



Application Form

Rockwell Collins, Inc.
Name of corporation

400 Collins Road
Street address (U.S. corporate headquarters)

Street address (continued)

52498
City/State/Zip code

Please give us information about your contact person for the
Performance Track Corporate Leader category.

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Title: Manager, Environmental Programs

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Section A

Tell us about your company.

Why do we need this information?

EPA needs background information on your corporation to evaluate your application.

What do you need to do?

Provide background information on your corporation.

1 What do you do or make at your company?

Rockwell Collins is recognized as a world-class provider of aviation and information technology for government, the world's aircraft manufacturers and more than 400 airline customers. Rockwell Collins is a global company with headquarters and manufacturing operations in the United States and facilities located in Europe, Asia, Australia and Mexico. The company is organized into two business units, Commercial Systems and Government Systems. In addition, Collins Aviation Services is committed to providing customers with ongoing training, technical support and total customer service solutions using a network of more than 60 service centers and service bases.

2 List the North American Industrial Classification System (NAICS) codes that you use to classify business at your company.

334511

3 Is there anything else you would like to tell us about your company (e.g., active membership in other federal, state, tribal, non-governmental organization, or industry-sponsored voluntary environmental programs that involve commitments to improve environmental performance)?

Rockwell Collins has been actively involved in the development of the Iowa chapter of EPA's National Strategic Goals Program for Metal Finishers. Our Kaiser Optical Systems facility in Ann Arbor, Michigan participates in the Michigan Business Pollution Prevention Partnership and the Michigan Department of Environmental Quality Community Partners for Clean Streams. The Richardson, Texas manufacturing facility has been accepted into the Clean Texas program and the Irving, Texas service facility will complete their application process for Clean Texas in November with a site visit. In addition, Rockwell Collins facilities in Iowa and Washington state participate in EPA's WasteWise program.

Internationally, our manufacturing facility in Mexicali, Mexico has been certified since 1998 as a Clean Industry (Industria Limpia) by PROFEPA-SEMARNAP. Rockwell Collins facility in Toulouse, France has been ISO 14001 certified since 2002.

Section B

Why do we need this information?

Companies must be actively and substantially involved in Performance Track to be designated a Performance Track Corporate Leader. We're also interested in your membership in similar state performance-based programs.

Tell us about your level of facility membership in Performance Track or similar state programs.

What do you need to do?

Tell us what percentage of your company's operations are members of Performance Track or similar state voluntary performance-based programs.

- | | | | |
|---|---|------------------------|------------------------|
| 1 | Approximately how many significant facilities or sites does your company operate in the U.S.? | <u>14</u> | |
| | | Performance Track | Similar State Programs |
| 2 | How many of these facilities are members of Performance Track or similar state voluntary performance-based programs? The threshold criterion is that you have at least five facilities that are members of Performance Track. | <u>9 with 8 majors</u> | _____ |
| 3 | What number of your operations in the U.S. are members of Performance Track and similar state programs? The threshold criteria are that at least 25% of your operations (based on number of facilities or employees) or at least 25 of your facilities are members of Performance Track and similar state programs. A minimum of five of your facilities must each be a Performance Track member. | | |

Use only one of these six options based on number of facilities or employees in the U.S. to report your membership:

		Number of Facilities	Members of Performance Track	Members of Similar State Programs
a. Facilities in U.S.:				
	i Manufacturing,	_____	_____	_____
	ii "Major," or	_____	_____	_____
	iii All;	_____	_____	_____

or

		Number of Employees	Employees at Facilities in Performance Track	Employees at Facilities in Similar State Programs
b. Employees (FTEs) in U.S. facilities:				
	i Manufacturing,	_____	_____	_____
	ii "Major," or	_____	_____	_____
	iii All.	<u>13,569</u>	<u>9,938</u>	_____

Section C

Why do we need this information?

Companies need to show they have systems in place to manage and improve environmental performance throughout their operations.

Tell us about your management of environmental issues.

What do you need to do?

Rate the systems you use to manage and improve your environmental performance by placing a check in the box. Refer to the Application Guide for further explanation to determine the appropriate response. Please briefly explain your ratings.

- 1 There exists a Board of Directors committee or senior management group in our company to establish and oversee our environmental commitment. 1 2 3 4 5 N/A

The Senior Operations Leadership group within our company oversees Rockwell Collins environmental commitment. This group is comprised of the Senior VP of Operations and his direct staff who have direct oversight of 82% of our operations (based on employees) and encompasses the highest environmental impact facilities. In addition the Senior VP of Operations has responsibility for the Environment, Safety and Health management systems at the other 18% of facilities. These leaders receive a quarterly report outlining Rockwell Collins environmental performance against company goals as well as environmental management system accomplishments and challenges. This allows for key leadership input and involvement in the accomplishment of those goals and the solutions to system issues.

