Johnson Controls
2021 Sustainability Report

The power behind **your mission**

Johnson Controls

"At Johnson Controls, sustainability is our business. This year we continued to pioneer new and important paths to sustainability, including our issuance of a green bond in the U.S. capital markets – among the very first industrials to do so.

We welcome and embrace the enhanced attention and urgency around tackling climate change and making gains across environmental, social and governance pillars. We are determined to strengthen and further build our culture of diversity and inclusion.

Our bold new sustainability commitments demonstrate we are all-in to help drive healthy buildings, healthy people and a healthy planet for our employees, shareholders, customers and all our stakeholders."

George Oliver
Chairman and CEO

This 2021 Sustainability Report and GRI Index by Johnson Controls International plc of fiscal year 2020 data has been prepared in accordance with the GRI Standards: Comprehensive option.

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Introduction

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Letter from George Oliver, Chairman and CEO and Katie McGinty, Chief Sustainability, Government and Regulatory Affairs Officer

As we reflect on the past year, the COVID-19 pandemic fundamentally shifted our lives and changed the way we think about interacting with the people and spaces around us. As the global leader in smart, healthy and sustainable buildings, we reimagine the performance of buildings and provide innovative products and services that make spaces healthier for those that occupy them and for the environment that surrounds them. The nature of our business puts us in a unique position. We are incredibly proud of our 100,000 employees around the world, the milestones we achieved as a team, and the path we laid out for bold climate and social action to help push the envelope forward in demonstrating how we can contribute to a better planet.

Sustainability has always been at the heart of our business and fundamental to everything we do as a company. Our OpenBlue connected technologies and digital capabilities help our own business and our customers optimize asset performance, enhance occupant experiences, and meet energy efficiency and environmental goals to deliver on a vision of healthy buildings, healthy people and a healthy planet. Nearly half of Johnson Controls revenue already comes from products and services that cut energy use and improve sustainability for our customers.

To further reflect this mindset, in January 2021, we announced ambitious new sustainability commitments that outline our priority to make positive changes in reducing our company's environmental footprint. Building on our history of sustainability leadership, we committed to achieving net zero carbon emissions before 2040 and announced science-based targets for 2030. We set a goal to double our customers' emission reductions through implementation of our OpenBlue digitally enabled solutions. And we are elevating sustainability as a key performance metric for preferred suppliers while also launching a supplier cohort training initiative to cut supplier emissions. Last year, we launched our OpenBlue digital platform for optimizing building sustainability that will be central to fulfilling these goals.

We are committed to building a diverse and inclusive team that will help us continue to attract the best talent and drive best-in-class performance of our products and services. We intend to double the representation of women leaders globally and minority leaders in the United States over the next five years. And we are launching an initiative to educate the next generation of diverse sustainable building industry leaders, in partnership with historically black colleges and universities (HBCUs).

The past year has been difficult for us all. Throughout these challenges, we have been so proud of our Johnson Controls colleagues who showed real resilience and a passion to make a positive difference. Our environmental health and safety teams around the world worked tirelessly to keep our employees safe. Outside of work, employees stepped up to volunteer in the communities where they live, work, and play, going above and beyond to take care of each other. And in the face of social unrest, we saw our leadership reaffirm what is true – that black lives matter and that we do not tolerate discrimination of any kind at Johnson Controls.

We also made sustainability a direct part of our investor offerings by becoming one of the first industrial companies to issue a green bond in U.S. debt capital markets. Proceeds from this inaugural green bond offering are being allocated to support projects that focus on actionable sustainability in pursuit of our goals. Through this debt issuance, we reaffirm our industry leadership in the

area of sustainable finance. In 2019, we became one of the first industrial companies in the U.S. syndicated loan market to tie our senior revolving credit facilities to specific sustainability metrics.

In fiscal 2020, our board of directors expanded its sustainability oversight role, we named our company's first Chief Sustainability Officer, and we created a new executive-level Sustainability Leadership Committee with sustainability oversight for the company. For fiscal 2021, sustainability and diversity performance goals are required for the top leaders of our company as well as our executive team. The compensation of our leaders is linked to us achieving our goals. In addition, our CEO Sustainability scorecard includes greenhouse gas emissions reduction targets. Our approved science-based targets align with the Paris Agreement's most ambitious goal of limiting the temperature increase to 1.5 degrees Celsius.

We know that driving sustainability is a collective effort. As such, we joined an international group of leading businesses as part of The Climate Pledge, a commitment co-founded by Amazon and Global Optimism. As a signatory, we committed to reaching net-zero carbon emissions by 2040, ten years ahead of the goal set out in the Paris Climate Agreement.

We believe our leadership in sustainability ultimately creates long-term benefits for our customers, employees, shareholders, and society. We have significant work ahead. But this is not new for us – sustainability is where we came from. Johnson Controls has been delivering sustainable solutions to our customers for 136 years. The next decade is crucial in our shift to a sustainable economy, and with our team of 100,000 employees, we are firmly committed to continuing to build a world that's safe, comfortable and sustainable.

