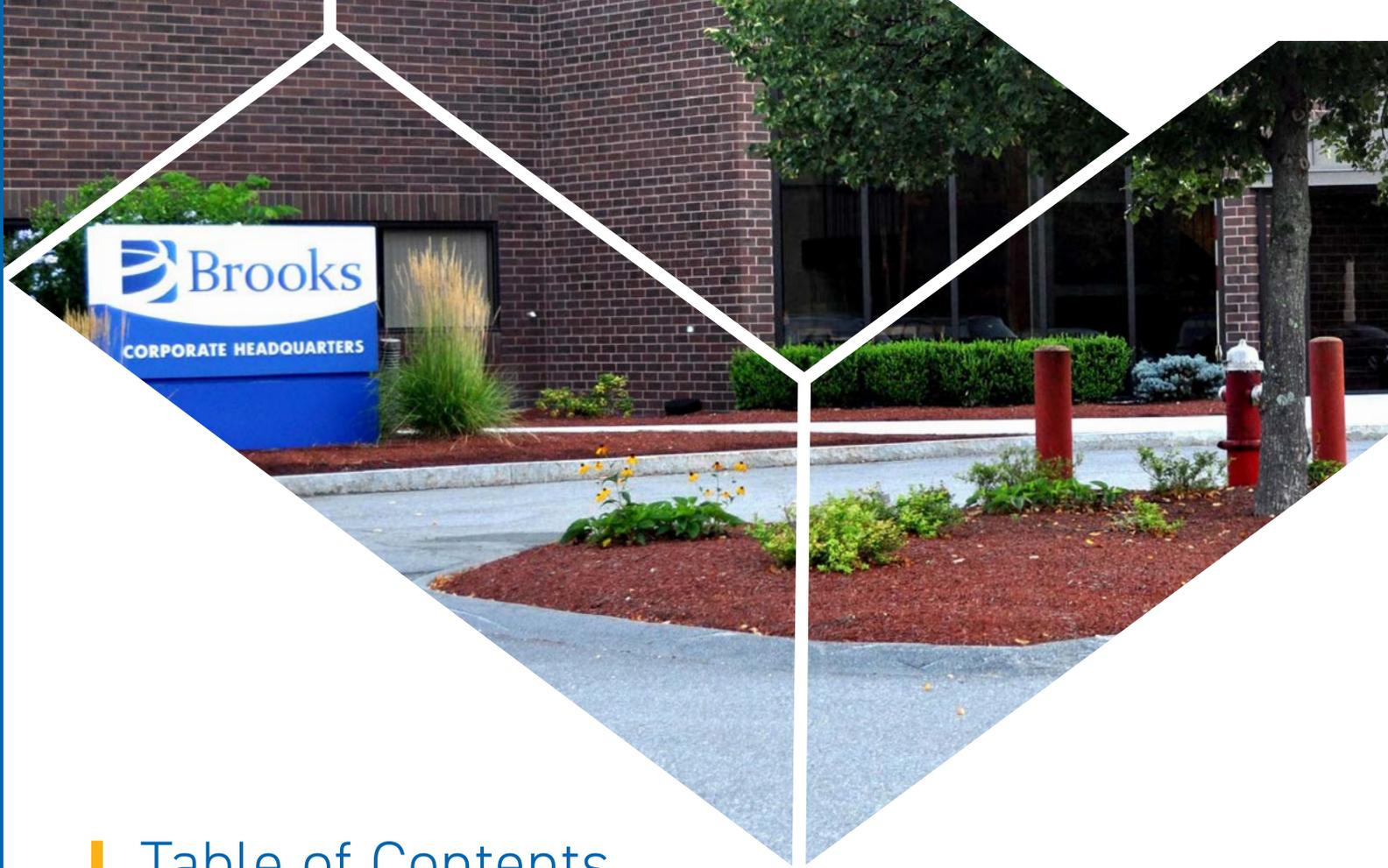




# Advancing Our Impact

2019/2020 CORPORATE SOCIAL  
RESPONSIBILITY REPORT



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# About This Report

Thank you for your interest in Brooks Automation's 2019/2020 Corporate Social Responsibility (CSR) report. We are pleased to share our commitments, progress to date and aspirations on topics that matter most to the company and our stakeholders.

At Brooks, CSR is rooted in our core values. This report marks our first time compiling our efforts into a single document. The reporting period covers the period from January 1, 2019 to December 31, 2019, except where noted. Note that this time frame is different than our most recently completed fiscal year, which ran from October 1, 2018 to September 30, 2019.

In preparing this report, we have referenced established sustainability and CSR reporting frameworks, ratings and rankings from respected organizations, including the Global Reporting Initiative (GRI) and Sustainability Accounting Standards Board (SASB).

We hope you enjoy learning more about our CSR commitments and progress, and we welcome your feedback at [csr@brooks.com](mailto:csr@brooks.com).

# A Message from Our CEO

This is Brooks Automation's first corporate social responsibility (CSR) report. As our business has grown and transformed significantly in recent years, our impact and reach have also been enhanced. "Doing the right thing," earning the trust of many of the most respected companies in the life sciences and semiconductor industries, and practicing our core values of Customer Focus, Achievement, Accountability, Teamwork, Employee Value and Integrity have long been part of our culture.

More recently, we have a greater appreciation for the value of formalizing and being more intentional with our CSR activities and communications – so that our efforts are directly linked to furthering our values, not just aligning with them.

Our approach is to focus on CSR activities that positively impact our people and our other stakeholders, most notably customers, communities and shareholders. At the grassroots level, Brooks teams across the world are involved in community service, education initiatives and environmental programs, and are committed to maximizing the employee value of working at Brooks. We also have the full support of our Board of Directors and senior leadership team to devote resources and attention to our CSR priorities. Our commitments to corporate responsibility build on our vital role as partner to our customers to contribute to good health, technological innovation and global prosperity.

Together, we are **Advancing Our Impact**.

To formalize our efforts and target our resources, in 2019, we identified four CSR pillars: Social Impact, Sustainability, Product Responsibility, and Governance and Ethics. Under each pillar are several priority areas, which are addressed throughout this report. To bring sustained focus to these initiatives, we also established a committee structure, which includes a cross-functional CSR Steering Committee and subject matter expert committees on Social Impact, Sustainability and Product Responsibility.

We are especially proud of the progress made by our Social Impact Committee in its first year – including spearheading the development of our Diversity Statement and helping to create our first grassroots employee resource group, Women's EDGE. All of our committees are actively working to develop additional programs, create goals and engage the overall organization in our CSR priorities.

I would be remiss if I did not acknowledge that the publication of this report comes at a time of significant underlying challenges due to the COVID-19 pandemic, the resulting economic decline and uncertainty, and the urgent need to address the racial injustice and economic inequality that exist within our society. Especially in these days of turmoil, I am reminded just how much positive power and energy exist inside of Brooks. The principles of social justice, racial balance and opportunities for all people



are in strong alignment with our core values. And though individual actions and voices are important, so too are the actions of companies. We intend to plant ourselves firmly in the middle of this challenge, and see it as a real opportunity to make Brooks a more diverse and inclusive company and improve the world around us.

The efforts of our people and our businesses in response to the COVID-19 pandemic demonstrate our ability to lean into major challenges. Our Life Sciences teams are providing tremendous service to those who are working on the detection, treatment, cure and ultimately a vaccine for prevention of new cases. This includes our GENEWIZ and Life Sciences Products businesses, which have been working around the clock to fast-track and fulfill all requests that are in support of research and development related to the COVID-19 virus. In addition, our Semiconductor Solutions business plays a pivotal role in enabling technology advancement, including solutions for the remote work environment, and improving lives across the globe.

In this time of crisis, we have demonstrated our ability to advance our impact to benefit our stakeholders and the world. The passion and energy to make a difference as responsible corporate citizens are inherent in our organization and will continue in more normal times as well. We hope you find our first CSR report insightful and we look forward to reporting on our progress in future reports.

A handwritten signature in black ink, appearing to read "Steve Schwartz". The signature is fluid and cursive.