- 2 Our corporate environmental policy (or its equivalent) assigns corporate priority to environmental issues, commits us to meeting all applicable regulations and voluntary commitments, preventing pollution, continually improving our environmental performance, and sharing information about our environmental performance with the public. (Please attach a copy of your policy.) 1 2 3 4 5 N/A

Rockwell Collins Environment, Safety and Health policy states, "Rockwell Collins is committed to responsible environmental, safety and health management wherever it does business around the world. We have established goals to provide a safe and healthful workplace for all employees and to prevent pollution in the communities in which we operate. Environment, safety and health is an integral part of managing our business and serves the enterprise as a competitive business advantage. Through continual improvement programs, we strive to exceed environmental, safety and health regulatory requirements, enhance our environmental, safety and health management processes, and establish voluntary environmental, safety and health programs at our facilities worldwide."

- 3 We have established corporate environmental goals; these goals apply to all our operations. (Please attach a copy of your goals.) 1 2 3 4 5 N/A

For FY 2004 we had 3 corporate environmental goals that applied to all operations. In addition, there were environmental commitments that applied only to those facilities that had set facility goals in that area. See below.

<u>2004 Goals</u>	<u>Target</u>
<u>Compliance Audit Risk Score</u>	<u>2</u>
<u>Hazardous Waste Generation</u>	<u>5% reduction normalized (10% stretch goal)</u>
<u>Landfill Use</u>	<u>4% reduction normalized</u>
<u>Increase Performance Track Participation</u>	<u>2 facilities</u>
<u>Commitments (Reductions raw numbers)</u>	<u>Target</u>
<u>Water Use (5 facilities)</u>	<u>2% (absolute values)</u>
<u>Energy Use (9 facilities)</u>	<u>1% (absolute values)</u>
<u>Air Emissions (4 facilities)</u>	<u>15% (absolute values)</u>
<u>Materials Use Paper (4 facilities)</u>	<u>5% (absolute values)</u>

- 4 Our top environmental official reports directly to a senior management official. 1 2 3 4 5 N/A

In Rockwell Collins, the Sr. Vice President of Operations is responsible for the environment, safety and health management system at each RCI location. The Sr. Vice President of Operations reports directly to the President/CEO of the Company. ESH corporate responsibilities reside within the Operations structure.

- 5 Our corporate-level environmental procedures provide a framework for facility-level procedures, which in turn are adapted to the individual circumstances of each facility. 1 2 3 4 5 N/A

Rockwell Collins corporate level procedures are written in such a manner that facilities can apply them without the need to create additional facility-level documents. Facilities adapt these procedures to their individual circumstances, as necessary, and in cases where additional guidance is needed, work instructions or guides are created .

- 6 Environmental performance is considered in evaluating and rewarding performance of managers and staff. 1 2 3 4 5 N/A

There currently is no formal system in place to incorporate environmental performance into an employees performance assessment. There are groups where that occurs across the company but it is independently motivated.

- 7 We integrate environmental considerations into non-environmental corporate functions such as R&D, product and process design, marketing, strategy, finance, and accounting. 1 2 3 4 5 N/A

Rockwell Collins integrates environmental considerations into non-environmental corporate functions by utilizing several business processes. In some instances, this integration is somewhat loosely organized and Rockwell Collins is working to strengthen that connection by more clearly defining roles and responsibilities.

In the area of R&D and product and process design, environmental considerations are managed through the Life Cycle Value Stream (LCVS) Leader in collaboration with Advanced Manufacturing Technology and Application Engineering, both of which are within Operations.

The LCVS Leader is responsible to manage and be accountable for the value stream (all of the actions and tasks, both value added and non-value added, required to bring an item, an idea, information, product or service from its inception through delivery) from strategic planning to execution. An example of this collaboration is our internal team to address the Waste Electrical and Electronic Equipment (WEEE)/Restriction of Hazardous Substances (RoHS) European Directives. There are several tools to assist in this process from a Preferred Materials & Processes handbook to corporate level procedures to address required chemical reviews prior to purchase or process and chemistry changes as well as a listing of banned and restricted substances that require approval prior to use.

The ES&H group within Rockwell Collins works very closely with our Strategic Sourcing team in looking at environmental considerations while evaluating certain potential suppliers. This has been evident in a recent agreement made with a chemical management services supplier. Rockwell Collins has a multi-functional team that evaluates all acquisitions and divestiture strategic decisions. Processes are in place for pre-purchase ES&H due diligence and an Operations Integration plan was developed for rapid assimilation of acquired companies including a section for ES&H issues and impacts.

ES&H manages remediation sites on behalf of the Company and works with Corporate Finance to ensure that adequate reserves are established for the cleanups. Quarterly communications occur between the two groups to evaluate and adjust as required.

