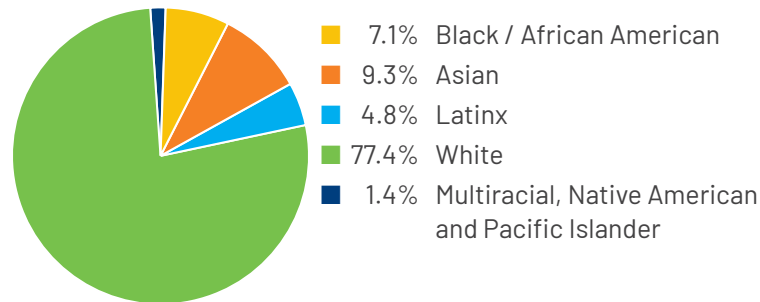
Women 36.9%      Men 63.1%

### MANUFACTURING ASSOCIATES

Women 47.5%      Men 52.5%

## U.S. RACE & ETHNICITY – FY20

BASED ON 8K U.S. EMPLOYEES



### PEOPLE MANAGERS

Black / African American	5.3%
Asian	7.7%
Latinx	4.8%
White	81.5%
Multiracial, Native American and Pacific Islander	0.8%

### ENGINEERS

Black / African American	4.0%
Asian	12.3%
Latinx	4.6%
White	77.8%
Multiracial, Native American and Pacific Islander	1.4%

### INDIVIDUAL CONTRIBUTORS

Black / African American	6.6%
Asian	5.6%
Latinx	5.7%
White	80.6%
Multiracial, Native American and Pacific Islander	1.5%

### MANUFACTURING ASSOCIATES

Black / African American	16.7%
Asian	14.2%
Latinx	3.2%
White	63.9%
Multiracial, Native American and Pacific Islander	2.0%



**W**e are emphatic in our belief that racism and violence have no place in our communities and as a company, we will not tolerate displays of hate and discrimination. Since the death of George Floyd in May, our Chairman and CEO, Blake Moret, has repeated this message to our employees and the public. As a Fortune 500 company, we seized the opportunity to lead by example, continue to do the hard work, and be a force for deep and lasting change.

On Juneteenth, our senior leaders and more than 3,500 employees participated in a panel discussion titled, *Reflections on Anti-Racism*. Additionally, J. Phillip Holloman, a member of our Board of Directors and retired president and chief operating officer of Cintas Corporation, and Ernest Nicolas, our senior vice president, Integrated Supply Chain, held an interactive discussion hosted by our Black Executive Leader Network for all Black employees.

We updated and expanded anti-racism resources on our internal website as well as added an extensive list on our public site. Across our organization's business segments and functions, our Inclusion Change Teams (ICTs) and Employee Resource Groups (ERGs) mobilized quickly to host and lead Courageous Conversations providing brave spaces to address issues raised by the continued social unrest.

First formed more than 10 years ago, our ICTs—which include more than 250 global members—focus on understanding and removing barriers to full inclusion that exist in our processes, procedures, and everyday actions. Two new ICTs formed in our Europe, Middle East, Africa, and Latin America regions this past year. We also trained 60 ICT members representing 10 countries to facilitate continued Understanding Unconscious Bias training for our people managers.

## Leadership and governance from an experienced, diverse and independent board

A BOARD DIVERSE IN EXPERIENCE, EXPERTISE, thought, and background leads our company. Our 11 board members, 10 of whom are independent, include three female and two African American directors. In late 2020, we welcomed our newest board member, William P. Gipson, a recently retired senior executive from The Procter & Gamble



Company. William, a respected leader with broad expertise driving business growth and product innovation, has also led one of the most admired global diversity and inclusion programs.

Good governance practices, including board refreshment and evaluation of director skills and attributes, help ensure our board stays aligned with company needs as our strategy evolves. Of our directors, five were added to the board during or after 2015, four are current or former CEOs, four have high-level technology experience, and five are considered financial experts. All have expertise in Environment, Social and Governance (ESG) matters and prioritize corporate governance and responsibility. •

## A perfect Corporate Equality Index score

FOR THE EIGHTH CONSECUTIVE YEAR, WE RECEIVED a perfect 100% score on the annual [Corporate Equality Index](#) (CEI). The Human Rights Campaign Foundation's CEI is the



national benchmarking survey on corporate policies, practices, and benefits related to LGBTQ workplace equality. •

# Society of Women Engineers honors

THE SOCIETY OF WOMEN ENGINEERS (SWE) recognized us with its first ever Diversity & Inclusion



Program Award. The world's largest organization advocating for women in engineering and technology honored our diversity and

inclusion efforts and our continued dedication to SWE's mission to demonstrate engineering as a rewarding pursuit for women of all backgrounds. Between 2008 and 2020, we have increased our representation of women engineers by 47% and women in technical sales roles by 52%. •

# Employee Resource Group earns top honors

THE ASSOCIATION of ERGs & Councils' Diversity Impact Awards honored



**Cultures Connected**

our Cultures Connected ERG as a Top 25 Employee Resource Group. The awards program recognizes outstanding achievements in ERGs, diversity councils, and other diversity, equity, and inclusion initiatives. Cultures Connected, one of our 13 ERGs, creates a sense of community between our ethnically and racially diverse field-based employees.

Our ERGs provide a global network of multi-cultural, multi-generational employees drawn together by characteristics they hold in common, such as ethnicity, gender, sexual orientation, age, and disability status. Overall, we have 57 ERG chapters across 20 countries with 6,000 members. We started two new chapters in 2020: ADVANCE Young Professionals in the Field, a U.S. field employee-based group, and a China-based chapter of RASWE (Rockwell Automation Supporting Women in Engineering). •

We first launched this type of training in 2017 as part of an in-person Conscious and Inclusive Leadership program reaching 2,100 managers. In 2019, we migrated the program to a virtual platform to make it accessible to all managers on an ongoing basis and trained an additional 1,200 people. We added a follow-up session in 2020 delivered by our ICT facilitators for managers who previously completed the training to further encourage dialogue and share best practices.