George Oliver
Chairman and CEO

Katie McGinty
Chief Sustainability, Government and Regulatory Affairs Officer

We are honored to be recognized

We don't just talk about sustainability at Johnson Controls. We do what we say we will do and are transparent about where we can improve. As a result, we are proud and honored to be named in more than 40 leading sustainability awards and indexes, including:

Most Sustainable Corporations in the World GLOBAL100

2021 WORLD'S MOST ETHICAL COMPANIES® WWW.ETHISPHERE.COM 14-TIME HONOREE

Awarded World's Most Ethical Company in 2021 by Ethisphere Magazine. Nominated 14 times since 2007.

CLEAN200™

Honored as one of the Carbon Clean 200 by Corporate Knights and As You Sow since 2016.

Corporate ESG Performance Prime RATED BY ISS ESG

3BL MEDIA 100 BEST CORPORATE CITIZENS 2020

Named one of the 100 Best Corporate Citizens by Corporate Responsibility Magazine for the 15th year in a row

CDP DISCLOSURE INSIGHT ACTION

2020 Climate Change Leadership

MSCI

AAA Rating since 2018

EURONEXT vigeo eiris INDICES

Euronext Vigeo Eiris World 120 and U.S. 50

Calvert An Eaton Vance Company

Calvert Responsible Index. Since 2009.

STOXX

STOXX Global ESG Leaders

UN GLOBAL COMPACT

Global Compact 100 Index since 2013. Since 2004, Johnson Controls has been committed to the U.N. Global Compact and its principles of human rights, labor, the environment and anti-corruption.

S&P 500 ESG Index

ENERGY STAR Most Efficient 2020 www.energystar.gov

Five-time winner of Derwent Top 100 Global Innovators

GOLD 2020 ecovadis Sustainability Rating

Ecovadis Gold Sustainability Rating

FTSE4Good

FTSE4Good Index Series and FTSE Environmental Opportunities 100 Index

2020 R&D 100 WINNER

2020 R&D 100 Awards winner for Building Efficiency Targeting Tool for Energy Retrofits (BETTER)

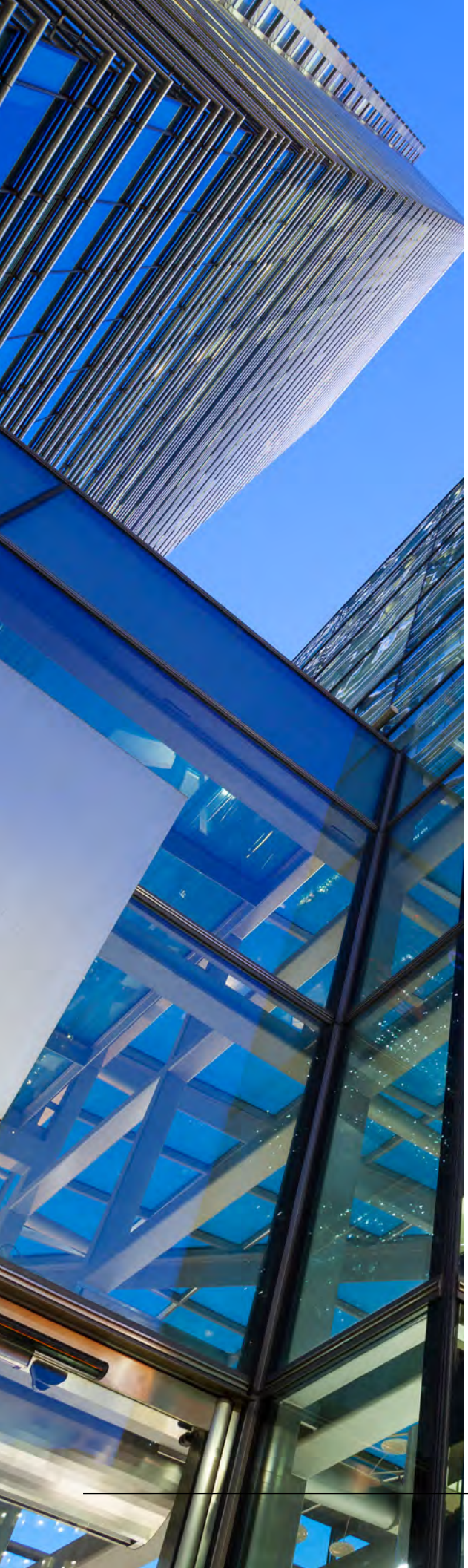
top EMPLOYER 中国杰出雇主 CHINA 2021 CERTIFIED EXCELLENCE IN EMPLOYEE CONDITIONS

Tenth consecutive year

environmental LEADER JUDGES' CHOICE AWARD

Sustainability Product of the Year

Top Veteran-Friendly Companies, 2020



Our company

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At Johnson Controls we transform the places where people live, work, learn and play.

As the global leader in smart, healthy and sustainable buildings, our mission is to reimagine the performance of buildings to serve people, places and the planet. With a history of innovation, Johnson Controls delivers the blueprint of the future for industries such as healthcare, schools, data centers, airports, stadiums, manufacturing and beyond through its comprehensive digital offering OpenBlue. With a global team of 100,000 experts in more than 150 countries, Johnson Controls offers the world's largest portfolio of building technology and software as well as service solutions delivered through some of the most trusted names in the industry.

We have been making buildings more sustainable since Warren Johnson invented the first electric thermostat almost 140 years ago. Our capabilities, depth of innovation experience and global reach have been growing ever since. We serve more than four million customers around the globe. Johnson Controls is focused on empowering customers and communities to streamline building operations and deliver energy efficiencies that will help them meet their environmental goals.