- 8 We have corporate-wide measures to evaluate the environmental performance of the corporation as a whole and of its individual facilities. 1 2 3 4 5 N/A

As most companies do, Rockwell Collins watches compliance very closely across the corporation and at individual facilities through compliance audits and agency inspections. Rockwell Collins requires all facilities to report any inspections, non-compliances, or incidents on an Environment, Safety and Health Incident Reporting Form that includes a description of the occurrence and corrective actions taken if necessary. The report is submitted to the Director of ES&H for approval and follow-up. Beyond that, corporate and facility goals are tracked and reported monthly with performance information compiled at the corporate level and reported to the CEO, his staff and Operations leaders for review and comment quarterly. All facilities are surveyed annually on key indicators such as energy and water usage, dollars spent on environment, safety and health programs, etc. This information is tracked from year to year and used to look at enterprise trends and improvement opportunities both at the facility and enterprise levels. Facilities that are ISO 14001 certified receive internal EMS audits annually. Issues are tracked corporately and used to evaluate the system for overall performance and the need for preventive or corrective actions. Annually, corporate performance accomplishments are published in a report that is distributed to top leadership and posted on the internal and external websites.

- 9 We apply corporate worldwide standards that meet or exceed the regulatory requirements of the countries where we operate. 1 2 3 4 5 N/A

In our policy document we state, "All Rockwell Collins employees will comply with environmental, safety and health laws and regulations. In locations where laws and regulations are less stringent than in the United States, we will voluntarily adopt standards based on U.S. models." We audit to this policy and have incorporated a specific category of finding that will mark an issue as a condition or practice that poses a significant risk of causing harm to the

environment and is not covered by statutes or regulations applicable to the facility. These findings receive the same level of attention as those that are covered by law.

- 10 We have in place corporate-level procedures to identify legal and other requirements that apply to our operations and/or products to ensure they are met at the facility level. 1 2 3 4 5 N/A

In our corporate procedures, we identify the legal and other requirements that apply to our businesses in a matrix. Each facility adds to the matrix by determining and maintaining an updated list of the state and local equivalents to those regulations and any other environmental requirements. At the corporate level, subscriptions to regulatory update services are maintained to stay current with regulatory modifications. Changes in federal legal requirements are communicated to facilities through Environment, Safety and Health Bulletins that are then posted on the internal website for ongoing access.

- 11 We have a corporate compliance management and audit system that is used to ensure that facility-level environmental management functions are performed effectively and to ensure that corrective and preventive actions are taken promptly when compliance issues are identified. 1 2 3 4 5 N/A

Rockwell Collins has a corporate environmental, safety and health compliance audit system that requires surveillance of operations through periodic ES&H compliance audits. The compliance audit consists of a physical and administrative review and evaluation of operations and facilities to verify compliance with applicable governmental regulations, RC ES&H policies and procedures and best management practices. External audits are conducted on a scheduled basis the frequency of which depends on the risk category the facility falls into. Any findings identified are prioritized and communicated in a corrective action report to facility leadership. This corrective action plan specifies closure of findings within given timeframes. Accountability is achieved through monthly status reporting to immediate leaders, ES&H and the legal department with a summary of open and overdue findings reported to business unit senior leadership. Internal facility compliance audits are conducted in years that external audits are not. Findings are tracked and corrected at the facility level. In addition to compliance audits, internal EMS audits are completed annually for any facility that is ISO 14001 certified.

- 12 Top-level management reviews the environmental performance of the corporation and its facilities at least annually. This review encompasses both regulatory compliance and performance against the company's goals. 1 2 3 4 5 N/A

Rockwell Collins CEO, the executive vice presidents, and all Operations leadership receive an update on the environmental performance of the corporation and facilities in a quarterly report and annually in the EMS management review. They are encouraged and given opportunity to provide feedback. These reviews and reports include regulatory compliance, goal status, challenges, opportunities for improvement along with any other measures and accomplishments. In addition, challenges and issues are communicated to facility and top management through compliance audit reports as well as monthly ESH activity reports. Rockwell Collins leaders take an active role in addressing and preventing issues which is in line with corporate culture to be proactive rather than reactive.

13 If applicable, we have a corporate post-acquisition program designed to bring newly-acquired facilities into compliance with our worldwide standards as soon as possible after acquisition. 1 2 3 4 5 N/A

At Rockwell Collins, an Operations Integration plan was developed for rapid assimilation of acquired companies including ES&H issues and impacts. The process that Rockwell Collins follows is to do an on-site compliance audit within the first couple months after acquisition. From that audit a corrective action plan is created to guide the facility on compliance issues as well as any company procedural deviations identified. A guidance manual on environmental management is provided that points them to procedures, laws and policies that drive the actions outlined in the manual. In addition, there is an on-going mentoring dialogue with a staff member assigned responsibility for that facility. Follow-up visits are scheduled as needed with the minimum being a second on-site audit during year two.

Please let us know of anything that you believe distinguishes your corporate environmental commitment and how this commitment is implemented throughout your operations.

