

2020

Global Reporting Initiative (GRI)



**Rockwell
Automation**

GRI Disclosure Number	GRI Disclosure Title	Category
102-1	Name of the organization	Rockwell Automation, Inc., About Us
102-2	Activities, brands, products, and services	2020 Form 10-K ; Business, page 2-4
102-3	Location of HQ	2020 Form 10-K ; Header
102-4	Location of Operations	2020 Form 10-K ; Geographic Information page 3
102-5	Ownership and legal form	2020 Form 10-K ; Header
102-6	Markets Served	2020 Form 10-K ; Geographic Information page 3, Business page 2-4
102-7	Scale of the organization	2020 Form 10-K ; Business page 2-4, Management's Discussion and Analysis of Financial Condition and Results of Operations page 20, Selected Financial Data page 16
102-8	Information on employees and other workers	2020 Form 10-K ; Management's Discussion and Analysis of Financial Condition and Results of Operations page 20 www.rockwellautomation.com ; Culture of Inclusion and Diversity In Fiscal 2020, our temporary workforce made up about 17% of our total workforce.
102-9	Supply chain	www.rockwellautomation.com ; Global Supply Chain and Sourcing 2020 Sustainability Report ; Responsible Supply Chain page 30, SASB Reference Table page 44
102-10	Significant changes to the organization and its supply chain	www.rockwellautomation.com ; Quarterly Reports, Earnings Press Release
102-12	External initiatives	2020 Sustainability Report ; 2020 At a Glance, page 2-3 www.rockwellautomation.com ; Awards and Achievements
102-13	Membership of association	2020 Sustainability Report ; 2020 At a Glance, page 2-3 www.rockwellautomation.com ; Awards and Achievements
102-14	Statement from senior decision maker	2020 Sustainability Report ; A Note from our CEO, page 1
102-15	Key impacts, risks, and other opportunities	2020 Form 10-K ; Risk Factors page 5 www.CDP.net ; Climate Change 2020
102-16	Values, principles, standards, and norms of behavior	Rockwell Automation Code of Conduct Global People Policy Anti-Corruption Global Policy Social Responsibility and Sustainability Policy Trade Global Policy Partner Network Code of Conduct

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102-17	Mechanisms for advice and concerns about ethics	Rockwell Automation Code of Conduct ; Problem Reporting and Resolution page 6, Contacting the Ombuds page 35
102-18	Governance structure	2020 Proxy Statement ; Election of Directors page 19 www.rockwellautomation.com ; Governance Documents
102-19	Delegating authority	2020 Proxy Statement ; Board's Role and Responsibilities page 9
102-20	Executive-level responsibility for economic, environmental, and social topics	2020 Proxy Statement ; Governance, page 8
102-21	Consulting stakeholders on economic, environmental, and social topics	2020 Proxy Statement ; Governance, page 8
102-22	Composition of the highest governance body and its committees	2020 Proxy Statement ; Summary of Board Composition, page 3
102-23	Chair of the highest governance body	2020 Form 10-K ; Information about our Executive Officers, page 12-13
102-24	Nominating and selecting the highest governance body	2020 Proxy Statement ; Election of Directors, page 19
102-25	Conflicts of interest	Rockwell Automation Code of Conduct 2020 Proxy Statement ; Board's role in Risk Oversight page 8-9, Related Person Transactions page 14
102-26	Role of highest governance body in setting purpose, values, and strategy	2020 Proxy Statement ; Board's Role and Responsibilities, page 9
102-27	Collective knowledge of highest governance body	2020 Proxy Statement ; Director Education, page 18
102-28	Evaluating the highest governance body's performance	2020 Proxy Statement ; Boards Processes, page 17
102-29	Identifying and managing economic, environmental, and social impacts	2020 Proxy Statement ; Board's Role and Responsibilities, page 9
102-30	Effectiveness of risk management processes	2020 Proxy Statement ; Board's Role and Responsibilities, page 9 and Committees of the Board, page 14