We believe our leadership in sustainability ultimately creates long-term benefits for our customers, employees, shareholders, and society. We are committed to helping our customers win and creating greater value for all our stakeholders through our strategic focus on healthy buildings. We will continue to innovate and uncover new pathways to meet our goals which will contribute to healthier people, healthier places, and a healthier planet.

Our offering includes a wide range of world-class HVAC equipment and controls, energy management systems, security systems, industrial refrigeration products, fire detection systems, and fire suppression solutions. Our leading portfolio of building technology and solutions includes some of the most trusted names in the industry, such as Tyco®, YORK®, Hitachi Air Conditioning, Metasys®, Ruskin®, Titus®, Frick®, Penn®, Sabroe®, Simplex®, Ansul®, and Grinnell®.

Johnson Controls businesses are recognized for providing sustainable products, services and solutions. Our customers trust us to provide purposeful technology and insights that improve resilience, safety and resource efficiency.

Industries	Products and Solutions	Services and Support
Data Centers	HVAC Equipment	Operations, Maintenance and Repair Services
K–12 Education	Building Automation and Controls	Training Services
Federal Government	Security	Product Documentation
Global Marine and Navy	Fire Detection	Product Selection Tools
Residential	Fire Suppression	Energy and Efficiency Solutions
Healthcare	Digital Solutions	Design and Construction Solutions
Industrial and Manufacturing	Industrial Refrigeration	Optimization and Retrofit Solutions
Higher Education	Residential and Smart Home	Systems Integration
State and Local Government	Retail Solutions	Managed Services
Public and Affordable Housing	Distributed Energy Storage	Fire Maintenance and Support
Sports and Entertainment		Security Maintenance and Support
Transportation		Replacement Parts and Supplies

Sustainable financing

In September 2020, we completed our inaugural green bond issuance in the form of $625 million in 10-year senior notes. This milestone achievement makes Johnson Controls one of the first industrial companies to issue a green bond in the U.S. Dollar debt capital markets.

Through this debt issuance, we reaffirm our industry leadership in the area of sustainable finance, having also been one of the first industrials in the U.S. syndicated loan market to tie our senior revolving credit facilities to specific sustainability key performance indicators.

The green bond was issued in line with our new Green Finance Framework, which is aligned with the 2018 International Capital Market Association Green Bond Principles and 2020 Green Loan Principles. These principles are designed to promote integrity of the green financing market by offering guidelines that recommend transparency, disclosure and reporting to drive investors to allocate capital to projects that are more environmentally sustainable.

A second-party independent opinion on the Johnson Controls Green Finance Framework's alignment with the core components of the Green Bond Principles (2018) and Green Loan Principles (2020) was provided by Sustainalytics, a consultant with recognized environmental and social expertise.

The utilization of the proceeds from green financing should provide clear environmental benefits. The Green Bond Principles and Green Loan Principles recognize eligible green categories for the use of green finance proceeds, contributing to five high-level environmental objectives:

- Climate change mitigation
- Climate change adaptation
- Natural resource conservation
- Biodiversity conservation
- Pollution prevention and control

Johnson Controls intends to allocate an amount equal to the net proceeds from the issuance of any green financing instruments to financing or refinancing, in whole or in part, a portfolio of new or existing Eligible Green Projects across one or more of the following categories:

- Eco-efficient and/or circular economy products, production technologies and processes
- Green buildings
- Pollution prevention and sustainable water and wastewater management
- Clean transportation
- Renewable energy

Johnson Controls intends to make and keep readily available green finance reporting on the allocation of proceeds and environmental impact following the one-year anniversary of any green financing. This will be renewed annually until the complete allocation of any net outstanding proceeds.

We established a Green Finance Committee consisting of members of our Sustainability Leadership Committee, treasury, legal and other subject matter experts. This committee is responsible for evaluating and selecting projects that will receive allocations related to green finance proceeds, based on compliance with the definition of eligible green projects. The Green Finance Committee will also ensure that all eligible green projects selected comply with the Johnson Controls Enterprise Risk Management program. This program provides a common framework and terminology to ensure consistency in the identification, reporting, analysis and management of key risks. Also see the green finance section of our website.

Sustainability commitments

Ambitious vision. Measurable results.