For more than a decade, we've worked to create a diverse and inclusive workplace where all employees can and want to do their best work and are comfortable bringing their whole selves to work. It's essential to innovation—a steady stream of new and fresh ideas from diverse teams, free of barriers and where everyone's opinion is valued.

But more importantly, diversity and inclusion are essential to everyday well-being and must be inspired by what's in our hearts, as well as our minds. We've made progress, but the work never ends and we can't do it alone. We need to drive greater change in our industry and a more inclusive and equitable experience in neighborhoods where our employees, and their families, live and work.

At our 2020 Automation Fair® At Home, one of the industry's largest educational gatherings, we led five Bold Conversations including Black Lives Matter in Corporate Spaces, Inclusive Workplaces in a Divisive World, and Combatting Microaggressions in the Workplace. More than 5,000 registrants tuned in to these forums live and they remain available for on demand viewing. Later in this report, you'll read more about how we're partnering in our communities and with programs to build and prepare the diverse workforce of tomorrow. •



## Employee honors



THE MANUFACTURING INSTITUTE'S STEP AHEAD Awards recognized Kristin Roth as a 2020 honoree. The awards celebrate women in science, technology, engineering, and production careers who exemplify leadership within their companies. Kristin is an accomplished engineer with a proven track record leading complex product developments across our global locations. She's also president of our African American Professional Network (AAPN) ERG. Through her AAPN leadership, Kristin has organized numerous mentoring activities to encourage students from underrepresented groups to pursue STEM related careers. •



THE SOCIETY OF HISPANIC PROFESSIONAL ENGINEERS (SHPE) Technical Achievement and Recognition (STAR) Awards honored Manuel Millan Rodriguez as one of six regional 2020 Professional Role Models. The awards recognize those in STEM who are changing lives through their community outreach, work, and research. Manuel, a senior field support engineer, has been an active member of SHPE and has volunteered for several years as a *FIRST*® Lego® League and Tech Challenge coach. He leads outreach efforts for our Latinx Professional Network ERG and serves as an Inclusion Change Team leader in our Minneapolis office where he hosted several Courageous Conversations this year. •

## New civic leadership program selects five Rockwell Automation employees



THE GREATER MILWAUKEE COMMITTEE SELECTED SEVERAL Rockwell Automation-nominated employees to participate in the first cohort of its new Forward 48 civic leadership program. All five are people of color, four of them Black women. The eight-week program features live, virtual instruction, and engagement with Milwaukee's business and community leaders. The program was developed to help retain the area's best and brightest emerging business leaders. Our cohort members were Shari Briggs (talent acquisition, Human Resources), Jesús Gonzalez (Legal), Sandra Kenly (sourcing, Integrated Supply Chain), Kristin Roth (Advanced Technology), and Danielle White (Legal). •

# Employee culture and engagement

Our culture is our “North Star” shaped by great employees who can and want to do their best work. It is foundational to our success and especially important during turbulent times.

**D**uring a year when we relied on our employees to do extraordinary things, we saw the power of a culture where there was empathy, understanding, and connection.

Deliberate and well thought out, evolving as needed, our culture is based on four tenets. We are strengthening our commitment to integrity, diversity, and inclusion. We are willing to compare ourselves to the best, increase the speed of decision making, and have a steady stream of fresh ideas. Together, our best is powerful and drives better outcomes for ourselves and our customers.

## OUR FOUR TENETS

- Strengthen our commitment to integrity, diversity, and inclusion.
- Compare ourselves to the best.
- Increase the speed of decision making.
- Have a steady stream of fresh ideas.



8 of 10

EMPLOYEES  
recommend  
Rockwell Automation  
as a great place to work

We give our best when we know what we do makes a difference, when we feel valued, and when we feel seen and heard. We seek out employee perspectives in various ways including our annual Global Voices engagement survey. In 2020, a record number of more than 20,400 employees and contractors shared their feedback highlighting our strengths and how to further drive engagement.

With this input, we made recognition a singular companywide focus. Making sure people feel appreciated is an important sentiment of recognition. It's something we could all do regardless of role or responsibility. With more than 23,500 employees, we had more than 23,500 ways to show appreciation.

Work transformed far beyond what we thought possible last year, a new normal that changed how we led, collaborated, inspired, and recognized each other. Intentional acts of listening were critical. Saying hello and checking in with a simple how are you or thank you, went a long way. Time spent with a colleague could be just as effective as a formal recognition award.

On a broader scale, we featured our manufacturing and distribution associates in a corporate-wide You Make It recognition campaign. Each week, we shared stories and photos from around the world that showed how these employees made it possible for us to respond to essential pandemic needs.

We modernized our Bravo recognition technology platform to make it easier for employees from anywhere and any device to acknowledge and celebrate colleagues or teams. We added functionality to remind managers it's time to say thank you or provide some other type of recognition if more than 30 days passed since last doing so.

Our success this past year depended on all of us. Staying connected. In this together. Celebrating milestones both big and small. •



# 76

## EMPLOYEE ENGAGEMENT INDEX SCORE

Above the global norm of 72

**HIGHEST SCORING EMPLOYEE ENGAGEMENT INDEX STRENGTHS:**

*Employee physical and emotional safety*



# 75

## GLOBAL INCLUSION INDEX SCORE

Above the global norm of 72

*Assesses perceptions on culture, respect, and inclusion*



# Ethics and integrity

As we faced unprecedented pressures and challenges in and outside of work, our commitment to ethics and integrity was a source of strength and stability.