**Steve Schwartz**  
President and CEO

# About Our Company

Brooks is a leading provider of life science sample-based solutions and semiconductor manufacturing solutions worldwide. Our Life Sciences business provides a full suite of reliable cold-chain sample management solutions and genomic services across areas such as drug development, clinical research and advanced cell therapies for the industry's top pharmaceutical, biotech, academic and healthcare institutions globally. Brooks Life Sciences' GENEWIZ division is a leading provider of DNA gene sequencing and gene synthesis services. With over 40 years as a partner to the semiconductor manufacturing industry, Brooks is a provider of industry-leading precision vacuum robotics, integrated automation systems and contamination control solutions to the world's leading semiconductor chip makers and equipment manufacturers.

Our corporate headquarters and significant research and development facilities are currently located in three buildings in Chelmsford, Massachusetts. We have operations in North America, Europe and Asia.

## BROOKS' CORE VALUES

Our success is grounded in our core values, which guide our actions and decision-making every day.

## Core Values

### Customer Focus

We employ a relentless focus on understanding and exceeding customer expectations.

### Achievement

We believe in challenging goals and continuous passion to achieve.

### Accountability

We accept responsibility for our decisions, actions and results.

### Teamwork

We believe in people working cohesively toward common goals, which enhances our ability to succeed.

### Employee Value

We believe each employee brings unique value and potential that can be developed to mutually enrich the individual and the organization.

### Integrity

We act with honesty and hold ourselves to the highest ethical standards, inspiring trust and confidence in Brooks.

## BROOKS BY THE NUMBERS\*

~**3,000**  
employees

**53**  
facilities  
globally

Serving customers in  
**50 countries**

Annual revenue of  
**\$781 million**

\* For fiscal year ended September 30, 2019



## OUR REPORTABLE SEGMENTS

### BROOKS LIFE SCIENCES

Our Brooks Life Sciences segment is a global leader of comprehensive sample management solutions and genomic services, providing pharmaceutical, biotechnology and academic customers with complete end-to-end “cold-chain of custody” and gene sequencing and synthesis solutions to advance scientific research and support drug development. Brooks Life Sciences operates as two business units: Life Sciences Services and Life Sciences Products.

In Life Sciences Services, we provide customers with off-site storage, transportation and laboratory services, as well as key genomic services, including gene sequencing on Sanger and Next-Generation platforms, and gene synthesis. Our workforce has deep scientific knowledge and utilizes our proprietary technologies and services, and is supported by a network of 13 global laboratories spanning the United States, China, Japan, Germany and the United Kingdom.

In Life Sciences Products, we are focused on providing customers with the highest level of sample quality, security, availability, intelligence and integrity throughout the life cycle

of samples. Our solutions include automated ultra-cold storage systems, consumables and instruments. We also provide informatics solutions that manage samples throughout our customers’ research and development workflows.

### BROOKS SEMICONDUCTOR SOLUTIONS GROUP

Brooks Semiconductor Solutions Group is a leader in wafer automation and contamination control solutions and services that are designed to improve throughput, yield, and cost of ownership of complex processing equipment, or tools, in semiconductor fabrication plants, or fabs. Our product offerings include vacuum and atmospheric robots, turnkey vacuum and atmospheric wafer handling systems, as well as wafer carrier clean and reticle storage systems. We also capture the complete life cycle of value through a global service network of expert application and field engineers who are located close to our customers. Our services include rapid refurbishment of robots to stringent specifications, upgrades to improve equipment productivity, and proactive monitoring and diagnostics for predictive risk management and improved up-time of the installed base.

# Our Approach to CSR

Brooks Automation has had a consistent, steady commitment to being a responsible corporate citizen. Over the years, we have been in the forefront of many programs for product responsibility, regulatory compliance, employee development, and support for education and our local communities. Most recently, in 2018, as our company's transformation took hold, we moved to further formalize and expand our efforts by developing a more integrated corporate social responsibility (CSR) program. Under this framework, Brooks is committed to focusing on the CSR and environmental, social and governance (ESG) issues that align with our core values and are most important to the company and our stakeholders.

Recognizing the need for a defined CSR structure, we established a cross-functional CSR Steering Committee, which is responsible for setting the CSR strategy, priorities

and activities. The Steering Committee includes subject matter experts from various parts of the company, including legal, human resources, compliance, facilities and operations. Read more about Brooks' CSR framework in the Governance and Ethics section of this report.

The Steering Committee oversees three pillars – Social Impact, Sustainability and Product Responsibility – which serve as the CSR focus areas for the company. Governance and Ethics is the foundation on which the pillars are built.

Brooks engaged a third-party consultant to conduct a review of the company's current CSR activities and emerging priorities. This assessment included meeting with key internal stakeholders as well as an evaluation of peer and industry best practices. This work also referenced CSR, sustainability and ESG frameworks, ratings and rankings from respected organizations such as the Global Reporting Initiative (GRI) and Sustainability Accounting Standards Board (SASB). From that total evaluation, Brooks has defined 10 priority topics, which are listed below and addressed throughout this report.

## Brooks' CSR Pillars and Priority Topics

### Social Impact

- Inclusion and Diversity
- Employee Value
- Community and Global Impact

### Sustainability

- Waste Management
- Energy Management

### Product Responsibility

- Environmental Compliance
- Responsible Sourcing
- Product Health, Safety and Quality

### Governance and Ethics

- Corporate Governance
- Ethics and Integrity



As we move forward on our CSR journey, we intend to regularly evaluate our CSR pillars and priority topics to ensure we are focused on the areas that are most important to our business and our stakeholders, and where we can have the greatest impact.



# Social Impact

Brooks is committed to making a positive impact on society, particularly in the regions where we are located and serve customers. We are focused on creating an environment where our employees feel supported, through our inclusion and diversity initiatives, training and development programs, and equitable compensation practices. This positions us to attract and retain high-quality talent. We also make meaningful contributions to our communities through community outreach, charitable giving and employee volunteerism programs.

We believe these efforts make Brooks a better employer and community partner, and we are committed to following a path of continuous improvement under the direction of our Board, senior leadership team and our cross-functional Social Impact Committee.

## In This Section

- [Inclusion and Diversity](#)
- [Employee Value](#)
- [Community and Global Impact](#)

# Inclusion and Diversity

We believe strongly in the power of inclusion – we thrive when all our employees feel welcome and engaged. We are committed to ensuring our employee base is representative of diverse backgrounds, perspectives and experiences.

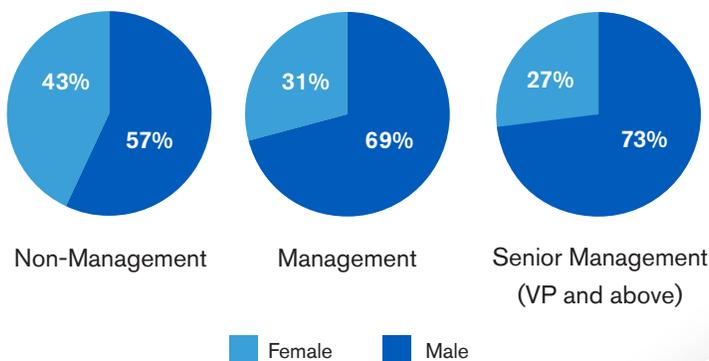
Our commitment to inclusion and diversity (I&D) starts at the top. Brooks leaders are expected to create a culture of inclusion and demonstrate the behaviors we wish to see in all employees. In addition, in late 2018, we formed our Social Impact Committee, with its top priority of raising awareness of, and championing, I&D efforts at Brooks. In its first full year, the Social Impact Committee led the development of the Brooks Diversity Statement. The team is finalizing a committee charter, goals and metrics that build upon the foundation established in 2019. The team is also planning training programs on topics such as unconscious bias, cultural sensitivity and leading multicultural teams.

Our [Diversity Statement](#) outlines our commitment to advance our impact through diversity. We are committed to attracting, developing and retaining diverse talent that is inclusive of every age, gender, gender identity, race, sexual orientation, physical capability, neurological difference, ethnicity, belief and perspective. Our goal is to develop cultural competency by seeking knowledge, increasing awareness, developing sensitivity, modeling respect and promoting inclusion and unity.