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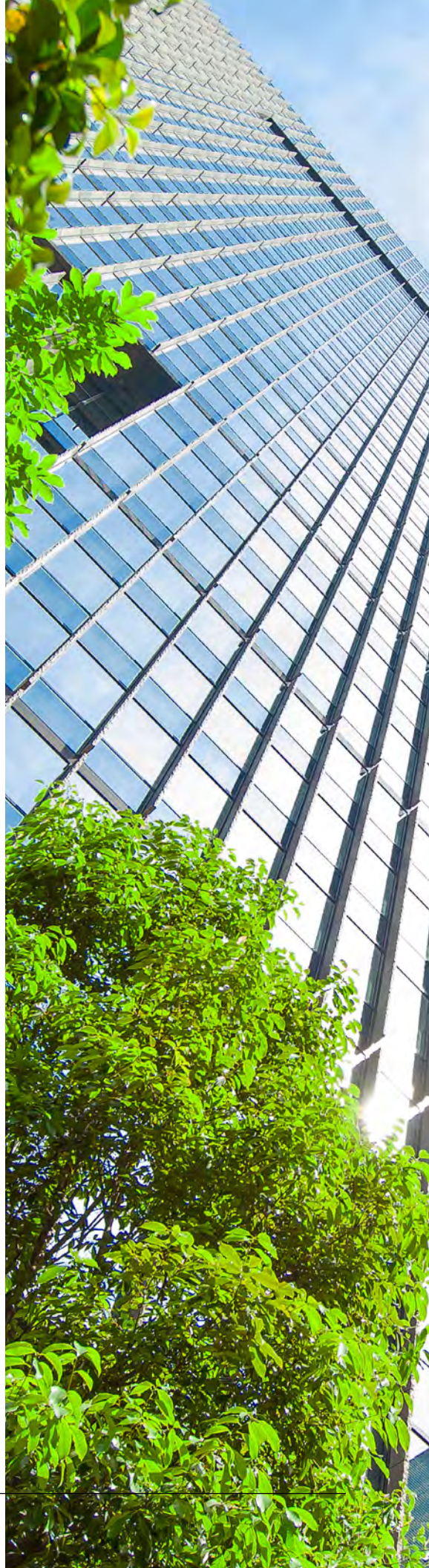
Johnson Controls has always been a company that drives energy efficiency, both internally and for our customers.

Johnson Controls has publicly reported sustainability data since 2002. We do what we say we will do and are transparent about where we can improve. As a result, we are proud and fortunate to be included in more than 40 prestigious sustainability indexes. We established our 2025 Sustainability Strategy in 2018 based on our new company footprint, sustainability materiality assessment, and corporate strategic plan.

We always seek to do more, which is why we recently announced new environmental, social and governance commitments, science-based targets and a net-zero carbon pledge to support a healthier, more sustainable planet over the next two decades. Emissions reductions from our company and our customers will be driven by Johnson Controls OpenBlue technologies and innovations. These solutions leverage big data and artificial intelligence to optimize building sustainability.

The launch of these new commitments will enable us to deliver quantifiable efforts to reduce carbon emissions, drive climate-focused innovation, and work closely with customers and suppliers to meet sustainability goals. These will also supply a measurable impact against our three key OpenBlue healthy building pillars: healthy people, healthy places, and a healthy planet.



Sustainability commitments

Environmental sustainability commitments:

- Set science-based targets consistent with the most ambitious 1.5°C Intergovernmental Panel on Climate Change scenario
- Reduce Johnson Controls absolute operational emissions by 55 percent and reduce absolute customers' emissions by 16 percent before 2030
- Achieve net-zero carbon emissions before 2040, in line with the United Nations Framework Convention on Climate Change Race to Zero and Business Ambition for 1.5°C criteria
- Invest 75 percent of new product development R&D in climate-related innovation to develop sustainable products and services
- Achieve 100 percent renewable electricity usage globally by 2040

Customer and supply chain commitments:

- Double annual avoided emissions by 2030 through customer use of digitally enabled products and services from OpenBlue
- Create a supplier sustainability council with cohorts of suppliers and their tier-one suppliers, and provide suppliers with training on sustainability best practices and OpenBlue digital tools to meet ambitious public sustainability goals
- Weight sustainability equal to other key metrics in supplier performance evaluations and provide a preference for suppliers with excellent sustainability ratings

Social and governance commitments:

- Intend to double the representation of women leaders globally and minority leaders in the United States within five years
- Launch an initiative to educate the next generation of diverse sustainable building industry leaders in partnership with HBCUs
- Include sustainability and diversity goals in senior leaders' performance assessments, which are linked to executive compensation to drive accountability
- Launch an initiative focused on underserved markets and increase the Johnson Controls spend with women and minority-owned businesses

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Voluntary Corporate Commitments	Date Adopted
U.N. Global Compact	2004
Copenhagen Communique	2009
Global Alliance for Energy Productivity EP100	2015
Responsible Corporate Engagement in Climate Policy	2015
American Business Act on Climate Pledge	2015
"We Are In" pledge	2017
Commitment to adopt Science-Based Targets	2018
Three Percent Club	2019
High-Level Commission on Carbon Pricing and Competitiveness	2019
Science-Based Targets (set in 2020; approved in 2021)	2020
The Climate Pledge	2021

The Climate Pledge

Committing to reaching net-zero carbon emissions by 2040

Johnson Controls recently joined The Climate Pledge, a commitment co-founded by Amazon and Global Optimism. Signatories of the Pledge commit to reaching net-zero carbon emissions by 2040, ten years ahead of the goal set out in the United Nations Paris Climate Agreement.