GRI Disclosure Number	GRI Disclosure Title	Category
102-31	Review of economic, environmental, and social topics	2020 Proxy Statement ; Committees of the Board, page 14
102-32	Highest governance body's role in sustainability reporting	2020 Proxy Statement ; Committees of the Board, page 14
102-33	Communicating critical concerns	2020 Proxy Statement ; Communications with the Board and Ombuds, page 11
102-35	Remuneration policies	2020 Proxy Statement ; Director Compensation, page 29 and Executive Compensation, page 32
102-36	Process for determining remuneration	2020 Proxy Statement ; Director Compensation, page 29 and Executive Compensation, page 32
102-37	Stakeholders' involvement in remuneration	2020 Proxy Statement ; Executive Compensation, page 32
102-40	List of stakeholder groups	Customers, employees, board of directors, investors, shareowners, distributors, suppliers, PartnerNetwork members, governments, industry groups, labor groups, media, academia, and communities
102-41	Collective bargaining agreements	25% of our employees are covered by collective bargaining agreements or trade union agreements (all outside of the United States)
102-42	Identifying and selecting stakeholders	Economic and/or intrinsic partnerships and level of communications
102-43	Approach to stakeholder engagement	Active communication to all stakeholder groups, for insights and for specific alignment topics (including Materiality Assessment). Where interest is shown, 1:1 engagement may occur.
102-44	Key topics and concerns raised	2020 Sustainability Report ; Materiality assessment and new sustainability strategy, page 4
102-46	Defining report content and topic boundaries	2020 Sustainability Report ; Materiality assessment and new sustainability strategy, page 4
102-47	List of material topics	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5
102-48	Restatements of information	Not applicable, none to date
102-49	Changes in reporting	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5

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102-50	Reporting period	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5
102-51	Date of most recent report	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5
102-52	Reporting cycle	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5
102-53	Contact point for questions regarding the report	Ms. Marcelline Pelzer, Director External Communications at mpelzer@rockwellautomation.com
102-54	Claims of reporting in accordance with the GRI Standards	This report has been prepared in accordance with the GRI Standards: Comprehensive option.
102-55	GRI content index	Our GRI Content Index can be viewed or printed in PDF form from Rockwell Automation's Sustainability Report website .
102-56	External assurance	External assurance is not provided for the Sustainability Report and many ESG topics but certain financial information included in the report has been audited. Financial audit reference 10-K, 2020 Form 10-K ; Report of Independent Registered Public Accounting Firm, page 93.
103-1	Explanation of the material topic and its Boundary	2020 Sustainability Report ; Our Sustainability Pillars & Priorities, page 5
103-2	The management approach and its components	www.rockwellautomation.com ; Rockwell Automation Environmental Policy 2020 Sustainability Report ; Environmental Performance, page 16
201-2	Financial implications and other risks and opportunities due to climate change	2020 Form 10-K ; Risk Factors, page 5
201-3	Defined benefit plan obligations and other retirement plans	2020 Form 10-K ; page 77-84, 2019 Form 11-K
205-1	Operations assessed for risks related to corruption	Rockwell Automation maintains robust due diligence processes for our own operations as well as third part intermediaries. Due diligence for third parties is system-based, ongoing, and specifically targets corruption-related risks. In addition, we performed an in-depth compliance risk assessment of our China operations this year. No significant risks related to corruption have been identified through the risk assessment.
205-2	Communication and training about anti-corruption policies and procedures	2020 Sustainability Report ; Ethics & Integrity, page 28-29 Rockwell Automation Code of Conduct
205-3	Confirmed incidents of corruption and actions taken	No confirmed incidents of corruption
206-1	Legal actions for anti-competitive behavior, anti-trust, and monopoly practices	No legal action with Rockwell Automation as the defendant