## Inclusion and Diversity Performance at a Glance

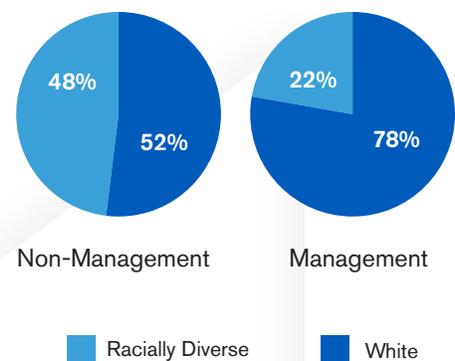
### Gender Diversity (global)



Non-Management: 2,418  
 Management (non-exec): 642  
 Senior Management: 26

**Total Employees:**  
**3,086**

### Racial Diversity\* (U.S. only)



Non-Management: 1,054  
 Management: 407

**Total U.S. Employees:**  
**1,461**

All data as of March 31, 2020

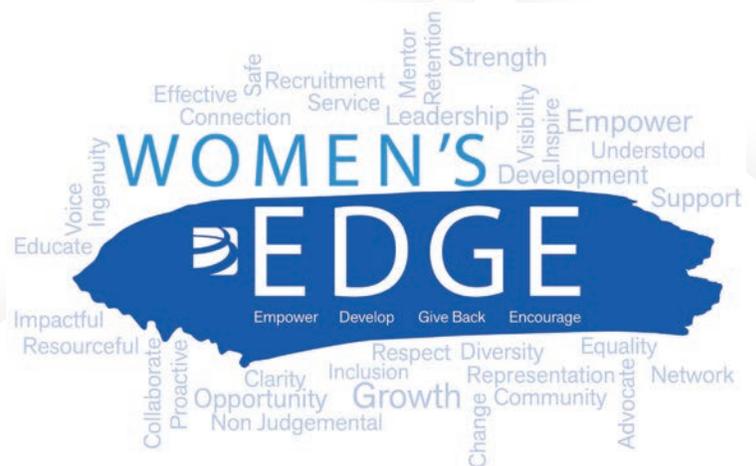
\* Brooks defines racially diverse as any employee of diverse racial background, including but not limited to Black or African American, American Indian, Asian, Hispanic or Latino, Native Hawaiian or two or more races.

## EMPOWERING WOMEN AT BROOKS

One of Brooks' most impactful diversity efforts of 2019 was the formation of Women's EDGE, a grassroots employee resource group (ERG) designed to build awareness about the value of gender diversity in the workplace and advocate for women in leadership roles. The ERG was piloted in Chelmsford, has held events quarterly, and is open to all women and their advocates throughout the organization. With the support of two executive sponsors, Women's EDGE is anchored by the intent to Empower, Develop, Give Back and Encourage women at Brooks. Subcommittees focus their actions in three areas: advocacy and awareness, professional development, and internal community and networking.

Women's EDGE works closely with the Social Impact Committee to leverage synergies and further their collective impact on inclusion and diversity within the organization. At the end of 2019, Women's EDGE had 25 committee members and the group is looking to expand its reach and impact in 2020. In January 2020, group members attended Massachusetts High Technology Council's Women in Leadership Roundtable, and also sponsored Brooks' participation in a Women in STEM research survey. Women's EDGE also sponsored financial, mentoring and professional development support for the [UMass Lowell School of Engineering RAMP program \(Research, Academics, and Mentoring Pathways\)](#). The program is designed as a "summer camp" to support incoming freshmen with activities aimed at encouraging young women in engineering.

We are also committed to attracting and developing highly qualified women throughout our organization. This includes providing extensive career and leadership development opportunities. In recent years, our diversity has also been enhanced by the integration of new employees following Life Sciences acquisitions. Dr. Amy Liao is the cofounder and former CEO of GENEWIZ, which Brooks acquired in late 2018. Dr. Liao first assumed the role of President of GENEWIZ, and in March 2020, she was promoted to President of Life Sciences Services.



# Employee Value

New ideas, new technologies and new ways of thinking are driving our future. Our customer-focused culture encourages employees to embrace innovation and challenge the status quo with novel thinking and collaborative work relationships. Our success is grounded in our core values of Customer Focus, Achievement, Accountability, Teamwork, Employee Value and Integrity.

We are committed to offering our employees challenging work, development opportunities and competitive compensation and benefits. We seek to attract innovative thinkers who are ready to make an impact in our high-performing organization, and can benefit from our varied programs to achieve an appropriate work/life balance.

## LIFE AT BROOKS

With more than 3,000 employees worldwide, we have developed a culture where achievement and merit are recognized and celebrated, both in team and individual circumstances. We believe in the power of our collective differences.

We strive to offer a workplace where employees take pride in their work, support each other and work together toward common goals. We believe when our employees feel connected to Brooks and our core values, we all achieve success. On a semiannual basis, these achievements are recognized at the company's global all-hands meeting with the presentation of Core Value and Key Strategy awards to individuals and teams whose collective results embody our performance- and team-based culture.



## **Employee Benefits**

While specific compensation and benefits vary globally and are based on regional practices, we strive to offer market-based, competitive compensation and benefits in order to attract and retain great talent across our businesses. We focus on providing benefits that support our employees' health and wellness, educational endeavors and financial stability. Notable offerings include:

- Student loan repayment assistance
- Financial wellness programs
- Commuting assistance programs
- Generous tuition refund programs
- Substantial health savings account company contribution
- Mortgage loan assistance (China)
- Retirement plan counseling (U.K.)
- Flexible leave program for salaried employees



## **TALENT MANAGEMENT**

To help us drive impact, we strive to attract talent that knows our industry and markets, or has a strong inclination for learning and new challenges. We reward our employees' efforts by supporting their development into strong leaders that advance our organization forward. We are committed to providing our people with the right training and opportunities to aid in their long-term career success at Brooks.

### ***Training and Development***

Training at Brooks utilizes both formal and informal methods. Our learning culture is built on: formal curriculums, communities of practice, peer-to-peer learning, experiential development, support tools and ongoing assessment. We listen to our employees to better understand their training and development needs, and ensure our offerings cater to both technical learning and leadership development. We offer a generous tuition reimbursement program that encourages employees to pursue undergraduate and graduate degrees in fields associated with their current or aspirational positions. In 2019, over 25 employees were enrolled in this benefit with 45% being female.

Through the Brooks Learning Management System, our intranet and other online resources, our employees have access to on-demand training, in addition to career development and planning tools. This enables our employees to meet Brooks' standard training requirements and personalize their learning and career goals.

# Employee Engagement Following Acquisitions

Acquisitions have been an important part of our growth strategy, which means we must have consistent, reliable practices and tools for welcoming new employees to the Brooks family. We pride ourselves on our ability to welcome new organizations and cultures and help new employees become comfortable at Brooks. In M&A situations, our talent goals are to:

- Seek out opportunities with companies whose core values align with ours;
- Respect the value that acquired companies' values and culture can bring to our organization; and
- Use our core values to unite our global workforce under the Brooks framework.

## Management and Leadership Development

Through the Brooks University for Individual Learning and Development (BUILD) program, we are continually developing our current and future leaders' management and leadership competencies. We offer three levels of programming:

- **Leadership Capability** - focused on building skills for emerging leaders;
- **Leadership Excellence** - reinforcing our People Management Competencies (which are the expectations of managers at all levels): Hiring & Staffing; Collaboration; Communication to Inspire and Empower; Performance Management; and People Development.
- **Executive Leadership** - supporting Organizational Leadership Competencies (which we expect of people leading a function, business, product, region or country): Builds Accountable & Collaborative Culture; Leads with Strategic Agility & Customer Focus; Navigates Change; Develops Talent Capability; and Drives Innovation. Executive development includes an Executive Certificate earned from the Massachusetts Institute of Technology (MIT) Sloan School of Business. Eleven executives have completed the program, while many others are currently enrolled.

## Attracting Top, Early-in-Career Talent to Brooks

Identifying the right talent for our organization, those who will grow with us, is essential. In an increasingly competitive environment, we actively seek high-quality, early-in-career technical and scientific talent that can make an impact immediately and grow into larger roles over time. We offer a highly competitive rotational program designed to identify, hire and retain talent from some of the best universities specializing in science and engineering, including MIT, Carnegie Mellon University, Worcester Polytechnic Institute, Northwestern University, Purdue University, Columbia University, University of Notre Dame, University of Rhode Island and UMass Lowell.