THE CLIMATE PLEDGE Paris... 10 years Early

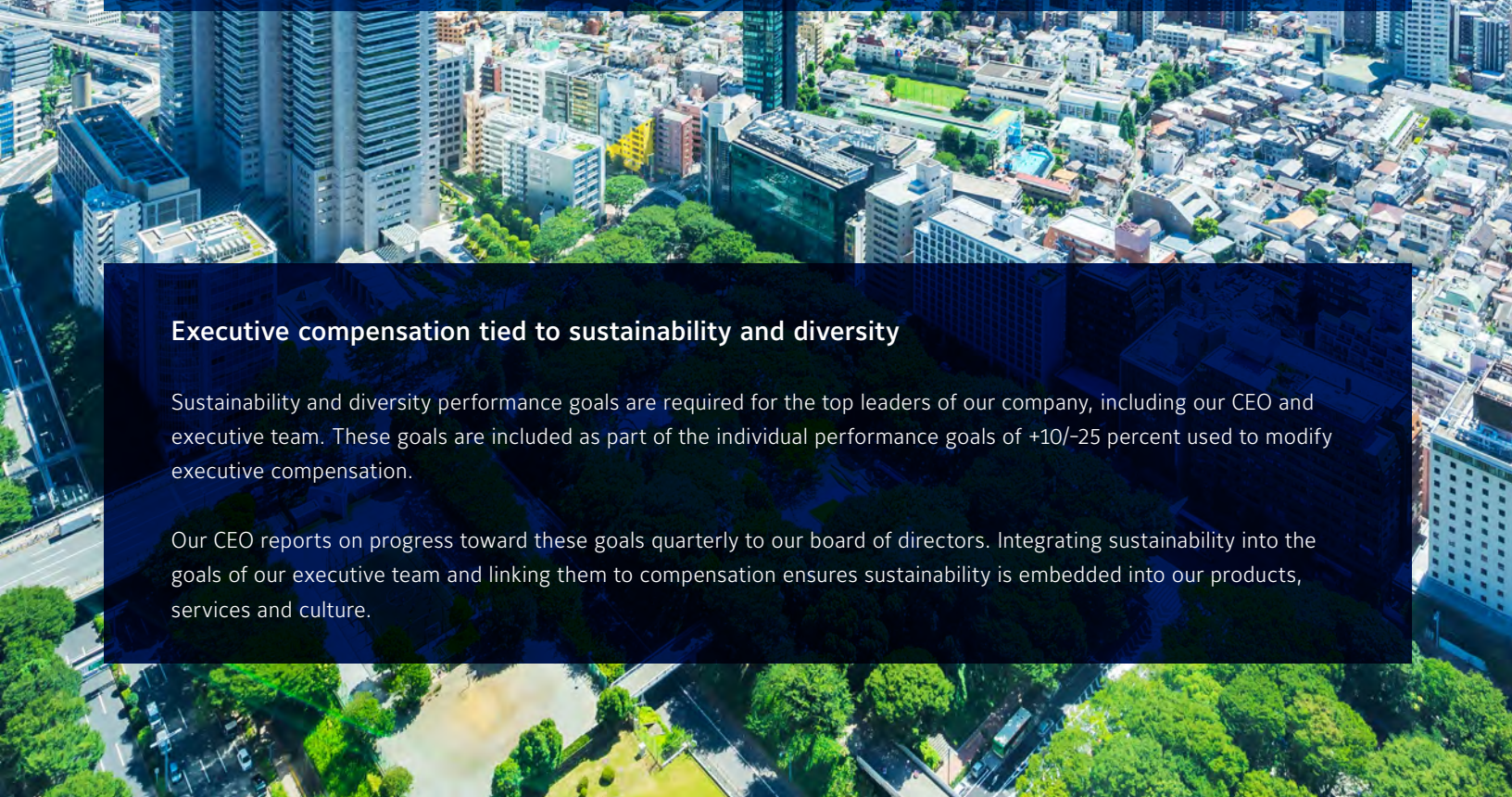
Business Roundtable Energy and Environment Committee

As of January 2021, our CEO George Oliver became chairman of the Business Roundtable Energy and Environment Committee. Business Roundtable is an association of chief executive officers of America's leading companies. Through research and advocacy, Business Roundtable supports policies to spur job creation, improve U.S. competitiveness and strengthen the economy. Its Energy & Environment Committee is dedicated to advancing policies that encourage innovation and support an environmentally and economically sustainable future.

Business Roundtable believes that to avoid the worst impacts of climate change, the world must work together to limit the global temperature rise this century to well below 2 degrees Celsius above preindustrial levels, consistent with the Paris Agreement. The United States and the international community must aggressively reduce GHG emissions and create incentives for developing new technologies to achieve this goal. Business Roundtable supports a goal of reducing net U.S. GHG emissions by at least 80 percent from 2005 levels by 2050.

"I am honored to be selected as Chair of the Energy & Environment Committee and look forward to working with my fellow CEOs to support policies that preserve our environment and maximize our energy options," said George Oliver, chairman and CEO.

"Climate change is one of the greatest challenges facing the planet today. Business Roundtable believes that businesses are an essential part of the solution and calls for collective action and policies to drive innovation, significantly reduce greenhouse gas emissions and limit global temperature rise."



Executive compensation tied to sustainability and diversity

Sustainability and diversity performance goals are required for the top leaders of our company, including our CEO and executive team. These goals are included as part of the individual performance goals of +10/-25 percent used to modify executive compensation.

Our CEO reports on progress toward these goals quarterly to our board of directors. Integrating sustainability into the goals of our executive team and linking them to compensation ensures sustainability is embedded into our products, services and culture.

2025 Sustainability Strategy

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Our 2025 Sustainability Strategy takes a holistic approach to sustainability through five pillars of focus.