Cultural integration of environmental thinking, Lean ElectronicsSM as a way of doing business and community involvement are what distinguishes Rockwell Collins corporate environmental commitment and has allowed us to continue to move forward in our environmental management system. Prior to 1990 there was a commitment to recycle white paper, plastic bags and to reduce hazardous materials and waste. Starting in 1990, a commitment was made to be more proactive and the focus changed to implement the 3 R's thinking (reduce, reuse and recycle). This became a way of life with a shift from measuring recycling to thinking of ways to avoid the landfill and help prevent pollution. Employees at all levels were involved in the development of programs to support this effort and it has become a way of life that has extended into areas other than solid waste. In many locations, community rehabilitation centers clean sort packaging materials providing multiple job training opportunities for the agencies while allowing reuse for various materials throughout the Company. Today Rockwell Collins world class landfill avoidance program includes paper, plastic, cardboard, publications, excess PC hardware, packaging materials, wood products, metals, office supplies and furniture, and construction waste and it continues to grow as we look for new markets. Since 1992, landfill usage has shown a continual decrease from 118 tons solid waste per \$100 million sales to 56.3 tons solid waste per \$100 million sales in 2003. During this time the Rockwell Educational Access to Computer Technology (REACT) Center was created to refurbish computers, printers, and peripherals which today accepts these materials from all domestic Rockwell Collins locations and a variety of other participating companies. REACT is a nonprofit organization funded by Rockwell Collins and managed by a community foundation. Refurbished computers are donated to schools and select non-profit organizations for re-use while the unusable materials are reclaimed, a true commitment to the environment and the community.

With the incorporation of Lean ElectronicsSM in 1998 as a way to do business, a culture that values eliminating all kinds of waste, innovation and looking for continual improvement was integrated into Rockwell Collins. Internal systems have been put into place to support lean efforts and the pursuit of product, process and service improvements to provide greater value to all stakeholders. Environmental benefits are inherent in the process and will be proactively integrated into the system in contribution to those improvements.

Community involvement has always been a part of Rockwell Collins' environmental commitment from the donation of excess office supplies to schools, community organizations and businesses to the planting of trees or the re-introduction of trumpeter swans into the environment to K-12 Partnership Program that supports schools in the enrichment of the education of elementary through high school students. This

involves programs like building electric cars or creating a model city using simulation software. In 2003, Rockwell Collins created our Green Communities Program committed to promoting environmental stewardship and helps fund environmental projects in communities where the Company operates. Grants are given to projects that either conserve natural resources and raw materials or restore and develop ecological habitat. Projects are conducted or sponsored by non-profit organizations and supported by Rockwell Collins employees. Rockwell Collins facilities and employees have made a commitment to look for opportunities to assist in the environmental improvement of our communities and will continue to do so going forward.

Section D

Why do we need this information?

Companies need to show they are committed to improving their environmental performance.

What do you need to do?

Companies need to describe past environmental achievements and make future environmental commitments.

Tell us about your past environmental achievements, future environmental commitments, and plans to increase your facility membership in Performance Track or similar state programs.

Part 1

First achievement

1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)

Waste landfilled

2 What was your improvement (state in actual and normalized quantities, such as to production) over the past five years? How did you achieve it? (Please refer to the Corporate Environmental Performance Table for measurement units.)

Rockwell Collins reduced the total non-hazardous waste landfilled from 1859 tons in 1999 to 1519 tons in 2003. Normalized to sales, the total landfilled went from 77 tons per \$100 million in sales in 1999 to 56 tons per \$100 million in sales. Attached is a chart showing those improvements. (Note that a major acquisition occurred in 2000 which impacted our FY2001 data.) The reduction shown was achieved through cultural integration of the reduction, reuse and recycling of waste at Rockwell Collins beginning in the early 1990's. A major initiative occurred at that time to proactively focus on landfill reduction rather than the recycling of paper and plastic bags. This aggressive program was expanded to include many other categories and has continued to grow with donation of excess office and packaging materials outside Rockwell Collins into the communities where we operate. Infrastructure was put into place to support and educate employees including cross functional teams called S.W.E.L.L. teams (Solid Waste Environmental Leadership and Learning) to track progress and performance and trouble shoot issues in the program. Since 1998, Lean ElectronicsSM has been integrated into the Rockwell Collins culture and continues to drive the elimination of waste in products, processes and the value chain.

Part 2

First commitment

- 1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)
Total renewable energy used
- 2 What is your improvement goal (state in actual quantities) over the next five years? (Please refer to the Corporate Environmental Performance Table for measurement units.)
Rockwell Collins will participate in the EPA's Green Power Partnership program and purchase 10,000 MWHs of renewable energy certificates per year (6.2 % of the total energy purchased) which equates to a 6.4% reduction in CO2 compared to 2002 or 13.8 million pounds.