Each year since 2016, we have hired rotational engineers across our mechanical, electrical and software engineering functions. For the first 18 months of their employment with the company, our rotational engineers spend six-month periods rotating through various organizations across our Semiconductor and Life Sciences segments. Following completion of the program, the rotational engineers are assigned functional positions that align with their interests, skill sets and business needs. Since the program's inception, 88% of the participants remain employed by Brooks; they contribute business results and cultural vibrancy. In 2020, we will have five new graduates joining us as part of the rotational program.

### EXECUTIVE LEADERSHIP

Fosters successful navigation of today's challenges and tomorrow's trends

### LEADERSHIP EXCELLENCE

Leading At Brooks Curriculum reinforces core leadership principles and behaviors

### LEADERSHIP CAPABILITY

Emerging Leaders Curriculum introduces essential people management and leadership competencies



## WORKPLACE HEALTH AND SAFETY

Protecting the health and safety of our employees, the environment and the customers we serve is a top priority. The prevention of accidents and injuries is of such importance that safety will always receive first consideration. Accidents resulting in personal injury, property damage and loss of equipment-use represent needless suffering and waste.

Every day, our employees, our most valuable asset, should leave work as healthy and safe as when they arrived. Safety is everyone's responsibility, and every employee is empowered to take immediate action to eliminate unsafe conditions in the workplace. Our employees are motivated to champion the behaviors and attitudes necessary to prevent work-related injuries, illnesses and property damage. Our [Corporate Environment, Health and Safety \(EHS\) Policy](#) formalizes accountability for employees at every level of our organization.

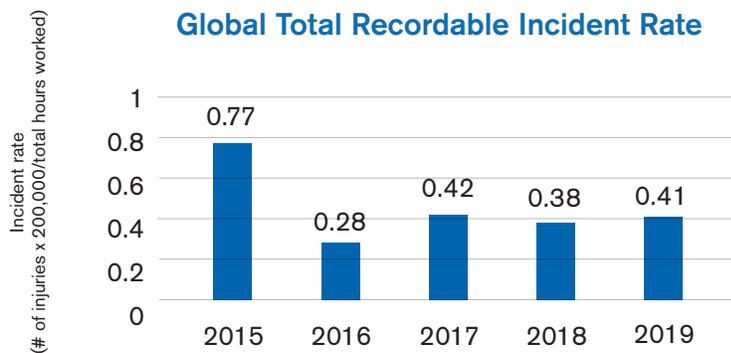
We establish EHS performance metrics to assess and improve our policies, procedures and practices on an ongoing basis. Our company strives for transparency in our EHS communications with our employees, regulators and other stakeholders.

## Our Safety Priorities

We have outlined a series of safety priorities including:

- Building a culture of safety that emphasizes safe operations, procedures, behaviors and attitudes;
- Providing compliance training on general safety principles and job-specific requirements;
- Equipping employees to recognize and execute their responsibilities for safety through numerous training events;
- Providing appropriate personal protective equipment and training in safe use of that equipment;
- Ensuring all employees are aware of their surroundings and that everyone works to maintain a safe workplace;
- Holding recurring, monthly corporate-wide safety committee meetings for employees at all levels, including executive management; and
- Encouraging employees to conduct job hazard analysis with the purpose of recognizing workplace hazards and reducing risk.

### Global Total Recordable Incident Rate



# Community and Global Impact

We are committed to advancing the impact we have on people and communities around the world, from the quality of life benefits provided by our products and services to our community outreach and employee volunteerism efforts. Guided by our core values, we want our people to work together and with our external stakeholders to make a difference.

## COMMUNITY OUTREACH AND EMPLOYEE VOLUNTEERISM

We encourage our employees to donate their time and talents to the causes and organizations that matter most to them. Since 2017, Brooks has held an annual Community Service Day initiative throughout our locations in the U.S. The initiative, spearheaded by Human Resources and our Social Impact Committee, is an opportunity for employees to volunteer their time and talents to assist worthy organizations in our communities. The goals of the program consist of:

- Engaging Brooks employees as a team giving back to the community;
- Demonstrating Brooks' commitment as corporate citizen and good neighbor; and
- Focusing on programs that support education and health initiatives in our communities.

The annual Community Service Days take place in September of each year. Throughout the U.S., employees at our various locations have volunteered at:

- The Boys & Girls Club of Greater Lowell in Lowell, Massachusetts
- The Paul Center for Learning & Recreation in Chelmsford, Massachusetts
- International Medical Equipment Collaborative formerly in North Andover, Massachusetts
- Ronald McDonald House Volunteer Days in South Plainfield, New Jersey, and Indianapolis, Indiana
- The American Red Cross Food Pantry locations in Cambridge, Massachusetts, South Plainfield, New Jersey, Seattle, Washington, and Frederick, Maryland
- Fremont Senior Center, Sunrise Village Shelter and Tri-City Valley Foodbank, all in Fremont, California

In 2019, our summer interns at our Chelmsford headquarters also participated in their own Community Service Day. The group spent two days at the Wish Project, a charitable organization for victims of home loss or domestic abuse, helping the staff reorganize their newly acquired warehouse.

In addition to our annual Community Service Day program, our people and company actively participate in and support a wide variety of organizations and events throughout the year, including but not limited to:

- UMass Lowell Capstone Project Mentorship
- "It's All About the Kids" Lowell children's holiday gifting event
- FIRST Robotics Competition high school teams in communities where we operate
- Trick or Suite, a Halloween-themed event for children with developmental or physical disabilities in the South Plainfield, New Jersey area

Since the start of 2019, Brooks employees have participated in approximately 20 company-sponsored events. For a list of recent social impact activities, [see this list on our website](#).

We also value the philanthropic contributions of our employees, and, as a company, we are happy to contribute to charitable organizations with whom we have a connection. Organizations receiving our financial support include the American Cancer Society, American Heart Association, DCF Kids Foundation, Ronald McDonald House and the Posse Foundation.



## COMMITMENT TO EDUCATION

One of the goals of the Social Impact Committee is to expand our philanthropic efforts to support the education of future scientists and engineers. Every year, Brooks sponsors 15 scholarships for high school seniors looking to continue their education. We also have several signature partnerships with universities in the regions in which we operate. Our employees donate their time in the classroom, and we strive to offer students hands-on experience through our internship and rotational programs.

## Preparing Diverse Achievers for Leadership Roles

Since 2011, Brooks has partnered with the Posse Foundation, a New York-based national nonprofit organization that supports talented students from diverse backgrounds so they can become innovators and leaders. Over the last eight years, Brooks has provided volunteers as well as roughly \$100,000 in sponsorships. Brooks is an official Career Program partner, participating in the Boston chapter's "Power of 10" event, where we have the opportunity to meet and network with Posse Scholars from the Boston area. In the past, we have also participated in mock interview days hosted by the Posse Foundation to help STEM-oriented scholars prepare resumes and learn tips for future job interviews. In 2019, we expanded our partnership with the Posse Foundation to include our South Plainfield, New Jersey location.



## UMass Lowell (UML) Preferred Partners Program

Having a highly reputable technology-focused university close to our Chelmsford campus has resulted in a special relationship between UML and Brooks. With 45 UML graduates currently working for the company, we have engaged in the University's Preferred Partner Program and are active participants and sponsors of the College of Engineering Industrial Advisory Board, where our CEO is part of the Oversight Committee. Brooks also is a sponsor of the UML Engineering Senior Capstone projects and annually engages in approximately three semester-long projects where students address real-time engineering issues. In 2020, Brooks will help underwrite new lab space for Industrial Engineering studies at UML.

## ENHANCING GLOBAL PROSPERITY AND HEALTH

We take great pride in the work we do to contribute to the health of the global community. Every day, our Brooks Life Sciences Services and Life Sciences Products businesses work with researchers from around the world to successfully accelerate breakthroughs in drug discovery, sample management for biobanking and clinical studies, preclinical research, cell therapy and molecular diagnostics/biomarkers. We are aligned with the highest standards of quality, including having all 10 major Brooks Life Sciences facilities certified to ISO 9001 quality standards by a leading third-party certification firm, DEKRA.