Solutions

Provide increasingly sustainable products and services

Integrate sustainable design for products and services identified as having the highest environmental and social impact

People

Foster a culture of sustainability that engages and attracts people who want to make a difference

Volunteer 2.5 million hours and establish employee engagement groups globally, furthering the United Nations Sustainable Development Goals

Partnerships

Lead in global sustainability partnerships

Leverage our impact through at least three global strategic sustainability partnerships

Performance

Improve how we perform

From a 2017 baseline:

25%	10%	25%	25%	Increase
reduction for energy and greenhouse gas intensity	reduction for water use at stressed locations	of manufacturing locations landfill-free	reduction in recordable safety incidents	diverse supplier spend at a rate exceeding revenue growth

Governance

Demonstrate our commitment from the top

Continue integration of sustainability into company goals and decision-making

2025 Sustainability Strategy – progress to date

Strategy	2025 goals	Progress by the end of fiscal year 2020
Solutions Provide increasingly sustainable products and services.	Integrate sustainable design for products and services identified as having the highest environmental and social impact.	Our Science-Based targets were submitted in 2020 and approved in 2021 by the Science Based Targets Initiative. Our targets align with the Paris Agreement's most ambitious goal to limit the temperature increase to 1.5 degrees Celsius. Since January 2000, performance contracting projects have helped our customers save more than 30.6 million metric tons CO_2e and $6.6 billion USD through energy and operational savings. In September 2020, we announced the official opening of our $50 million OpenBlue Innovation Center in Singapore, Singapore's first new-build net-zero energy building, to create a future-ready built environment that meets new demands for health, safety and sustainability in connected buildings. We are committed to the worldwide transition to low-global warming potential (GWP) refrigerants and we offer alternative refrigerants across all chiller platforms, with GWP reductions ranging from 56 to more than 99 percent compared to conventional refrigerants. We believe we offer the most comprehensive range of industrial refrigeration and cooling equipment in the market, enabling solutions with the lowest total lifecycle greenhouse gas emissions for any application.
People Foster a culture of sustainability that engages and attracts people who want to make a difference.	Volunteer 2.5 million hours by 2025. Align 80 percent of volunteer activities with U.N. Sustainable Development Goals. Establish employee engagement groups globally. Integrate sustainability into recruitment.	In 2020, employees brought our total volunteer hours to 1.8 million, volunteering individually and on group projects in communities around the world. In 2020, we launched a new volunteer engagement program, WeGive. For each hour employees volunteer, we provide funds to eligible nonprofit organizations to support their work. More than 83 percent of our volunteering and philanthropy efforts align with U.N. Sustainable Development Goals. In 2020, our company re-launched the Business Resource Group structure with support and ongoing engagement from our executive team. In fiscal year 2020, our corporate philanthropy efforts resulted in contributions of more than $8.2 million. In addition, our employees gave in excess of $2.6 million. The global COVID-19 crisis challenged us to lean even further into our commitment to keep communities safe. In 2020, employees globally stepped up to donate time and funds to COVID-19 relief, with the Johnson Controls Foundation matching employee donations in the U.S. and the company matching the donations outside the U.S. Johnson Controls and our foundation also provided significant donations to nonprofits around the world for COVID-19 relief work. Johnson Controls Mexico achieved gold level, the highest level, in the Mexican Standard on Job Equality and Non-Discrimination. We are one of only two multinational corporations to be awarded the gold level at multiple sites. This certification was issued by Factual Services with the endorsement of the Mexican Federal Secretary of Labor.

Strategy	2025 goals	Progress by the end of fiscal year 2020
Partnerships Lead in global partnerships that significantly increase our sustainability impact.	Leverage our impact through at least three global strategic sustainability partnerships.	Effective January 2021, George Oliver is the chairman of the Business Roundtable Energy & Environment Committee. The committee dedicates itself to policies that support an environmentally and economically sustainable future. This includes supporting policies that can deliver at least 80 percent carbon emission reductions before 2050 in line with the goals of the Paris Climate Accord. We committed to launch an initiative to support the training and education of students from historically black colleges and universities and selected universities around the world in environmental sustainability, energy equity, healthy building practices and building decarbonization solutions. Johnson Controls and the Lawrence Berkeley National Laboratory won the prestigious R&D 100 Award in the Software/Services category from R&D World for the Building Efficiency Targeting Tool for Energy Retrofits (BETTER). The open-source BETTER tool allows building owners and managers to convert readily available monthly building energy consumption data into specific recommendations to improve building energy efficiency at scale worldwide.
Performance Improve our sustainability performance and track our progress.	From a 2017 baseline: 25 percent reduction in greenhouse gas emissions intensity. 25 percent reduction in energy intensity. 10 percent water reduction at water-stressed locations. 25 percent of manufacturing locations landfill-free 25 percent reduction in recordable safety incidents. Increase diverse supplier spend at a rate exceeding revenue growth.	We exceeded our fiscal year 2020 goal for greenhouse gas intensity with a 7.7 percent reduction. In addition, we reduced our energy intensity by 3.2 percent. We offset 100 percent of our greenhouse gas emissions from our manufacturing plants in the United States through the purchase of renewable energy certificates. We are on track to meet our zero landfill goals, with 21 of our facilities becoming landfill-free to date. We conducted a detailed analysis with the World Resources Institute's Aquaduct™ tool to identify which of our locations are in water-stressed areas. We exceeded our goal and achieved an 11 percent water reduction at water-stressed locations in FY20 from a FY17 baseline. We exceeded our fiscal year 2020 safety goal and we promote a Zero Harm vision worldwide. In 2020, in response to the COVID-19, we created additional Zero Harm processes, tools and solutions to support our employees and sites through the pandemic. In 2020, we achieved our supplier diversity goal to purchase from certified diverse suppliers at a higher percentage rate than revenue growth.