Second commitment

- 1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)
Material use - Hazardous materials used
- 2 What is your improvement goal (state in actual quantities) over the next five years? (Please refer to the Corporate Environmental Performance Table for measurement units.)
20 % reduction in chemicals purchased in 2005 compared to 2004 and 5% annually thereafter and will be reported in absolute pounds. The larger reduction in the first year will be due to the elimination of scrap from the process. Continued reductions will be from increased efficiencies in managing shelf life, right sized packaging which will reduce scrap and viable pollution prevention initiatives as a result of an incentive program for the chemical management system supplier.

Part 3

Please briefly describe your plan such that at least 50% of your operations or 50 of your facilities will be members of Performance Track (or similar state voluntary performance-based programs) within five years of being designated a Performance Track Corporate Leader.

Currently, Rockwell Collins has 73% of its operations participating in Performance Track. Two additional facilities will be joining by the end of 2005. We will continue to work with our facilities on their EMSs and setting meaningful performance goals with the encouragement to join Performance Track. It is anticipated that an additional 6 facilities will meet the requirements for membership in the next 5 years.

Section E

Why do we need this information?

Companies need to show how they are improving the environmental performance of their value chain (includes suppliers, customers, and product and service designers).

Tell us how you help to improve the environmental performance of your value chain.

What do you need to do?

Companies need to describe past achievements and make future commitments.

Please rate your systems to manage the environmental categories of your value chain. Refer to the Application Guide for further explanation to determine the appropriate response. Please briefly explain your ratings.

Part 1

Description

1 Overall system to manage the environmental categories of your value chain.

a We have a system in place to manage the environmental impacts in our value chain. 1 2 3 4 5 N/A

At Rockwell Collins, Inc., "Lean ElectronicsSM is the way we do business". This Lean initiative began in 1998 and early in its inception a Lean Supply system was implemented as a result of the recognition that providing value to the customer begins at the supplier facility and beyond. The goal of this system is to work together with key suppliers and ensure the creation of customer value including the streamlining of processes and the elimination of waste of all types. A recent outcome of this focus on the value chain can be illustrated through the engagement of a Chemical Management System (CMS) partner to manage Rockwell Collins chemical value stream from selection through disposal. A Value Stream can be defined as all of the actions and tasks, both value added and non-value added, required to bring an item (an idea, information, product or service) from its inception through delivery. The CMS includes managing the supply chain with goals to reduce total usage, toxics and waste.

In addition to the Lean Supply System, Rockwell Collins created a system called Life Cycle Value Stream Management where each value stream has a dedicated Leader who is responsible to manage and be accountable for the value stream from strategic planning to execution. These include actions to process information from the customer and actions to transform the product on its way to the customer. Processes are integrated together and support structures put in place to eliminate waste, increase quality, minimize cost and

reduce product cycle time. These internal value chain systems will enable Rockwell Collins to integrate the environmental management system more effectively within all activities and contribute more directly to business goals, customer satisfaction and stakeholder value while managing the environmental impacts of the value chain.

- b* We have a system in place to encourage and/or mentor our suppliers and/or customers to actively participate in EPA, state, or other voluntary performance-based environmental programs. 1 2 3 4 5 N/A

Through the relationships established in our Lean Supply Chain and Life Cycle Value Stream Management (LCVSM) systems, Rockwell Collins has opportunity to mentor suppliers and customers in their environmental improvement systems including performance based environmental programs. Rockwell Collins has made a commitment to participate in EPA's Green Suppliers Network which will assist us with mentoring suppliers in the continuous improvement of their products and processes while addressing environmental concerns. Through our Supply Chain management, suppliers are encouraged to implement an environmental management system to assist them in the continuous improvement process. Our preferred supplier performance expectations are communicated through literature, on the supplier website and at the annual supplier conference.

2 *System to improve product and service performance*

- a* We have a system in place to account for and improve the environmental performance of our new products and/or services throughout the product or service development process, including concept, design, and research and development. 1 2 3 4 5 N/A

The Life Cycle Value Stream Management system is the place that accountability for and improvement of the environmental performance of new products and/or services throughout development will most effectively occur. The Life Cycle Value Stream Leader works with engineering to review customer specifications in collaboration with other Rockwell Collins groups including Environment, Safety & Health, Advanced Manufacturing Technology and Application Engineering. Advanced Manufacturing Technology (AMT) supports technology process planning and development through application of a broad spectrum of technical disciplines, including materials, mechanical, industrial, chemical, electrical, test, statistical methods and producibility. Application Engineering provides technical expertise and recommendations in the components and materials selection process supporting Design, Manufacturing, and Field Service. Rockwell Collins has a powerful system in place but is not yet fully utilizing it for environmental performance improvements.