In November 2018, Brooks Automation acquired GENEWIZ, a global provider of gene sequencing and synthesis services. GENEWIZ customers are top-tier government, pharmaceutical, biotechnology and academic institutions and startups that rely on our leading scientific capabilities and superior customer service for consistent, reliable and high-quality data. GENEWIZ now operates as part of the recently formed Brooks Life Sciences Services business unit.

GENEWIZ's services enable global scientists to pursue:

- Vaccines and therapies for infectious diseases;
- Solutions for a greener environment;
- Scientific keys to producing global food supplies; and
- Personalized medications.

### How Brooks Life Sciences Helps Researchers Develop New Medicines and Therapies

#### Life Sciences Services

Sample and repository solutions

Next gen sequencing

Sanger sequencing

Gene synthesis

#### Life Sciences Products

Consumables and instruments

Large systems stores and service

Cryo stores

Informatics

## Responding to the COVID-19 Pandemic

This moment in time carries particular weight as we are delivering essential products and services in response to the COVID-19 pandemic. In late 2019 and into 2020, GENEWIZ has been on the front lines of helping customers. Our labs have been able to expedite projects to help both pharmaceutical companies and government agencies move toward clinical trials for treatments and a vaccine. In a recent three-month period, GENEWIZ performed nearly 1,000 projects related to COVID-19.

Our consumables, including polymerase chain reaction (PCR) plates, are used extensively in COVID-19 testing. We are also taking COVID-19 samples for aliquoting and storage in preparation for potential vaccine storage and management. Our sample management and informatics team has also enabled the tracking of approximately 80,000 COVID-19 tests per day in the U.K.

In addition to supporting life sciences research, Brooks offers semiconductor solutions to enable companies to continue to function worldwide, including supporting technology for remote work.

Our teams continue to stay close to our customers to help provide the research services and technology they need in these challenging times. We look forward to sharing more information on our response efforts in our next CSR report.





# Sustainability

As a global company, we understand the broad impact of our operations and our potential to affect the world. We are committed to evaluating ways to reduce our environmental footprint while continuing to expand our business.

Our executive management team is responsible for overseeing Brooks' sustainability efforts and ensuring we operate in a safe, ethical and environmentally responsible manner. In 2019, we established our Sustainability Committee, which is a subcommittee of our CSR Steering Committee. The Sustainability Committee, which drives our environmental sustainability initiatives, is led by our facilities and real estate team, with support from operations and engineering.

Through the Brooks Quality Management System, our **Corporate Environmental, Health and Safety (EHS) Policy**, adherence to ISO standards and regulatory compliance in the regions where we do business, we work to protect the natural environment and conserve natural resources. Ten of our 25 sites have received ISO 9001-2015 certification, as determined by a third-party quality assurance vendor. For a list of life sciences standards, certifications and memberships, see the [Life Sciences](#) page on our website.

## In This Section

- Waste Management
- Energy Management

# Waste Management

We strive to manage and reduce waste and hazardous waste production, thereby reducing the amount of material sent to landfills. Our waste reduction efforts are led at a senior level by Brooks' Head of Corporate Facilities, with our site leaders responsible for facility-level management and implementation. Because our facilities vary in the type of operations, site leaders are responsible for executing waste reduction and recycling practices that align with their particular business and have the greatest impact. At the same time, we are working to implement company-wide initiatives, metrics and best practices to better track and manage Brooks' collective waste management efforts.

## RECYCLING ACTIVITIES

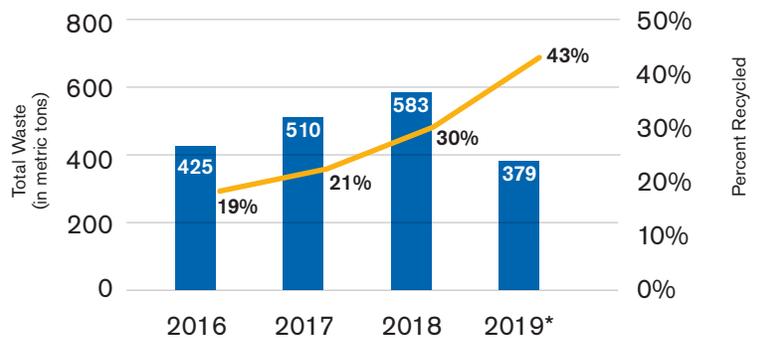
To reduce the amount of waste we send to landfills, we have placed particular emphasis on our reuse and recycling efforts. This waste encompasses a wide range of office and facility supplies, including batteries, cardboard, lamps, metals, bottles and cans, and office paper. We continue to build on this program and look for different materials to include in our recycling, such as adding wood from shipping pallets and crates in 2019.

Each Brooks facility is responsible for complying with local requirements for waste management and recycling. We are also actively working to develop waste metrics to help track progress at our sites. The Sustainability Committee has led several reduction efforts, including eliminating use of polystyrene foam and plastics in our cafeteria operations. The Sustainability Committee has established metrics to monitor the quantity of materials that are recycled. Our plan is to apply this framework and strategy globally to establish future recycling metrics and further advance our efforts.

## Corporate Headquarters Waste and Recycling

We currently track our waste and recycling progress at our corporate headquarters in Chelmsford, Massachusetts. This information is regularly updated in the [Sustainability](#) section of our website. While the volume of waste varies from year to year, our percentage recycled continued to increase from 19% in 2016 to 43% in 2019. In 2019, we saw a significant drop in waste as a result of adding wood to the materials recycled and improved tracking of our data, as well as the mid-2019 sale of our semiconductor cryogenics business that was based in Chelmsford.

### Corporate Headquarters Waste and Recycling



\* Excluding semiconductor cryogenics business, which was sold July 1, 2019

## Environmental Reduction Efforts at Wotton, U.K.

At our Wotton, U.K. facility, the team has implemented a number of measures to reduce its environmental footprint. All cardboard and plastic waste is compacted and bailed for collection by an approved recycler, and all kitchens have full recycling. Toilet cisterns have had water flush saving devices added, which saves three liters of water with each flush.

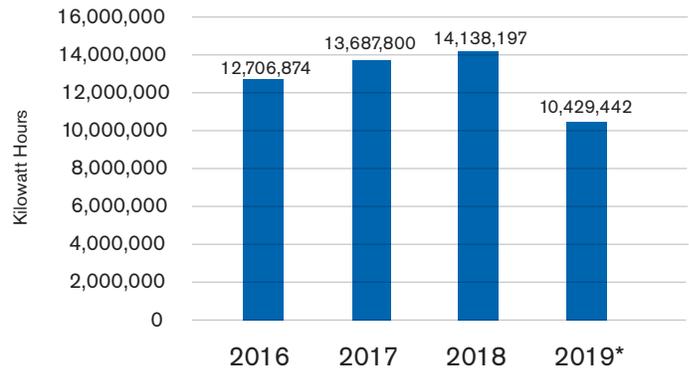
The business is also taking steps to increase the recyclability of its packaging. The inner bags used for PCR plates and similar diagnostic consumables are made from low-density polyethylene, which by itself can be recycled like a normal plastic bag. However, the labels attached to the bags are difficult to recycle at this time, and the team is evaluating options for improved recyclability.

# Energy Management

As part of our organizational efficiency and sustainability efforts, Brooks works proactively to identify opportunities to reduce our overall energy consumption and increase the energy efficiency of our operations. We manage energy consumption at the site level, with each location responsible for developing and implementing programs that best reflect its business, operations and outputs. Our sites have the autonomy to develop their own energy management metrics, and we are in the process of developing tracking protocols. Each facility is also required to have site-specific policies and standards that ensure data quality, regulatory compliance and continuous improvement.