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301-3	Reclaimed products and their packaging materials	Rockwell Automation meets our producer responsibilities for regulated in scope products and packaging.
302-1	Energy consumption within the organization	2020 Sustainability Report , Environmental Performance, page 16 www.CDP.net ; Climate Change 2020 The data is collected directly from utility/source invoices. The data is provided by a 3rd party database.
302-3	Energy intensity	2020 Sustainability Report , Environmental Performance, page 16
302-4	Reduction of energy consumption	2020 Sustainability Report ; Environmental Performance, page 16 Energy reduction includes electricity, steam, natural gas, gasoline/petrol, diesel, and propane. Reduction based on gross sales, as the optimal baseline to normalize across the organization.
302-5	Reductions in energy requirements of products and services	2020 Sustainability Report ; SASB Reference Table, page 44
303-1	Interactions with water as a shared resource	www.CDP.net ; Rockwell Automation Water Security 2020 Report
303-2	Management of water discharge-related impacts	www.CDP.net ; Rockwell Automation Water Security 2020 Report
303-3	Water withdrawal	www.CDP.net ; Rockwell Automation Water Security 2020 Report
303-4	Water discharge	www.CDP.net ; Rockwell Automation Water Security 2020 Report
303-5	Water consumption	www.CDP.net ; Rockwell Automation Water Security 2020 Report
304-1	Operational sites owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas	Rockwell Automation has not destroyed or restored habitat areas.
304-2	Significant impacts of activities, products, and services on biodiversity	Rockwell Automation has not destroyed or restored habitat areas.
304-3	Habitats protected or restored	Rockwell Automation has not destroyed or restored habitat areas.

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304-4	IUCN Red List species and national conservation list species with habitats in areas affected by operations	Rockwell Automation does not operate in areas where species on the IUCN Red List would be affected.
305-1	Direct (Scope 1) GHG emissions	www.CDP.net ; Rockwell Automation Climate Change 2020 Report
305-2	Energy indirect (Scope 2) GHG emissions	www.CDP.net ; Rockwell Automation Climate Change 2020 Report
305-3	Other indirect (Scope 3) GHG emissions	We currently do not track Scope 3 emissions.
305-4	GHG emissions intensity	www.CDP.net ; Rockwell Automation Climate Change 2020 Report
305-5	Reduction of GHG emissions	www.CDP.net ; Rockwell Automation Climate Change 2020 Report
305-6	Emissions of ozone-depleting substances (ODS)	We do not import, export, or produce ODS materials.
305-7	Nitrogen oxides (NOX), sulfur oxides (SOX), and other significant air emissions	2020 Sustainability Report ; Environmental Performance, page 16 We provide this information as carbon dioxide equivalent.
306-1	Water discharge by quality and destination	2020 Sustainability Report ; Environmental Performance, page 16 www.CDP.net ; Rockwell Automation Water Security 2020 Report
306-2	Waste by type and disposal method	2020 Sustainability Report ; Environmental Performance, page 18 Chart 306-2 , GRI page 10
306-3	Significant spills	2020 Sustainability Report ; SASB Reference Table, page 44
306-4	Transport of hazardous waste	860,819 lbs. of hazardous waste was transported by licensed contractors to licensed disposal facilities. Rockwell Automation does not import, export, or treat hazardous waste. 0% of Rockwell Automation's hazardous waste was shipped internationally. Location specific definitions of hazardous and destinations of waste.
306-5	Water bodies affected by water discharges and/or runoff	www.CDP.net ; Rockwell Automation Water Security 2020 Report
307-1	Non-compliance with environmental laws and regulations	Rockwell Automation had no significant fines and/or sanctions, no major non-compliances, and no monetary fines in 2020.