- b* We use tools such as design-for-the-environment, life-cycle assessment, and/or industrial ecology, to minimize the environmental impacts of our products and/or services. 1 2 3 4 5 N/A

Rockwell Collins uses several tools, including guides and procedures, to assist in minimizing the environmental impact of our products and/or services. Within the Application Engineering system, there is a series of Preferred Materials and Processes

guides with the purpose to provide technical expertise and recommendation, including environmental considerations, in the components and materials selection process supporting Design, Manufacturing, and Field Service. In addition, Rockwell Collins has several procedures that address chemicals in the design and development process to ensure environmental review prior to purchase, guidance on restricted or banned substances and in relationship to process and chemistry changes. Design-for-environment, safety and health is an area that Rockwell Collins will be expanding as we integrate more effectively with the Life Cycle Value Stream process to look for opportunities to maximize customer value while minimizing environmental impact.

- c We have a system in place to conduct reviews of our existing products periodically to ensure they are not potentially damaging to human health or the environment. 1 2 3 4 5 N/A

Currently, Rockwell Collins does not conduct periodic reviews of existing products for potential damage to human health or the environment other than product information requests from customers about materials of concern or other specification requirements. However, when those requests do come in, Environment, Safety and Health is included in that review process to address the customer's concerns. Because of FAA oversight and restrictions, redesign becomes a costly and lengthy process involving testing and re-certification that could take up to 2 years and is the primary reason Rockwell Collins does not pursue this more aggressively.

3 *System to work with suppliers*¹

- a We have supplier environmental requirements that go beyond regulatory compliance (e.g., including areas such as management systems or management of non-regulated significant environmental aspects). 1 2 3 4 5 N/A

Rockwell Collins expects that Preferred Suppliers show environmental responsibility by:

1. Being in full compliance with environmental laws and regulations
2. Operating all facilities in an environmentally responsible and sensitive manner
3. Responding to community concerns about all operations
4. Making environmental responsiveness and resource conservation an integral part of business management. e.g. Work toward landfill reduction by reducing, reusing, and/or recycling packaging
5. Continuously improving processes and measures through Lean transformation
6. Attaining ISO 14001 certification where appropriate
7. Reducing, reusing, recycling, complying and continually improving

These expectations are communicated through a supplier brochure, on the Rockwell Collins external website, Supplier page under "Our Process" and at our annual Supplier Conference.

¹ Note: The term "supplier" as used here is defined broadly to include anyone from whom your company purchases a product or a service. It includes contract manufacturers, raw material suppliers, and service providers.

- b We have a system in place to audit suppliers to ensure that they meet our environmental requirements. 1 2 3 4 5 N/A

The Lean Supply Chain Management system evaluates suppliers through an Application Engineering approval process and audits conducted by the Supply Chain Quality Assurance group. This review procedure does not currently include environmental requirements as part of the performance evaluation although Rockwell Collins Lean Supply Management team has made a commitment to add environmental criteria to supplier audits consistent with the preferred supplier expectations. This will add the elements of accountability and visibility to environmental improvement and help suppliers attain a higher level of performance leading to greater customer value. On the front end, Rockwell Collins does practice due diligence during sourcing activities and includes language in the contract concerning compliance with environmental laws and regulations and total cost of ownership.

- c We have a system (including providing incentives) in place to give preference to suppliers that provide products that meet our environmental criteria. 1 2 3 4 5 N/A

Suppliers have the opportunity to attain one of two supplier assessment levels. The Preferred Supplier level is the designation for those approved suppliers who have a mutual relationship with Rockwell Collins and meet expected levels of excellence in technology, quality, delivery, manufacturing processes, responsiveness, cost of ownership, financial stability and environmental responsibility. If a supplier falls below expected levels of performance they are expected to provide improvement plans detailing root cause, corrective action and a timeline for improvement. Each year, Rockwell Collins recognize our 100 Top Preferred Suppliers at the Annual Supplier Conference. Supplier performance is the basis for invitation and recognition and provides incentives for continued improvement. Currently, environmental expectations are a part of the Preferred Supplier designation but are not used in the evaluation. There is a commitment to incorporate these going forward.

4 *System to work with customers/users*

- a We have a system in place to ensure that our customers use our products in an environmentally-appropriate manner. 1 2 3 4 5 N/A

This question does not apply to Rockwell Collins since the products we make typically are components of the final product (airplanes).

- b We have a system in place to ensure that we fully meet our business customers' environmental requirements. 1 2 3 4 5 N/A

Life Cycle Value Stream Management and Lean Supply Chain Management systems work in concert to address customer environmental requirements. Environment, Safety and Health, Advanced Manufacturing Technology and Application Engineering are key groups in that process to ensure that all requirements are met in light of regulatory, technical and performance guidelines.