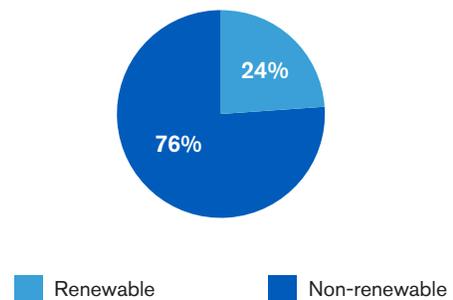
Energy consumption is a key component of our company's carbon footprint. While we have a good view of our energy usage, we continue to work to understand our full footprint and how we can minimize the overall impact of our global operations, including modernizing existing facilities over time as well as building energy efficiency measures into any new facilities. While we are able to more easily execute energy efficiency initiatives in the facilities we own and operate, including our headquarters in Chelmsford, Massachusetts, we face certain limitations at sites we lease. We continue to invest in these facilities where appropriate and work with building owners to identify and execute energy-saving options in the most efficient way possible. For example, we have completed a lighting retrofit program at our Wotton, U.K. site, and another program is underway at our corporate headquarters.

## Corporate Headquarters Electricity Usage

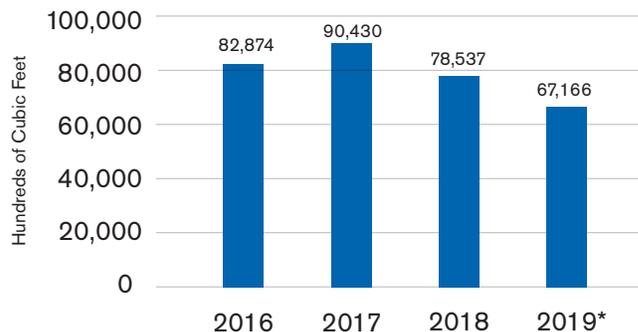


\* Excluding semiconductor cryogenics business, which was sold July 1, 2019

## 2019 Corporate Headquarters Electricity Usage by Source



## Corporate Headquarters Natural Gas Usage



\* Excluding semiconductor cryogenics business, which was sold July 1, 2019

In addition to our headquarters, one of Brooks' largest operations is our life sciences campus in Indianapolis, whose primary function is the storage and banking of biological testing samples. This location, along with our facility in Griesheim, Germany, is certified by the safety inspection company DEKRA for long-term sample storage at temperatures ranging from 27 degrees Celsius to -190 degrees Celsius. To be able to meet these high standards for quality and safety, Indianapolis is an energy-intensive operation that, in 2019, used 10.5 million Kwh of electricity across its 116,734-square-foot campus. As our sample storage business has grown, so has our electricity usage. We are committed to continuously improving our energy efficiency at this facility by the use of LED lighting and considering energy efficiency when upgrading our equipment. We are also monitoring the performance of each individual storage freezer to understand performance issues as well as when cleaning and maintenance are required.

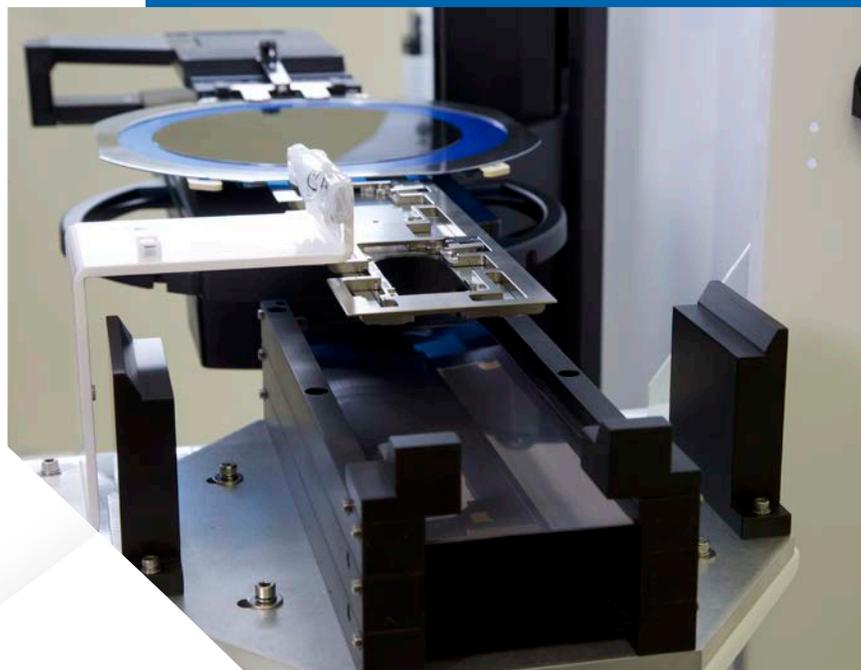
In Radolfzell, Germany, our new state-of-the-art facility features several energy-efficient elements, including extensive use of natural light, hydronic heating and cooling, a green roof and high-efficiency lighting. Our Leipzig, Germany site also incorporates natural and high-efficiency lighting.

## EVALUATING RENEWABLE ENERGY OPTIONS

We believe renewable energy offers a significant future opportunity for Brooks to reduce its carbon footprint. At the end of 2019, approximately 24% of our energy consumption at our corporate headquarters came from renewable resources, including large hydro, solar and wind. Brooks Life Sciences in Manchester, U.K. sources electricity from 100% renewable sources. In addition, our senior leaders are collaborating with our facilities to evaluate additional renewable energy options, including solar, wind and fuel cells. Our Sustainability Committee is partnering with the senior leadership team to evaluate renewable energy options, the cost-benefit situation, and which facilities might be leading candidates for the use of renewable energy.

## Supporting Greater Use of Electric Vehicles

In addition to managing our company's energy usage and efficiency, we also strive to support our employees' personal efforts. In 2019, we installed electric vehicle chargers at our Chelmsford, Massachusetts and Fremont, California sites to encourage our colleagues to reduce their own carbon footprint. These chargers are used daily by our employees who drive electric vehicles. We have plans to install electric vehicle chargers in China and South Plainfield, New Jersey later this year.





# Product Responsibility

From life science sample-based solutions to semiconductor manufacturing systems, our products enable our customers to have great impact on the world. With impact comes responsibility, and we are committed to ensuring the safety, quality and reliability of our products and services. We comply with all applicable environmental, health and safety regulations and adhere to various voluntary standards, and we partner with our customers to help them meet and exceed such expectations.

## In This Section

- Environmental Compliance
- Responsible Sourcing
- Product Health, Safety and Quality

# Environmental Compliance

Brooks is committed to operating in full compliance with all applicable environmental regulations in the jurisdictions where our products are produced and sold. This commitment is reflected in our corporate policies, business processes and operational procedures.

We have the appropriate infrastructure in place to manage environmental compliance, including full coordination among our engineering, product marketing and supply chain teams. Every product group has a product safety representative and electrical engineers who are accountable for ensuring that we maintain compliance and pursue excellence.

Our **Environmental Compliance Steering Committee** is focused on understanding the regulatory landscape and ensuring that our organization is able to respond to changing requirements. The committee focuses on identifying and preparing for changes that could occur within as little as six months and as far out as 18 months. Working with our engineering, quality assurance and sales teams, we stay current on what customers are looking for from an environmental compliance perspective so we can take action. Our businesses dedicate resources to participate in the mandatory and voluntary standards-setting process. We have also engaged a third-party consultant to help us stay ahead of additional regulatory requirements.

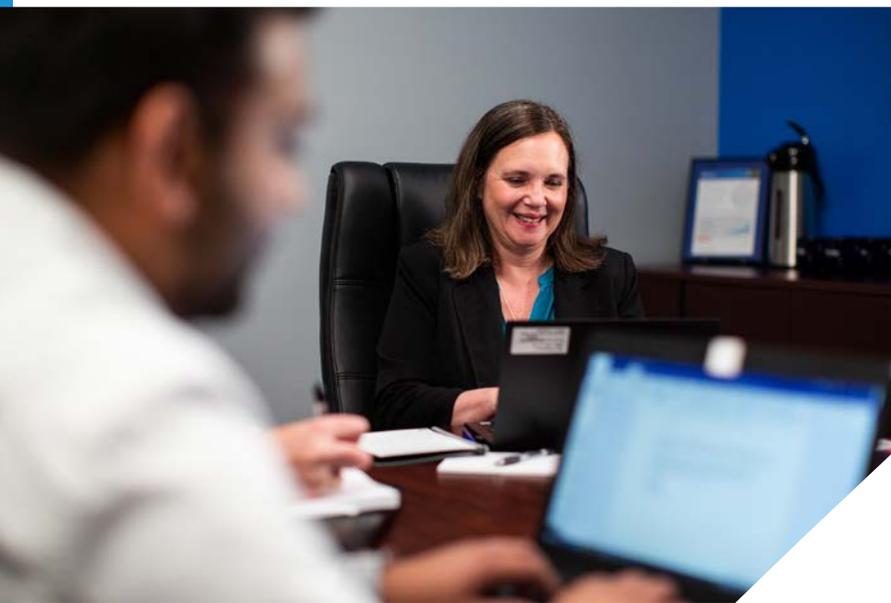
As part of our product responsibility commitments, energy efficiency is a critical aspect of our Brooks Life Sciences sample management automated stores; we optimize the stores' refrigeration system, insulation and automation to reduce energy usage. In our Semiconductor business, Brooks' Wafer Engine atmospheric robot uses one-tenth the energy of the industry-standard canister atmospheric robots.