Strategy	2025 goals	Progress by the end of fiscal year 2020
Governance Demonstrate our commitment from the top. 	Continue to integrate sustainability into company goals and decision-making. Ensure a robust sustainability governance process. Disclose climate-related risks in financial reporting. Implement new policies/ practices to maintain leadership.	The Johnson Controls Governance Committee of the board of directors was renamed the Governance and Sustainability Committee and given expanded sustainability oversight. In 2020, we named Katie McGinty the company's first Chief Sustainability Officer. McGinty is a recognized innovator in sustainability, clean energy, and the environment. She is a former Chair of the White House Council on Environmental Quality as well as former Secretary of the Pennsylvania Department of Environmental Protection. The Sustainability Leadership Committee (SLC) was created to oversee sustainability at the company. It is made up of leaders of our businesses, regions across the globe, and key corporate functions. The SLC reports regularly to the CEO and the Executive Committee and quarterly to the board. In September 2020, we announced the pricing of our first Green Bond offering of $625 million in ten-year notes. The net proceeds will support projects that focus on sustainability and support our 2025 sustainability goals. This initiative builds on our commitment to sustainable finance and is our second sustainability-driven financing project. In 2019, we became one of the first industrial companies to tie its senior revolving credit facilities to specific sustainability metrics in the U.S. syndicated loan market. Sustainability and diversity performance goals are required for the top leaders of our company, including our CEO and our executive team. These goals are included as part of the individual performance goals of +10/-25 percent used to modify executive compensation. Our CEO reports on progress toward these goals quarterly to our board of directors. By integrating sustainability into the goals of our executive team and linking them to compensation it ensures that sustainability is embedded into our products, services and culture. In fiscal year 2020, we were once again named one of the 100 Best Corporate Citizens by 3BL Media, one of the World's Most Ethical Companies® by Ethisphere, included in the Carbon Clean 200™ by Corporate Knights, rated AAA by MSCI, part of FTSE4Good, and are honored to be listed on more than 40 leading sustainability indexes.

Sustainability Leadership Committee

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At Johnson Controls, sustainability is distributed, integrated and embedded across our businesses and across our functions.

The Sustainability Leadership Committee provides regular updates to our Executive Committee and our board of directors. It is chaired by our Chief Sustainability Officer and its members are senior leaders from across our business, functions and regions. It is charged with ensuring we are leaders in all measures of sustainability, embedding sustainability into our culture and operations across the enterprise, building sustainability metrics into employee performance goals, and launching working groups under the Global Sustainability Council (GSC).

The GSC and Global Sustainability Team play the roles of connector and coordinator, ensuring streamlined engagement across diverse business functions to deliver on the enterprise sustainability strategy. The GSC was established in 2009 to provide a structure for enterprise-wide sustainability management. The working groups are composed of small teams and are designed to address specific sustainability-related topics.

Materiality

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A year ago, when our business became a pure-play buildings business, we completed a Sustainability Materiality Assessment. During this process, we engaged our business leaders, employees, key suppliers, some top customers, highly-regarded NGOs, and industry groups with expertise in sustainability, labor groups, and the trade press. We also consulted academic leaders who are knowledgeable about our business to ensure cross-functional and global representation.

The process helped Johnson Controls assess the environmental, social and governance topics that are priorities for our employees, customers, supply chain participants and nonprofit stakeholders. The results showed that the sustainability-related issues of greatest importance to Johnson Controls and our stakeholders are:

- Ethics and compliance
- Employee health and safety
- Product quality and safety
- Innovation
- Energy-efficient products
- Human rights
- Cybersecurity
- Energy and environment laws and regulations
- Waste and hazardous materials management
- Climate policy and engagement leadership
- Sustainable products and services

We use this feedback to help us identify priority sustainability issues, inform our sustainability strategy, ensure we report on the issues of most interest, and integrate this stakeholder feedback into our Enterprise Risk Management process. Ensuring that we focus on material topics, we also have determined to report to GRI Standards: Comprehensive Guidelines, and thus include the following in our sustainability reporting:

2020 Reporting Topics			
Economic performance	Energy	Occupational health and safety	Human rights
Market presence	Greenhouse gas emissions	Training and education	Local communities
Indirect economic impacts	Water	Diversity and equal opportunity	Supplier social assessment
Procurement practices	Effluents and waste	Freedom of association and collective bargaining	Public policy
Anti-corruption	Biodiversity	Child labor	Customer health and safety
Anti-competitive behavior	Environmental compliance	Forced or compulsory labor	Privacy
Tax	Supplier environmental assessment	Security practices	Socio-economic compliance
Materials	Employment	Rights of indigenous people	

Boundary for all topics: Business operations that were at least 51 percent under Johnson Controls operating control and financially consolidated during the reporting year.

Disclaimer: Throughout this report, materiality refers to the list of sustainability topics about which Johnson Controls communicates because they are material for our stakeholders in this context. It should not be confused with materiality for financial or regulatory purposes.