- c We have a system in place to take back products that lend themselves to reuse, recycling, or proper disposal. 1 2 3 4 5 N/A

Rockwell Collins does business with other companies, rather than consumers, whose waste/scrap is regulated by EPA and FAA. This helps ensure that the waste/scrap is being properly recycled or disposed of in a safe and environmentally responsible manner. We do not have a formal program to take back products for reuse, recycling or disposal but if the issue arises, it is dealt with on a case by case basis and is managed as appropriate with that customer. Intertrade, a Rockwell Collins company, does offer aircraft operators aftermarket solutions for avionics and airframe components. These parts are refurbished and resold. In addition, Rockwell Collins service facilities offer maintenance, repair, and technical services for all of our products.

Part 2

First achievement

- 1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)
Material use

- 3 What was the improvement over the past five years? How did you help achieve it? (Please refer to the Corporate Environmental Performance Table for examples of measurement units.)
Assisting suppliers and customers on the reuse of packaging has become part of the Rockwell Collins culture over the past 10 years although it has not been part of the metrics we have collected. In keeping with the total cost of ownership responsibility and commitment, Rockwell Collins has used the knowledge and experience we have gained in setting up packaging reuse programs internally since 1990 to help suppliers and customers do the same. Along with internal packaging reuse, we have worked with both suppliers and customers to design packaging that can be used throughout the life of a program and travel with products between facilities in the value chain and be recyclable when they are no longer usable. An example of this is the education that has been provided to suppliers on the advantage of not gluing foams to cardboard shipping cartons reducing the need for adhesives and makes cartons reusable and recyclable. In researching achievements in this area, we found the following accomplishments that were captured and are indicative of achievements across the company.
United Kingdom Service Facility - 298 customers reuse shipping containers to transport equipment back and forth through the repair process. 31 airlines participate in the reuse programs with 8306 RCI re-usable cartons used/year and 3579 customer owned cartons reused/year.
Singapore Service Facility - 95% of the shipping cartons for product needing service are reused by the customer and Rockwell Collins to ship materials back and forth. The 5% that are damaged get recycled.
DAGR Program - An 8-10 year production program is using component trays that were designed jointly by Rockwell Collins and the suppliers to be reused for the duration of the program. Two suppliers are participating and 710 trays will be reused monthly.
Cedar Rapids, IA - 3687 pounds of packaging returned to the supplier in FY04 (small items like plastic bags weighing only a few ounces). This is a result of working directly with those suppliers to set the programs up. In some cases, the requests were initiated by the supplier themselves after learning about the reuse practices of Rockwell Collins.

One Rockwell Collins supplier's results after being trained and mentored by Collins Lean Supply employees in the implementation and use of Lean ElectronicsSM - The supplier purchased reusable totes for transporting raw materials eliminating 10,000 sq ft of cardboard going to the landfill annually. They implemented a wood pallet re-use program with a raw materials supplier (1000 pallets annually) and the use of reusable parts dividers eliminating 12,000 sq ft of cardboard from the landfill. In addition, they now have in-house re-usable totes eliminating 350,000 sq ft of foam from going to the landfill.

Part 3

First commitment

- 1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)
Supplier's environmental performance
- 2 What is the improvement goal over the next five years? (Please refer to the Corporate Environmental Performance Table for examples of measurement units.)
Rockwell Collins will join EPA's Green Suppliers Network and participate in the Aerospace sector group. This is a natural extension of Rockwell Collins' Lean Supply System that, to date, has worked with 55 key suppliers to assist them in their processes with a focus on eliminating waste and creating an improvement philosophy supplemented by tools that could be sustained. The Lean culture has already been integrated into the business and participation in Green Suppliers Network will add a more formalized environmental dimension. Rockwell Collins will incorporate Green Suppliers Network activities with current lean efforts with 15 suppliers each year moving forward.

Second commitment

- 1 What area have you selected? (Please refer to the Corporate Environmental Performance Table for examples.)
Suppliers' Environmental Performance
- 2 What is the improvement goal over the next five years? (Please refer to the Corporate Environmental Performance Table for examples of measurement units.)
Rockwell Collins' Lean Supply Chain management group will incorporate environmental performance expectations into the supplier evaluation process. During year one, current expectations will be updated and translated into an evaluation tool that can be integrated into the Lean Supply Process. In subsequent years, this evaluation tool will be deployed at a minimum with the 15 key suppliers that are targeted to participate in the Green Suppliers Network. In addition, a suppliers environmental achievement award will be added and given at Rockwell Collins Annual Supplier Conference.

Section F

Why do we need this information?

Companies need to demonstrate their commitment and identify appropriate mechanisms in place to publicly report their environmental performance.

Tell us about your public outreach and reporting of your environmental performance.

What do you need to do?

Describe what information you report to the public regarding your environmental performance. Refer to the Application Guide for further explanation to determine the appropriate response.