Whether working remotely isolated from colleagues, or onsite at our plants or customer locations meeting essential needs, we were steadfast in our dedication to do the right thing, to make the right decisions, every day.

For us, ethics is everyone's responsibility, and our Code of Conduct is our guide. It helps us identify problems before they arise and provides support when we aren't sure what to do. While our Code of Conduct has served us well, the world has certainly changed, and new issues have emerged.



## Annual global integrity champion demonstrates integrity under pressure

EACH YEAR WE HONOR COLLEAGUES WHOSE ACTIONS AND DECISIONS reflect our commitment to ethics and integrity. Olivia Martínez, our 2020 Global Integrity Champion, demonstrated that commitment, as well as courage and transparency, on multiple occasions this past year in her role as EHS regional manager for our Latin America region. As the pandemic increased the number of facility inspections and audits, Olivia confronted several bribery attempts by government inspectors who demanded compliance with additional requirements without any legal basis or outside the scope of their authority. These demands often included threats of work site closures or monetary fines.

Demonstrating our company values in every situation, Olivia asked the right questions and confronted the unethical requests from these authorities following our Code of Conduct and processes to reject bribery. Olivia's decisions and actions were critical to business continuity and set an example of courage and integrity under pressure. •

# A World's Most Ethical Company

For the 12th time, Ethisphere recognized us as one of the [World's Most Ethical Companies](#). Ethisphere is a renowned



voice in defining and advancing the standards of ethical business practices.

"This honor acknowledges the purpose-driven leaders and employees at Rockwell

Automation who are working to advance corporate cultures defined by integrity and affirm those companies contributing to broader societal imperatives and the greater good," said Ethisphere Chief Executive Officer Timothy Erblich. •



## Expanded Ombuds program

### FROM TOP TO BOTTOM:

**Gary Ballesteros**  
Lead Corporate Ombuds, U.S.

**Paola Caballos**  
Regional Ombuds, Latin America

**Dawid Idzior**  
Regional Ombuds,  
Europe, Middle East, Africa

**Cathy Tingzhe Li**  
Regional Ombuds Asia Pacific



In late 2020, we refreshed our Code of Conduct to reflect today's business environment and reinforce our five commitments: commitments to integrity, to one another, to our customers and partners, to our company, and to the communities where we live and work. Our new Code of Conduct explains the responsibilities each of us has to act in ways that promote mutual trust and respect, recognize and address risks to our organization, and advance our business goals in the right way. It outlines the rules and expectations we must live up to, regardless of role, seniority, or location, so together we thrive as an organization.

We'll further introduce the Code of Conduct in 2021 during our annual real-world, scenario-based ethics training that all employees and contractors are required to complete. In 2020, our manufacturing associates participated in the training online for the first time and were among the nearly 10,000 colleagues who responded to our annual ethics survey—an increase of 6,000 respondents over the prior year. The findings validated that we believe our leaders, managers, and co-workers act ethically. And our scores were significantly higher than global benchmarks. The results also noted our strong "speak up" mindset with most respondents comfortable raising ethics or compliance issues or reporting wrongdoing.

Our Ombuds program is a trusted and valued resource for employees and others to voice concerns, seek advice, and report allegations of wrong-doing and possible Code of Conduct violations. Formed in 1985, we were one of the first U.S. companies to start such a program. In 2020, we expanded and added regional Ombuds to further globalize the program and give all employees more opportunity to connect with the Ombuds in various languages and time zones.

Individuals can contact the Ombuds anonymously and with safeguards against any retaliation. Our low percentage of anonymous contacts at 26% reflects employees trust our system and team and is a much lower percentage than the 59% of anonymous contacts reported to [Navex EthicsPoint](#), a global provider of ethics hotline services to whom we benchmark ourselves to measure performance.

For 2020, our Ombuds received 433 contacts consistent with the range of between 400 and 500 contacts annually since 2016. We received contacts from all over the world with 47% from outside North America, a result of our efforts to increase awareness of the Ombuds as a global resource. Among Navex's global customers, only 20% of reported contacts were from outside North America. •



# Responsible supply chain

Our global supply chain is a necessary conduit to drive the culture and change needed for a more sustainable and productive world.

**W**e strive to partner with market-leading suppliers that share our vision and core values. We expect all our suppliers to follow the highest standards for ethics and compliance to which we hold ourselves accountable.

As we work together to manage the pandemic's global impact and move beyond it, transparency has never been more important. A willing, agile, and flexible supply chain is critical to ensuring the resiliency and continuity our customers count on. Whether manufacturing parts differently or moving production to different locations, our suppliers rallied to the effort in 2020 while helping us minimize impacts on our own plants and operations. They further supported us as we managed uncertainty and fluctuating demand.



Despite the challenges, we continued to grow and seek new relationships with a diverse supply base. In fiscal year 2020, we spent \$255 million with diverse suppliers including small, veteran, minority, women, and LGBTQ-owned businesses. Of our 2020 diverse spend, \$65 million was with Minority and Women-owned Business Enterprises.

Through our supplier diversity strategy of Acquire, Grow and Expand, we increased our spend with World Wide Technology (WWT), an African American-owned global provider. We expect to spend more than \$20 million with WWT in 2021, up from \$3 million in 2016. We also marked the third year of our relationship with the Populus Group, a Latino and veteran-owned contract labor firm with which we've had an annual spend of about \$35 million. Looking ahead we're excited to start new relationships with Diversified Supply, an African American-owned maintenance, repair and operations (MRO) business, and Magno, a Latino-owned logistics firm.