## MAINTAINING REGULATORY COMPLIANCE

Our products are designed to comply with a wide range of standards including:

- U.S. Environmental Protection Agency (EPA) regulations
- European Union (EU) Registration, Evaluation, Authorization and Restriction of Chemicals (REACH)
- Restriction of Hazardous Substances (RoHS) in China and the European Union
- California Proposition 65



We communicate our adherence to regulatory requirements through regularly updated statements on our website:

- [Brooks China RoHS Letter](#)
- [Brooks EU RoHS Letter](#)
- [Brooks REACH EU Letter](#)
- [California Proposition 65 Statement](#)

Our sales representatives regularly communicate with our customers and are able to address questions related to environmental compliance. In addition, questions or comments can be sent to [productsubstances@brooks.com](mailto:productsubstances@brooks.com), which is monitored by our Environmental Compliance Program Manager. We also respond to surveys from our customers to ensure they have the information they need.

Internally, our Senior Vice President of Global Quality Assurance presents an update at our annual leadership conference, and the executive leadership team receives regular updates from the Product Responsibility Steering Committee.

# Responsible Sourcing

Guided by our core values of Accountability and Integrity, we are committed to responsible sourcing throughout our supply chain. We manage our manufacturing and distribution operations with a focus on: minimizing adverse impact to the environment; creating a healthy and safe workplace; maintaining fair and reasonable labor practices; and ensuring the integrity of materials supplied to Brooks.

We expect Brooks' suppliers to conduct their operations in a socially and environmentally responsible manner, and we work collaboratively with our suppliers to encourage compliance. Brooks' [Supply Chain Social and Environmental Responsibility Policy](#) serves as an extension of our commitment to corporate social responsibility. While Brooks recognizes that there are different legal and cultural environments in which our suppliers operate throughout the world, our policy establishes a framework that we consider important to our business.

Our policy addresses the following areas:

- Legal and regulatory compliance
- Environmental, health and safety
- Conflict minerals
- Labor and human resources, including employment practices, child labor, forced labor and freedom of association
- Management systems
- Information access

Our [Human Rights Policy](#) also recognizes the role suppliers and contractors play in our commitment to social responsibility and respect for human rights. Read more about this policy and its broader importance to Brooks on page 28 of this report.

## SOURCING MINERALS RESPONSIBLY

Like most companies in the electronics industry, many of our products contain conflict minerals (tin, tantalum, tungsten and gold – commonly referred to as 3TG). These are minerals that are mined and sold by regions experiencing military or economic conflict and are prone to human rights violations.



Consistent with Section 1502 of the Dodd-Frank Wall Street Reform and Consumer Protection Act and the OECD Due Diligence Guidance framework, we take the necessary steps to ensure our supply chain utilizes 3TG minerals from only certified conflict-free sources.

Our process includes:

1. Adopting, and clearly communicating, our [Responsible Mineral Initiative Policy](#), which governs our supply chain of minerals originating from conflict-affected and high-risk areas;
2. Structuring internal management to support supply chain due diligence;
3. Establishing a system of transparency, information collection and control over the supply chain;
4. Strengthening company engagement with suppliers; and
5. Establishing a company- and/or mine-level grievance mechanism.

We work closely with our suppliers to identify issues or risks in the supply chain that require further due diligence. When necessary, we implement risk mitigation and improvement plans to further ensure we source only conflict-free minerals. This includes continuing to work with our suppliers to obtain current, accurate and complete information about their own supply chains.

Read more about our processes and due diligence in our [Conflict Minerals Report](#).

# Product Health, Safety and Quality

Ensuring the safety, quality and reliability of the products and services we bring to market is a top priority at Brooks. We implement quality strategies, quality systems, product quality and safety testing and continuous improvement across all product categories, and our corporate product safety leader ensures we have consistent practices across the board.

Brooks defines quality as not only a feature of our products, but also as the value we deliver through our processes and services, taking into account customers' current and emerging requirements as well as market and industry changes. As a result, we believe we can best measure our success by the ongoing success of our customers.

We succeed in continually improving our performance and quality by empowering each employee to act with:

- Personal accountability and a strong commitment to customer satisfaction;
- A focus on data-driven decision making and rapid problem resolution; and
- Collaboration and teamwork internally with fellow Brooks employees and externally with our suppliers and customers.

The Brooks quality management system is based upon and compliant with the ISO 9001-2015 international quality standard. Ten of our 25 sites have received ISO 9001-2015 certification, as determined by a third-party quality assurance vendor. More information on our certifications can be viewed on our [website](#).

Our [Corporate Environmental, Health and Safety Policy](#) also sets the standard for the health and safety of our employees, customers and the public. Outlined in this policy is our commitment to product stewardship. We are committed to:

- Minimizing the environmental impact of our products and/or services;
- Emphasizing "design for environmental, health and safety management"; and
- Utilizing refurbishing efforts to extend the life of our Brooks' products.

All Brooks products are designed to meet or exceed applicable environmental, health and safety regulations and standards. We provide planned maintenance, repair and refurbishment services for both our Semiconductor and Life Sciences products.

## Strong Commitment to Customer Training and Education

Our commitment to quality and safety extends beyond our products. We have invested in an extensive training program to help customers safely and effectively operate our semiconductor automation solutions and life science systems.

Through Brooks University, we offer a wide range of customer training courses featuring certified instructors and a focus on hands-on learning. Courses are held at the Brooks Training Center in Fremont, California or at the Brooks Korea Training Center. We also teach classes at customer sites or at one of our regional offices across the globe. Every course includes hands-on lab exercises to provide a practical understanding of their Brooks' product and instill the confidence needed to work with it most effectively. Safe operations, maintenance and troubleshooting are among the topics covered in the training. Learn more about Brooks University on our [website](#).





# Governance and Ethics

Since our company's founding in 1978, Brooks has grown in many ways. We have grown the level of business with our customers, we have grown through acquisition, we have grown in our aspirations, and we have grown as individuals – stepping up to meet key challenges when they arise. Through all of this change, we have lived by certain standards of conduct that are the underpinnings of the successes that we have enjoyed in the past and will enjoy in the future. Our values – honesty, integrity, accountability and respect for one another and the many constituencies that we serve – always remain at the forefront.

## In This Section

- [Corporate Governance](#)
- [Ethics and Integrity](#)

# Corporate Governance

Our Board of Directors directs and oversees the management of the business and affairs of the Company in accordance with all applicable laws and regulations. In this oversight role, the Board serves as the ultimate decision-making body of the Company, except for those matters that are reserved to or shared with the stockholders. Our directors possess a high level of proven and relevant business experience, maintain high ethical standards, and demonstrate a continued commitment to strong corporate governance. For more information, see our [Corporate Governance Guidelines and Standards of Conduct](#).

The Board has five chartered committees: Audit, Executive, Finance, Human Resources & Compensation, and Nominating & Governance. The Nominating & Governance Committee has direct oversight responsibility for the ESG/corporate social responsibility team, and our CSR team, led by our General Counsel, provides regular updates to that committee. Read more about the Board and its committees in our [Governance Documents](#) and [2019 Proxy Statement](#).