Public outreach

- 1 Do you have a corporate system to identify and respond to community and stakeholder concerns? If yes, please describe. Yes / No

Our corporate policy requires that facilities inform the community of hazardous materials used at their location and participate in community contingency planning. Additionally, we respond to community interests and inquiries. Facilities receive assistance with this through our Internal ESH Incident Report that includes community and stakeholder inquiries. The report gets submitted to the Director of ESH. A list of contacts on the external webpage includes one for State Government and Public Affairs to assist in the public inquiry process. Proactively, Rockwell Collins created a community based grant program called Green Communities that is committed to promoting environmental stewardship and helps fund environmental projects in communities where we operate. Projects selected either conserve natural resources and raw materials or restore and develop ecological habitats and are a cooperative effort between a qualified non-profit organization and Rockwell Collins employees. In its first year of existence, grant winners represented projects in 13 locations, five states and three countries.

- 2 Are there ongoing citizen suits related to environmental issues at any of your facilities or against your company as a whole? If yes, please explain the circumstances. Yes / No

Public environmental report

- 1 Please explain your mechanisms to make environmental data available to the public (environmental report, website postings, etc.)

Rockwell Collins publishes an Environment, Safety and Health annual report that is sent to key stakeholders within the communities in which we operate and posted on the internal and external websites.

If your company releases an environmental report:

- a* How frequently is this report published? Annually
- b* When was this report last published? August, 2004
www.rockwellcollins.com [EX11 disclaimer](#)
- c* Is an up-to-date version of your report available on your website? *(Please share the website address and attach five copies of report, if available.)* Yes / No

d To what extent does the environmental report or other mechanism to report your environmental performance to the public describe your performance in the following areas:

	1	2	3	4	5	N/A
<i>i</i> Materials use intensity/raw materials use	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>ii</i> Energy use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>iii</i> Water use	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>iv</i> Packaging use	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>v</i> Product life environmental performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>vi</i> Air releases	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>vii</i> Greenhouse gas emissions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>viii</i> Water releases	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>ix</i> Toxic releases	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>x</i> Hazardous waste disposed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>xi</i> Solid waste disposed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>xii</i> Recycling	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<i>xiii</i> Eco-efficiency measures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>xiv</i> Environmental expenditures and savings	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>xv</i> Revenues associated with environmental activities, products, or services	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>xvi</i> Conservation activities/land use	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>xvii</i> "Negative" performance (spills, instances of non-compliance, fines, sanctions)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>xviii</i> Community outreach activities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
<i>xix</i> Supplier environmental performance	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<i>xx</i> Other (please specify)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2 How will you make your environmental commitments and performance as a designated Performance Track Corporate Leader available to the public?
 At a minimum, Performance Track Corporate Leader commitments and performance will be included in the annual ES&H report which will be posted on our website.

Note from Question #1.d regarding the reporting of Recycling in the annual report. N/A was selected because while Rockwell Collins collects recycling data from facilities, we have a focus

on reducing the amount of waste landfilled which includes reducing and reusing efforts as well as recycling. Consequently, landfill use is what we report. This thinking has been integrated into our culture for so long that employees naturally look for ways to keep materials out of the landfill. As an illustration of this, we have a tremendous reuse program internally and externally which you can read about in the annual report.

Section G

On behalf of Rockwell Collins,

Application and Membership Statement


I certify that:

I have read and agree to the terms and conditions for Application and Membership as a designated Performance Track Corporate Leader, as specified in the *Performance Track Corporate Leader Guide* and in the *Application Guide*.

I have personally examined and am familiar with the information contained in this Application. The information contained in this Application is, to the best of my knowledge and based on reasonable inquiry, true, accurate, and complete, and I have no reason to believe the company would not meet all program requirements.

I agree that EPA's decision whether to accept companies into or remove them from the Performance Track Corporate Leader designation is wholly discretionary, and I waive any right to challenge EPA's acceptance or removal decision. I also understand that my company's membership in the program will not be considered to be legally relevant in any enforcement proceedings for violations of environmental requirements.

I am a senior executive of the company to whom the environmental function reports and am fully authorized to execute this statement on behalf of the company applying for the Performance Track Corporate Leader designation.

Signature/Date	_____
Printed Name/Title	<u>Kent Statler, Senior Vice President Operations</u>
Phone Number/E-mail	<u>319-295-5408/ klstatle@rockwellcollins.com </u>
Company Name	<u>Rockwell Collins</u>
Company Street Address	<u>400 Collins Road</u>
City/State/Zip Code	<u>Cedar Rapids, Iowa 52498</u>

The National Environmental Performance Track is a U.S. Environmental Protection Agency program. Please direct inquiries to Dan Fiorino, 202-566-2869, or e-mail fiorino.dan@epa.gov.

To submit your membership application:

1) E-mail the completed form to fiorino.dan@epa.gov.

and

2) Fax the completed and signed participation statement (not the entire form) to 202-566-2989.

If you cannot e-mail the membership application, mail a hard copy of the entire completed form to:

Dan Fiorino
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U.S. Environmental Protection Agency
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