To help us further grow and build long lasting relationships with diverse companies, we support and work closely with several nonprofits including the Women's Business Enterprise National Council, National Gay & Lesbian Chamber of Commerce, the Ohio Minority Supplier Development Council, and the North Central Minority Supplier Development Council. •

# A growing relationship with World Wide Technology

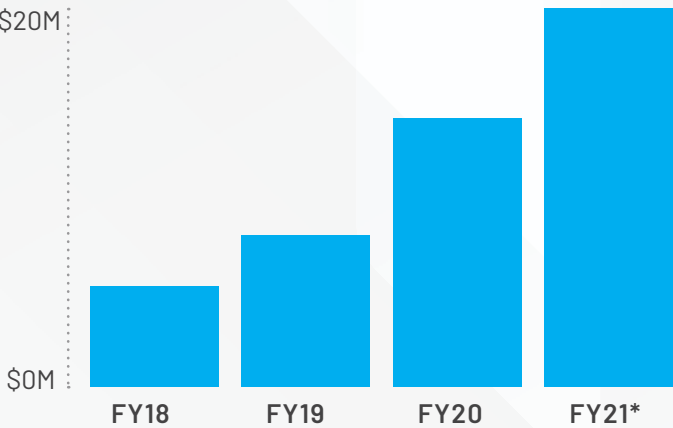
WORLD WIDE TECHNOLOGY (WWT) IS AN AWARD-WINNING global supplier that provides digital strategy, innovative technology, and supply chain solutions. The African American-owned firm employs more than 6,000 people and has made Fortune's Best 100 Companies to Work For list nine times, including in 2020. Additionally, Great Place to Work named WWT to its 2020 Best Workplaces in Technology. We've worked with WWT since 2016 and each year since we have increased the amount we spend with the firm.

"WWT is honored to be a part of Rockwell Automation's ecosystem of suppliers and to stand in partnership in



advancing the impact of supplier diversity," said WWT Chairman David L. Steward, who founded the business in 1990. "We share Rockwell Automation's commitment to supplier diversity and contributing to economic equality." •

## WORLD WIDE TECHNOLOGY SPEND



\*Forecast

# SUSTAINABLE COMMUNITIES



## The challenges of 2020—

a global pandemic, racial injustice, social unrest—brought us even closer together as a company, strengthening our commitment to social responsibility. Our relationships and connections have always been a part of who we are, but even more so as colleagues, neighbors, and entire communities needed care and support. Whether as individual volunteers or with our philanthropic partners, we were steadfast in our response and actions.

## Philanthropy

WE CARE FOR THE COMMUNITIES where we live and work and support nonprofits and programs that promote STEM education, equity and inclusion, talent engagement, and disaster relief. •



- **56%**  
STEM Education
- **29%**  
Equity & Inclusion
- **13%**  
Talent Engagement
- **2%**  
Disaster Relief & Recovery

# COVID-19 support

**A**s the pandemic put lives, livelihoods, and learning at risk, we issued all our philanthropic grants early and unrestricted in the spring to help nonprofits meet urgent needs. Some faced unprecedented pressures from loss of revenue as doors closed. Others became essential as COVID-19 disproportionately affected racial and ethnic minorities, and the inequities of a digital divide widened even further.

We contributed \$200,000 to global, national, and local pandemic response efforts. We also joined with other members of the [Business Roundtable](#), an association of U.S. CEOs, and donated \$100,000 to Project HOPE's efforts to purchase and distribute more than 3.5 million pieces of PPE in 11 priority states. In China, our colleagues donated nearly \$30,000 to purchase 10 tons of disinfectant, 2 tons of medical alcohol, 200,000 pairs of medical gloves, 1,000 protective hoods, and 200 pairs of goggles, along with surgical masks and dressings for hospitals in the Hubei Province and Beijing.

Locally, in our Wisconsin headquarters community, we contributed \$15,000 to the MMAC (Metropolitan Milwaukee Chamber of Commerce) Community Fund to produce reusable, medical grade N95-style respirator masks for area healthcare workers and first responders. We donated \$50,000 to an Urgent Needs Fund established by United Way of Greater Milwaukee & Waukesha County to assist nonprofits in meeting basic needs and essential services. These included PPE supply for medical professionals, and keeping emergency shelters open 24/7, local food pantries stocked, diaper delivery on schedule, and much more. We also sponsored the assembly and distribution of Volunteer Safety Kits containing essential supplies to 20 local nonprofit agencies. •



# Racial justice

The heightened awareness of racial injustice that impacted our Black colleagues and communities throughout the year deepened our passion to remove barriers caused by systemic racism.

One of our long-standing community partners, YWCA of Southeastern Wisconsin, has been a leader in promoting racial justice for decades with a bold mission of “eliminating racism, empowering women, and promoting peace, justice, freedom, and dignity for all.”

eliminating racism  
empowering women  
**ywca**  
Southeast Wisconsin

The demand for the YWCA’s transformational racial justice programming rose exponentially. To help meet this need, we significantly increased our long-standing support with a \$25,000 grant. This critical programming educates and focuses on the advocacy and action we must take to achieve meaningful change and create an environment where Black, Latinx, Indigenous, and all people of color can thrive. Our grant builds on a past decade of partnership. •

## MLK Jr. Day of Service

THE 2020 MARTIN LUTHER KING JR. HOLIDAY marked the 25th anniversary of the Day of Service that celebrates the civil rights leader’s life and legacy. Our employees were among the hundreds of volunteers who honored Dr. King’s legacy as a teacher and unifier with a beautification project at a Milwaukee Public School. Volunteers painted murals and inspirational quotes as part of the largest Day of Service event in Wisconsin. •



# Digital divide and pivot to remote learning

To address the digital divide that left students, families, and schools without remote learning technology during the pandemic, we supported the Milwaukee Public Schools (MPS) #ConnectMilwaukee campaign to fund technical support and training for staff and teachers. And, as a founding member of the Milwaukee Tech Hub Coalition, we helped provide 100 iPads to MPS middle school students.