We believe a diverse and representative Board is important to managing a successful organization. As of May 1, 2020, our Board consists of nine independent directors (as defined by the Nasdaq Stock Market) and one employee director, Brooks President and CEO Dr. Stephen S. Schwartz. The Board includes three females and one male of India descent, resulting in 30% gender diversity and 40% overall diversity.

## Two Board Members Named Among Most Influential Corporate Directors by *WomenInc.* magazine

In early 2020, two of our directors, Ellen Zane and Robyn Davis, were recognized by *WomenInc.* magazine as being among the most influential corporate directors of 2019. The [list](#) recognizes the top women influencers, achievers and contributors serving on the corporate boards of S&P 1000/Mid-Cap publicly held companies. The recognition is considered by many as the most comprehensive listing of women contributing to corporate boards.

Zane, who has been a Brooks director since 2012, is a nationally renowned health care leader who is currently CEO Emeritus of Tufts Medical Center & Floating Hospital for Children, where she previously served as president and CEO. She chairs the Brooks Board's Human Resources & Compensation Committee and also serves on the Executive and Nominating & Governance committees.

Davis, who has been a Brooks director since 2013, is managing director of Angell-Healthcare Investors, LLC, an early-stage private equity investment group focused on medical devices, life sciences and specialty pharmaceutical companies. She co-chairs the Brooks Board's Finance Committee and is also a member of the Human Resources & Compensation Committee.



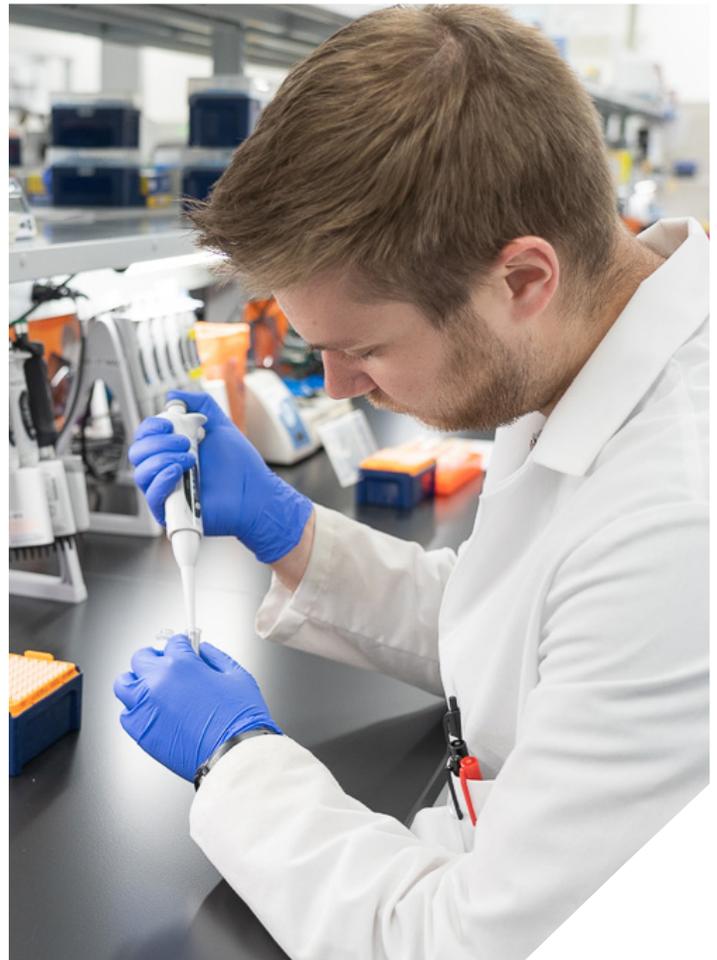
top row: Alfred Woollacott, III; A. Clinton Allen; Dr. Stephen S. Schwartz; Joseph R. Martin; Kirk P. Pond (retired); Michael Rosenblatt, M.D.  
bottom row: Dr. Mark Stephen Wrighton; Ellen M. Zane; Dr. Krishna G. Palepu; Robyn C. Davis  
not pictured: Erica J. McLaughlin

## CORPORATE SOCIAL RESPONSIBILITY FRAMEWORK

In 2018, we reinforced our commitments to corporate governance and being a responsible corporate citizen by launching a more formal, company-wide corporate social responsibility (CSR) initiative, which includes a CSR governance framework, three CSR pillars, and priority topics and objectives under each pillar.

With oversight by the Board's Nominating and Governance Committee, Brooks established a cross-functional CSR Steering Committee in 2018. With subject matter experts from various parts of the company – including legal, human resources, compliance, facilities and operations – the Steering Committee is responsible for setting the CSR strategy, priorities and activities. The Steering Committee established three pillars – Social Impact, Sustainability and Product Responsibility (with Governance and Ethics as the foundation on which the pillars are built).

To help drive specific programs and the development of metrics, the Steering Committee created working committees for each of the three pillars and they meet regularly to address a wide variety of topics, which are discussed throughout this report. The establishment and ramp-up of the Steering Committee and the working committees were significant accomplishments in 2018 and 2019, and they are well positioned to contribute even more meaningful impact in 2020 and beyond.



# Ethics and Integrity

Our commitment to ethics is reflected in our core value of Integrity and supported by our global Standards of Conduct.

The Brooks [Standards of Conduct](#) outline behaviors by which all employees, regardless of position in the company, are expected to observe and maintain. They cover a range of issues and standards toward one another, governments, shareholders, business partners, competitors and the marketplace, and concerning conflicts of interest. We also integrate distinct policies and procedures on topics such as human rights, health and safety, workplace harassment, discrimination, freedom of association/collective bargaining, corruption, bribery, accounting practices, insider trading and trade secrets. In 2019, Brooks had zero legal proceedings, and as such zero monetary losses, associated with anti-competitive behavior regulations.

All Brooks employees participate in annual ethics training, which is focused on understanding the Standards of Conduct and operating in accordance with those standards. Brooks managers are responsible for ensuring their employees understand and abide by the Standards, and for fostering an environment in which employees feel comfortable living up to these Standards each and every day.

Read more about our policies on our [Corporate Responsibility web pages](#).

## HUMAN RIGHTS POLICY

Brooks is committed to respecting human rights and creating an inclusive company culture across its global footprint. In 2019, Brooks' Social Impact Committee reinforced this commitment by codifying a new [Human Rights Policy](#). The policy is used in conjunction with Brooks' other standards, policies and procedures, and applies to every Brooks employee and partner organization across the globe. The policy covers a wide range of human rights issues including diversity, inclusion and non-discrimination, compensation, privacy, human trafficking and child labor, and expectations for suppliers and contractors.

The Human Rights Policy features Brooks' statement on diversity – a topic that continues to be a key focus for the Social Impact Committee, CSR team and organization as a whole. Read more about our inclusion and diversity efforts in the Social Impact section of this report.

## Integrating New Employees into Our Culture of Integrity

Acquisitions have played an important role in growing our company, and seamlessly integrating new employees into our culture is a critical success factor. Once an acquisition is complete, we ensure new employees complete training on our Standards of Conduct and other essential policies. In the spirit of continuous improvement, we also evaluate the policies of our acquisitions to identify additional best practices and enhancements that could be made to our existing Standards of Conduct and policies.

## BEST-IN-CLASS ETHICS AND QUALITY

We have built a culture of trust, ethics and integrity. Customers around the world trust our Life Sciences businesses to manage and store biosamples and provide other products and services that are vital to good health and medical research, and we do so with the utmost attention to safety, confidentiality, redundant systems and integrity. In our Semiconductor Solutions segment, we supply best-in-class automation solutions that meet even the most advanced and demanding applications, including those in which a precisely controlled environment is critical to maintaining quality.

## REPORTING ETHICS CONCERNS

Brooks employees around the world are encouraged to share any ethics or compliance concerns with a manager, member of human resources or Brooks' General Counsel. Any Brooks employee can also submit a complaint online, by email or through our dedicated Ethics Hotline, which is staffed by an independent, third-party service provider to maintain confidentiality. Calls to the 24-hour hotline (888-311-6684) can be made in any language and will be translated and evaluated. All matters are promptly and thoroughly investigated, and internal legal resources are mobilized to address or escalate an issue as appropriate.



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