GRI Disclosure Number	GRI Disclosure Title	Category
401-1	New employee hires and employee turnover	Table 401-1 , GRI page 11
401-2	Benefits provided to full-time employees that are not provided to temporary or part-time employees	Rockwell Automation prioritizes employee health and well-being. Employee assistance and work life benefits are provided to all global employees. Our comprehensive benefits include healthcare benefits, protection benefits, paid time off, and leave programs. Rockwell Automation offers plans and resources to help employees meet future savings goals through defined benefit and retirement savings plans. We offer flextime, remote work, and part-time arrangements whenever business conditions permit.
403-1	Occupational health and safety management system	2020 Sustainability Report ; Employee well-being, page 19
403-2	Hazard identification, risk assessment, and incident investigation	<p>Rockwell Automation maintains rigorous and mature corporate global Environment, Health and Safety (EHS) management systems that include: a corporate set of EHS policies and procedures, a common EHS program, including global EHS objectives and targets, as well as training resources for implementing EHS programs at all locations worldwide. This program ensures the identification and mitigation and control of EHS risks to employees as a key business principle. The objective of Rockwell Automation's global EHS program is to provide governance, oversight, and direction for managing EHS risks posed by our activities.</p> <p>We take a holistic approach ensuring a high standard of excellence across our operations. Rockwell Automation maintains a common certification for both ISO14001 and 45001. We maintain EHS objectives, programs, and targets at both local and corporate levels, to drive compliance to goals. We measure progress against identified key performance criteria, which include both leading and lagging indicators and EHS initiatives implemented during the year. We report this information to the EHS management team and senior leadership.</p> <p>An employee near miss and hazard reporting process is in place and tracked as a leading indicator for all locations.</p> <p>Rockwell Automation has an Ombuds program support our Code of Conduct where employees can voice concerns, even anonymously, for investigation and action. Employees can remove themselves from any unsafe or dangerous situation.</p> <p>An incident reporting process, including investigations, root cause analysis, and corrective action tracking is in place at all locations.</p>
403-3	Occupational health services	All employees have access to occupational health services, appropriate for the risks they may be exposed to at work, and they are informed of this access annually. These occupational health services may be either internal and/or external. The results of occupational health exposure monitoring are available only to the respective worker and the required EHS and occupational health staff. In rare cases of exposures above acceptable levels, managers and/or supervisors may help resolve an exposure problem, but they would not receive access to an individual's occupational health records. The use of information from occupational health records for any negative treatment of an employee would be a direct violation of our ethics policies . Key health issues for the business include stress, musculoskeletal/ergonomic issues, and electrical hazards. Rockwell Automation provides employees with a personal counseling phone service staffed by professional consultants who provide practical solutions, information, and support on life, health, family, work, and finances. This service includes access to a website covering these topics, including health-related information to encourage our employees to take care of themselves, keep fit, eat healthy, get adequate rest, and understand and cope with medical conditions.
403-4	Worker participation, consultation, and communication on occupational health and safety	Employees are actively engaged in health and safety through training, internal and external auditing, regular communications, and system performance. Employee communications include meetings, training events, and periodic presentation of health and safety topics. Special employee engagement events, such as Safety Week, occur at many locations. Work councils, where in place, are proactively engaged in the review of health and safety programs and advise on matters of work safety and accident prevention.
403-5	Worker training on occupational health and safety	2020 Sustainability Report ; Employee well-being; page 19
403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	<p>The health and safety of our people (including partners and visitors) is a top priority. We are committed to compliance to safety regulations, while meeting and exceeding customer expectations for our products and services. In addition, we maintain a comprehensive contractor safety process and handbook to communicate expectations for risk mitigation while conducting work at our locations.</p> <p>We offer one the broadest safety products and services portfolios in the industry, to help our customer achieve both safety and productivity goals in process and manufacturing applications. Safety Policy Safety Products 2020 Sustainability Report Employee well-being; page 19</p>