According to the [MIND Research Institute/ST Math](#), one of our strategic STEM partners, COVID-related school closures could lead students to fall anywhere from 6 to 12 months behind academically. To help address this learning loss, ST Math offered a variety of free, web-based resources to families. Additionally, we provided 500 units of the *South of the Sahara* MathMINDs board game free to families served by the Boys and Girls Clubs of Greater Milwaukee (BGCGM). The game, which we co-developed, combines math, history, and literacy in a highly interactive experience.

Our Global STEM Ambassador launched the *It's Not Magic, It's Science* video series featuring at-home science experiments as entertaining as they are educational. He designed each experiment to appeal to kids of all ages and with equity and access in mind so most experiments can be conducted with inexpensive materials typically found at home. Each episode takes students on a magical experiment from explanation to exploration to increase STEM excitement and awareness.



We played a leading role in helping global STEM nonprofit *FIRST*® kickoff and celebrate its 2020-2021 season. *FIRST*'s after-school programming inspires innovation and helps young people build a better future. Project-based, hands-on learning introduces pre-K through 12 students to STEM in an inclusive, creative, and collaborative environment. *FIRST* combines the rigor of STEM learning with the fun and excitement of traditional sports.

The nonprofit's 2020-2021 season, *FIRST GAMECHANGERS*, recognizes the athlete in each of us. The Instagram LIVE series, *Changing the Game* powered by Rockwell Automation, features interviews with athletes from the National Football League, IndyCar, Track & Field, and other sports leagues who share the role STEM plays in their sport. •

# Inspiring **future innovators and makers**

Expanding human possibility in our communities starts by preparing today the innovators and makers of tomorrow, particularly women and people of color who have been underrepresented in our industries.

**F**rom pre-K to experienced professionals, together with our employees we ignite a passion for lifelong learning and problem solving.

We've been a strategic *FIRST* partner since 2006 and have contributed nearly \$30 million in cash and product support. We've sponsored hundreds of *FIRST* Lego League and *FIRST* Robotics teams annually, supported by hundreds of our employee volunteers

Lining Huang, a senior product specialist in our Singapore office and a *FIRST* volunteer, believes "engineering and technology make a huge difference in our lives and therefore, inspiring the next generation of children to be involved in STEM is paramount." And volunteer Dina Nabutovsky, an engineer associate, said, "I feel it's a stereotype that you have to be identified as 'super smart' or 'a genius' to go into STEM fields. I want to encourage high school students, both girls and boys, that as long you are passionate, put the effort in and have willingness to learn, it's doable and there are plenty of opportunities for everyone."

## Engineers Week and Manufacturing Day showcase professions



IN FEBRUARY, WE HOSTED STUDENTS FOR HANDS-ON activities as part of Engineers Week, an annual series of events dedicated to ensuring a diverse workforce for the future by showcasing engineering and technology careers. We also hosted online security and software challenges.

For Manufacturing Day, an annual U.S. celebration of modern manufacturing on the first Friday in October, our Global STEM Ambassador led a virtual tour of our manufacturing locations and served as host of the National Association of Manufacturers flagship event in partnership with PTC. •

## NEW STEM SPACES FOSTER EQUITY AND ACCESS

We helped create new educational and recreational spaces designed to increase access to STEM opportunities and resources for students from all backgrounds. With a \$350,000 contribution, we sponsored the Rockwell Automation *FIRST* Robotics development zone at the new MSOE (Milwaukee School of Engineering) We Energies STEM Center. This space includes a 1,500-square-foot playing field where teams have ample room to test designs and practice for competitions.



We donated \$400,000 to the Boys and Girls Clubs to open three new spaces at the Don & Sallie Davis Club on Milwaukee's southside. The Makerspace is a hybrid classroom providing hands-on experience in all aspects of STEM. The Games Room has been upgraded to a digital recreation room rooted in STEM learning. Physically interactive video games reinvigorate the space to welcome and engage youth while keeping them physically active. And the Big Pals Room was transformed with contemporary furniture and filled with innovative STEM-based games and learning activities to inspire off-screen imaginative play and creativity. We have supported educational programming at BGCGM for decades. Our Chairman and CEO, Blake Moret, proudly serves on the BGCGM Board of Trustees. •

## Employee volunteer awards

EACH YEAR WE HONOR EMPLOYEES WHO EXEMPLIFY the best of the human spirit—serving others to create a better world. We recognize their service by donating \$5,000 to their charity of choice.

### HOMETOWN HERO AWARDS

*Recognizes those who dedicate their time to improving their immediate communities.*



#### **Cecilia Cristina Díaz**

MONTERREY, NUEVO LEÓN, MEXICO

Cecilia is an active member of several causes that support others and enhance lives in her community including Rock Your Care.



#### **Craig Hacche** CYPRESS, CALIFORNIA

Craig and his late wife Makena founded Answer Africa in 2006 to provide resources, including hundreds of thousands of mosquito nets, to reduce the spread of and ultimately eradicate Malaria. His latest project is to build a maternity center next to a new hospital near Makena's African hometown.

### ENGINEERING OUR FUTURE AWARDS

*Celebrates dedication and commitment to STEM education and building a pipeline of talented and skilled employees.*



#### **Kou Vang** RICHMOND, VIRGINIA

Through his volunteer participation with *FIRST*, Kou has dedicated countless hours to help address the inequities in STEM education for underrepresented students in Richmond.



#### **Viviana Romero de Perez**

MILWAUKEE, WISCONSIN

Viviana started the Milwaukee Chapter of the Society of Hispanic Engineers in 2020; it grew from six to more than 30 members in its first three months. Her goal as chapter president is to empower the next generation of Latinx talent in STEM in Milwaukee. •

# Global academic organization

Advances in automation and robotics have driven demand for new types of technology-intensive manufacturing skill sets. However, most academic institutions address only fundamental skills and are years behind in their ability to prepare and provide talent.

**A**s an industry leader, it's our responsibility to step forward with market leaders and institutional partners worldwide to invest in academic innovation, training, and education aligned with advanced manufacturers' needs. From talent creation to acquisition to development, we partner to create the diverse workforce of tomorrow.

Our Global Academic Organization brings our university partnerships, university relations, and early career recruitment efforts into a single team. We focus on building an inclusive pipeline of innovative thinkers and problem solvers prepared for careers that evolve as fast as technology itself. With our real-world applications and labs in high schools, technical colleges, and universities worldwide, we reach more than 30,000 students annually to promote digital transformation and expanding human possibility.



# Aaliyah Brown

## from High School Intern to Process Engineer

BY THE TIME AALIYAH BROWN WAS 10 YEARS OLD she knew she wanted to be an engineer. She saw engineers described as people who can make things work and make things better and she was hooked.

Aaliyah first joined us as a summer intern in 2011 while she attended Cleveland's MC2 STEM High School. In 2019, following her graduation from Cleveland State University with a Bachelor's of Science degree in electronic engineering technology, we hired her as a process engineer.

In addition to her day job, Aaliyah founded the nonprofit Build Sessions CLE, giving Cleveland-area students heading to college something she didn't have—a community of engineers who look like them, who could relate to the experience, and offer support.

"As long as we lack women and minorities in science and engineering, I am on a mission to make a way for them," said Aaliyah. "I will make the space. I will encourage young minds to chase after the possibilities and see themselves as people who can pursue technical careers." •



Connecting with underrepresented groups in our industry, including people of color, has always been a strategic priority for us. But this summer's tragic reminders of the need to address systemic racism and inequity brought a further sense of urgency to our work. In turn, we launched our "Mach3" project to accelerate our diversity pipeline by expanding our Advance Robotics and Automation Pathway to Graduation program to three Cleveland-area high schools. These schools, two of which are in the Cleveland Metropolitan School District and one in a first ring suburban district school, serve mostly African American students.

The program, which uses Rockwell Automation curriculum, technology, and equipment, will increase the pool of high school interns for us and other Ohio manufacturers and prepare students to graduate ready for entry-level technical positions, apprenticeships, and two or four-year colleges. We secured Cuyahoga Community College, Case Western University, Kent State University, and Cleveland State University as higher education pathways for Mach3 graduates. We also engaged the Ohio Manufacturers Association and the Cleveland/Cuyahoga County Workforce Development Board to help support this important effort. Mach3 builds on our success with similar programs at 40 Ohio and Michigan high schools.



In the higher education arena, we continued to add new technologies and equipment to our global network of more than 150 automation learning labs, launched new curriculum, and expanded our industry partnerships. Additionally, when the pandemic forced academic organizations to switch to remote learning, we provided our software and e-learning offerings at no cost to our technical college and university partners to allow students to continue pursuing their automation curriculum.

We are the founding member of the University of Wisconsin-Milwaukee's Connected Systems Institute (CSI), which opened in 2019 and is the state's first institute devoted to the industrial internet of things. Scholars and industry collaborate at the CSI to conduct advanced digital manufacturing research while providing hands-on learning for students and upskilling professionals. During the CSI's first year, students completed more than 600 study credits and nearly 400 individuals participated in workforce development events.



## UN PRME Innovation Challenge

THE UN PRME (PRINCIPLES FOR RESPONSIBLE Management Education) Innovation Challenge pairs innovative student teams from the world's most advanced business schools with industry leaders to develop sustainable business solutions. For the 2020 challenge, we were one of two global sponsors. We partnered with team Conscious Consulting, four students from Denmark's Copenhagen Business School in Frederiksberg.

The team used their ingenuity to solve a real-world business challenge for us. They found we could minimize our carbon footprint using virtual reality technologies to visit with customers and provide product demonstrations. They estimated their recommendations, which our global sales team has started to implement, would cut CO<sub>2</sub> emissions by reducing in-person meetings and by making in-person meetings more sustainable. With their strategies, we could reduce our in-person sales meetings by more than 85% and decrease CO<sub>2</sub> emissions by more than 80% per kilometer traveled. •

# Virtual internships and recruiting

WHEN THE PANDEMIC HIT NORTH AMERICA LAST spring, most of our summer 2020 interns had already accepted their internship offers. Cancelling the program wasn't an option. Where we could, we shifted to a virtual internship and created a new internship where onsite presence was required. To better support and mentor our interns, we reinforced the importance of the onboarding experience and strengthened manager training. Our intern engagement survey saw a four-point increase in its onboarding score. Almost 200 higher education students interned with us in the U.S. and Canada. More than one-third were women, and more than one-third identified as people of color. Typically, we hire about 50% of our interns for permanent positions.

The pandemic also meant we couldn't go onsite to college campuses to recruit new hires. But it was a challenge that created an exciting new opportunity to reach a much wider base of students directly using the Handshake early talent recruiting technology platform. We found we were just as effective in filling roles by starting with Handshake as we were with college visits. Further, the platform allows us to reach diverse student populations with dedicated email campaigns. We also held virtual career fairs. Given our initial success with Handshake, we'll continue to use it beyond the pandemic to expand our recruiting efforts. •

In fall 2020, we installed and commissioned the CSI's first test bed, a vial filling station. Developed with several market leaders, this multi-robotic cell brings together the newest technologies available and truly demonstrates the future of manufacturing. Student operator and faculty process controls training are underway.