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403-8	Workers covered by an occupational health and safety management system	2020 Sustainability Report ; 2020 At a Glance, page 3 Over 8,000 employees at 19 locations are covered by the Safety Management Systems . All 19 locations are internally and externally audited.
403-9	Work-related injuries	2020 Sustainability Report ; 2020 At a Glance, page 3 Table 403-9, 403-10 , GRI page 11
403-10	Work-related ill health	2020 Sustainability Report ; 2020 At a Glance, page 3 Table 403-9, 403-10 , GRI page 11
404-3	Percentage of employees receiving regular performance and career development reviews	Rockwell Automation employees including manufacturing associates receive performance and career reviews annually.
405-1	Diversity of governance bodies and employees	2020 Sustainability Report ; 2020 At a Glance, page 3 rockwellautomation.com ; A Snapshot of Our People 2020 Proxy Statement ; Summary of Board Composition, page 3
407-1	Operations and suppliers in which the right to freedom of association and collective bargaining may be at risk	www.rockwellautomation.com ; Modern Slavery Policy Rockwell Automation Code of Conduct ; Human Rights, page 31
408-1	Operations and suppliers at significant risk for incidents of child labor	www.rockwellautomation.com ; Modern Slavery Policy Rockwell Automation Code of Conduct ; Human Rights, page 31
409-1	Operations and suppliers at significant risk for incidents of forced or compulsory labor	www.rockwellautomation.com ; Modern Slavery Policy Rockwell Automation Code of Conduct ; Human Rights, page 31
412-1	Operations that have been subject to human rights reviews or impact assessments	www.rockwellautomation.com ; Ethics and Compliance www.rockwellautomation.com ; Modern Slavery Policy
412-2	Employee training on human rights policies or procedures	Rockwell Automation Code of Conduct Social Responsibility and Sustainability Policy
412-3	Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening	Rockwell Automation Code of Conduct Social Responsibility and Sustainability Policy PartnerNetwork Code of Conduct
413-2	Operations with significant actual and potential negative impacts on local communities	2020 Sustainability Report ; SASB Reference Table, page 44

GRI Disclosure Number	GRI Disclosure Title	Category
416-1	Assessment of the health and safety impacts of product and service categories	www.rockwellautomation.com ; Technical Documentation Center
416-2	Incidents of non-compliance concerning the health and safety impacts of products and services	2020 Sustainability Report ; SASB Reference Table, page 44
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	<p>No complaints received regarding breaches of privacy during the reporting period</p> <p>No complaints received from outside parties</p> <p>No complaints from regulatory bodies</p> <p>Zero losses of customer data during the reporting period. For FY2020, we have not received formal complaints from customers, nor from government authorities, regarding actual or possible breaches of personal data of customer staff.</p>
419-1	Non-compliance with laws and regulations in the social and economic area	<p>Zero significant fines and non-monetary value of significant fines</p> <p>Rockwell Automation has not identified any significant non-compliances with regulations in ESG areas, nor have we been fined during the reporting period.</p>

306-2

	Hazardous Waste 2020 (lbs.)	Non-Hazardous Waste 2020 (lbs.)
Reuse	0	0
Recycle Reclamation	64,000	11,479,000
Composted	0	0
Recovery	0	0
Incineration	31,000	362,000
Deep Well Injection	0	0
Landfill	97,000	2,371,000
On-site storage	0	0
Physical/Chemical Treatment	668,000	176,000
Totals	860,000	14,388,000

401-1

FY2020	Female	Male
Region	Percent Representation	Percent Representation
Asia Pacific	32%	68%
Europe, Middle East & Africa	30%	70%
Latin America	44%	56%
North America	30%	70%
Global	35%	65%

403-9, 403-10





FY2020	All Employees
Fatalities	0 / 0.0
Recordable work-related incidents	56 / 0.23
Main types of work-related include	Struck or Injured By-11
	Ergonomics/Lifting-10
	Slip/Trip/Fall-7
	Vehicle Accidents-5
	Caught in/Under/Between-4
	Illness-4
Number of hours worked	49,013,505

Rates have been calculated based on 200,000 hours worked.

High-Consequence injury hazards are not tracked separately.

Focus programs include: Ergonomic WINS, Hand Safety Focus, Material Handling and Safe Electrical Work Practices.



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