At Indiana's Purdue University, we partnered with Microsoft, PTC, Endress + Hauser, Kirby Risk, Caterpillar, Fortinet, and FANUC America to develop a new Bachelor's of Science degree in smart manufacturing. We also plan to open four new integrated manufacturing labs during the next three years where students will manufacture smart products using connected enterprise technologies.

In Ohio, at Kent State University where we helped develop the Mechatronics Engineering Technology degree and have an Advanced Mechatronics Lab, EPLAN joined us and FANUC as a new partner. The engineering software and service provider brings students additional opportunities to develop technical application competencies and earn industry certifications. Increasingly complex and automated manufacturing systems have driven the need for mechatronic engineers with a multi-disciplinary skillset in mechanical, electrical, computer, and control engineering. We hope to launch similar mechatronics programs at other key universities.

To further accelerate and equip a skilled workforce, we've taken the lead to develop industry apprenticeships and certifications. The U.S. Department of Labor awarded us, jointly with FANUC, Standards Recognized Entity status to create Industry Recognized Apprenticeship Programs for emerging occupations in integrated automation and robotic systems. The hands-on education will provide career pathway and upskill opportunities through training organizations, colleges and universities, and high schools. We'll design the curriculum to meet industry needs for talent with the skills to develop and implement advanced automation systems.

We also joined the Smart Automation Certification Alliance, a nonprofit whose mission is to develop and deploy modular Industry 4.0 certifications. Industry 4.0 is a term used to describe the next wave of the industrial revolution and refers to the digital transformation of manufacturing and production. Working with Alliance members, our collective vision is to provide highly affordable, accessible certifications that significantly increase the number of skilled individuals prepared for success in an Industry 4.0 world. •



# Academy of advanced manufacturing

While the pandemic has resulted in increased unemployment in certain industries, it has accelerated the need for employees with advanced manufacturing skills—a need that further exacerbates a worldwide technical skills shortage due to an aging workforce and rapid advances in technology and automation.

Since 2017, in partnership with ManpowerGroup, we've trained more than 200 U.S. military veterans and placed them in highly paid, highly skilled jobs at more than 50 manufacturers through our Academy of Advanced Manufacturing (AAM) program. About 40% of our AAM graduates are people of color.

The AAM is a 12-week program that rapidly upskills U.S. veterans so they are ready for hire by our customers as trained instrumentation, control, and automation technicians. Curriculum includes technical, communications, and professional life skills. With hands-on training on the same equipment found in our customers' advanced manufacturing facilities, coursework covers network infrastructure, industrial controller products and applications and visualization, and safety technologies—all with an emphasis on troubleshooting. Soft skills training includes teamwork, leadership, and project management.





Military veterans possess a strong work ethic, are mission-oriented, perform well under pressure, and are at ease in teams. Of the 200,000 service members who leave the military each year, nearly 30% have the technical background ideal for advanced manufacturing. Our recent AAM graduates have found jobs with industries facing huge pandemic demand for their products including personal care, paper and other household items, food and beverage, building materials, and semiconductor and electronics. We also hired several graduates for our new Milwaukee advanced automation production line.

Just as the pandemic affected our customers and employees, so did it affect our 2020 AAM cohorts. To ensure safety we canceled a newly underway Milwaukee class and transitioned a Cleveland class to remote learning after participants had finished six weeks of hands-on application. By partnering with our customers, AAM hires started their new jobs before completing the program. They worked through the summer and joined us again in August for their final two weeks of hands-on training, masked and socially distant consistent with our pandemic health and safety guidelines.

We resumed in-person learning in both Milwaukee and Cleveland for new cohorts in August. We've limited capacity to 50% for the remainder of the year to provide a safe, socially distanced class environment and to limit exposure, and look forward to increasing capacity in 2021 as conditions allow. •

## Vets Ready recognition

The Wisconsin Department of Workforce Development's Vets Ready Employer Initiative honored us with a Vets Ready Silver Level award for our commitment to hiring veterans, supporting our veteran workforce, and connecting with the veteran community. The Vets Ready Employer Initiative is a new program that highlights employers that go above and beyond to support those who serve. •



## SASB REFERENCE TABLE

Responses are for Fiscal Year ended September 2020

The following table provides Rockwell Automation information pertaining to the disclosure topics included in the Sustainability Accounting Standards Board (SASB) standard for the Electrical & Electronic Equipment Industry, which according to SASB, most closely aligns with our business. The information shared and

Topic	Activity Metric	Category	Unit of Measure	Code
<b>Energy Management</b>	(1) Total energy consumed as an aggregate figure	Quantitative	(1) Gigajoules (GJ)	RT-EE-130a.1
	(2) Percentage of energy consumed from grid energy		(2) Percentage (%)	
<b>Hazardous Waste Management</b>	(1) Amount of hazardous waste generated	Quantitative	(1) Metric tons	RT-RR-150a.1
	(2) Percentage of hazardous waste recycled		(2) Percentage (%)	
	(1) Number and aggregate quantity of reportable spills (2) Quantity recovered	Quantitative	(1) Number (2) Kilograms (Kg)	RT-EE-150a.2
<b>Product Safety</b>	(1) Number of recalls issued (2) Total units recalled	Quantitative	Number	RT-EE-2501.1
	Total amount of monetary losses as a result of legal proceedings associated with product safety	Quantitative	United States Dollar (USD)	RT-EE-250a.2
<b>Product Lifecycle Management</b>	Percentage of products by revenue that contain IEC 62474 declarable substances	Quantitative	Percentage (%)	RT-EE-410a.1
	Percentage of eligible products, by revenue, that meet ENERGY STAR® criteria	Quantitative	Percentage (%)	RE-EE-410a.2
	Revenue from renewable energy-related and energy efficiency related products	Quantitative	United States Dollar (USD)	RT-EE-410a.3
<b>Material Sourcing</b>	Description of the management of risk associated with the use of critical materials	Discussion	N/A	RT-EE-440a.1
<b>Business Ethics</b>	Description of policies and practices for prevention of: (1) corruption and bribery and (2) anti-competitive behavior	Discussion	N/A	RT-RR-510a.1
	Total amount of monetary losses as a result of legal proceedings associated with bribery or corruption	Quantitative	United States Dollar (USD)	RT-EE-510a.2
	Total amount of monetary losses as a result of legal proceedings associated with anti-competitive behavior regulations	Quantitative	United States Dollar (USD)	RT-EE-510a.3

cross-referenced in the table is based on the best available data at the time of publication relating to our fiscal year, which ended September 30, 2020. In some cases, data is estimated. Our statements with respect to current and future potential implications of sustainability topics are subject to numerous





important risks, uncertainties, assumptions, and other factors, some of which are beyond our control, which could cause our actual results and business implications to differ materially from those expressed or implied by the information in this table.

Response/Data/Reference, FY20	
(1) Total energy is calculated at 735,900 GJ. (2) 69% of total energy consumed is electrical power obtained from grid sources.	
(1) Total amount of hazardous waste generated is 460 metric tons. (2) Per definition, 7% of the hazardous waste is recycled. Only 11% of the hazardous waste is landfilled, with the remaining waste incinerated or receiving physical/chemical treatment.	
1) Experienced zero (zero events/zero kg) reportable spills. (2) Not applicable For Environmental Liabilities see (From 10(k), p. 11	
(1) Zero voluntary or involuntary recalls under the U.S. Consumer Product Safety Commission or U.S. Food and Drug Administration requirements, as Rockwell Automation products are not in scope for those regulations. We determine and communicate Product Notice for potential non-safety product quality or reliability concerns that could significantly impact customers and include nature of concern and steps to resolve the concern. In FY20, we had 13 occurrences of Product Notice communications. (2) None	
FY20, \$53,300 related to product liability claims.	
46% of products based on information provided by suppliers. Rockwell Automation manages the IEC 62474 declarable substances through our RoHS and REACH/SCIP programs. <a href="#">Product Environmental Compliance</a>	
Not applicable, Rockwell Automation products are not in scope for ENERGY STAR.	
Our entire portfolio of products and services is focused on improving productivity, sustainability, and worker safety. Per SASB definition of "renewable energy-related and energy efficiency related products," \$1.6 billion revenue.	
Rockwell Automation's products utilize a variety of critical materials found in most electronic equipment. We continually evaluate risk around critical materials such as Rare Earth Elements (REE) and management of commodities such as copper and silver. We work to balance costs and risks related to the changing market and supply. In all situations, we implement appropriate risk mitigation efforts to ensure availability of product. Accomplished through 1) our Crisis Risk Monitoring Program that alerts us to issues with our supply base as well as any geopolitical concerns, 2) unique stocking strategies for 'at risk' material, and 3) approving multiple sources for material whenever possible.	Rockwell Automation purchases critical material both directly for our production needs as well as through our assembly partners. When engaging with either type of supplier the Sourcing organization leverages Rockwell Automation Supplier Code of Conduct to set clear expectations related to conducting business, worker safety and environment/social responsibility. The Supplier Code of Conduct is standard in all our purchase agreements. • <a href="#">Rockwell Automation Supplier Code of Conduct</a>
Our Ethics and Compliance Program is designed consistent with best practice and regulatory guidance and is focused on promoting our culture of compliance, ensuring all employees conduct business with the highest standards of ethics and compliance, and implementing procedures to prevent and detect unlawful or unethical conduct. Key elements and aspects of this program include: • Governance: Established Ethics and Compliance organization, an Ombuds Office, and internal senior leadership committee provide governance. Ethics and Compliance team has direct reporting line to the Board of Directors. In FY20, we refreshed our Code of Conduct that along with the Partner Network Code of Conduct and Supplier Code of Conduct prohibits corrupt acts, bribery, and anticompetitive behavior. Global Anticorruption Policy applies to all employees and any companies that supply goods and services or develop, market, or buy and sell products or services on our behalf and prohibits corruption in all forms. • Risk: Established Compliance Review Boards in certain jurisdictions to monitor issues and identify and escalate risks, and a process pursuant to which we conduct periodic compliance risk assessment in each business unit of the company and geographic region where we do business	<ul style="list-style-type: none"> <li>• Training &amp; Communication: Annual ethics and compliance training that covers corruption, bribery, and anticompetitive behavior for all employees, as well as targeted training based on roles, geographic location, and other risk factors. Regular communication cadence from Ethics and Compliance team, leaders, and managers to employees regarding ethics and compliance, including conducting business in compliance with all laws and regulations.</li> <li>• Monitoring: Implemented risk-based mitigation programs such as our third-party due diligence system to evaluate, vet and train key partners and other third parties.</li> <li>• Reporting &amp; Investigation: Well-established Ombuds program that includes confidential hotline and other reporting mechanisms and robust investigation processes to identify and address potential misconduct.</li> <li>• Measuring Effectiveness: The control elements of our Ethics and Compliance Program are audited by both internal and external auditors.</li> </ul> • <a href="#">Rockwell Automation Code of Conduct</a> • <a href="#">Rockwell Automation Supplier Code of Conduct</a> • <a href="#">Rockwell Automation Partner Code of Conduct</a>
None, zero dollars	
None, zero dollars	



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