Actions based on stakeholder feedback:

Environment

- **Provide increasingly sustainable products and services** – Our biggest opportunity to make a positive global sustainability impact is through our products and services. We are committed to innovation in developing increasingly energy-efficient and sustainable products and services.
- **Improve how we perform** – We have made great strides in improving our operational footprint. For example, we have reduced our greenhouse gas intensity by 70 percent since 2002 and recognized 21 sites as landfill-free since 2015. We will strive to do more, driving ambitious goals for greenhouse gas emissions, energy, water and waste.

Social

- **Ensure a safe and healthy work environment** – It is critical that we continue to conduct business in a way that is protective of the health and safety of our employees, those working on our behalf, our customers, our shareholders, the environment and the communities in which we operate. This also includes a focus on delivering product quality and safety, keeping our employees safe and our data secure. Johnson Controls first signed the United Nations Global Compact in 2004, and we remain steadfastly committed to aligning our operations and strategies with the Compact's Ten Principles, including human rights, labor, health and safety, the environment and anti-corruption.

Governance

- **Continue to integrate sustainability into company goals and decision-making** – Sustainability is core to Johnson Controls. It is a part of our vision, values and employee purpose. Our commitment to ethics and integrity and our culture of sustainability benefits communities and the world, while improving our shareholder value, reputation, productivity, and employee retention.
- **Lead in global sustainability partnerships** – We recognize that we have an incredible opportunity to increase our sustainability impact through collaboration with others. We take leadership roles in global sustainability organizations that engage in advocacy for responsible climate policy and energy and environment laws and regulations that provide environmental, economic and social benefits for customers and communities around the world.

Stakeholder engagement

2020 Energy Efficiency Indicator survey

Johnson Controls conducts an annual survey of energy and facility management executives to understand current and planned investments, key drivers, and technology trends supporting smart, safe and sustainable buildings. The 2020 study, now in its fourteenth edition, surveyed 150 energy and facility management executives, representing commercial, institutional, and industrial facilities in the United States.

According to the 2020 study, investment in energy efficiency, renewable energy and smart building technology is expected to match 2017 and 2018 levels next year, with 55 percent of organizations planning to increase investment over the next 12 months. The research suggests that sustainability is a key contributor to this increase – 65 percent of organizations with energy or greenhouse gas reduction goals plan to increase investment next year, versus zero percent without goals.

The biggest driver for investment in energy efficiency, renewable energy and smart building technology is energy cost savings, with 85 percent of respondents indicating it is very or extremely important. Greenhouse gas footprint reduction is also an important driver of investment, with 68 percent of respondents indicating it is very or extremely important. Investment in smart and sustainable building technologies not only addresses urgent climate challenges but also improves comfort, health, safety, and affordability for building occupants and communities.

The survey also indicates a rising trend towards green and zero-carbon buildings:

78%

of organizations have achieved or plan to achieve voluntary green building certification, while 45 percent are willing to pay a premium for space in a certified green building.

70%

of organizations say they are very or extremely likely to have one or more facilities that are nearly or net-zero energy or carbon in the next ten years, up from 63 percent in the previous year.

There was continued strong interest and investment in smart buildings last year:

66%

of organizations are very or extremely likely to have one or more facilities able to operate off the grid in the next ten years.

63%

percent of organizations surveyed plan to invest in on-site renewable energy in the next 12 months.

To learn more about the Energy Efficiency Indicator survey, visit
https://www.johnsoncontrols.com/-/media/jci/corp/media/news/files/2020/2020_eei_survey.pdf

Opportunities and risks due to climate change

201-2

Please see our CDP Climate Change questionnaire 2020 for a detailed analysis of the Johnson Controls risks and opportunities related to climate change.

In fiscal 2020, senior leadership completed a climate-related risk and opportunity scenario analysis, consistent with guidance from the Task Force on Climate-Related Financial Disclosures. We used the analysis to identify the most critical climate-related risks and opportunities and to develop management strategies for mitigating risks and capitalizing on opportunities.

We identified six climate-related risks:

- Emerging regulation
- Innovation of solutions that reduce our customers' greenhouse gas emissions
- Raw material costs
- Achieving sustainability commitments
- Extreme weather events
- Water stress

And five climate-related opportunities:

- Move to more efficient buildings
- Use of lower-emission sources of energy
- Revenue from solutions that directly address building efficiency
- Revenue from technologies that support building resilience
- Revenue from increased demand for lower-emission goods and services

About our reporting

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We recognize the importance of transparency. This sustainability report is produced to provide greater detail on our sustainability activities and additional information material to our stakeholders.

Since 2003, we have reported sustainability data in accordance with the GRI guidelines. This report has been prepared in accordance with the GRI Standards: Comprehensive option. We are also a SASB Reporter, utilizing the SASB Standard for the Resource Transformation Sector – Electrical and Electronic Equipment in this report. Our separate annual United Nations Communication on Progress qualifies for the Global Compact Advanced level. Johnson Controls follows the Task Force on Climate-Related Financial Disclosure's recommendations for disclosing clear, comparable and consistent information about the risks and opportunities presented by climate change. More detail and information on our climate risks, opportunities and planning can be found in our annual CDP Climate Change Response.

Scope

This report focuses on operations within our control for the fiscal year 2020. Unless otherwise noted in the report section for a specific performance metric, this report includes data from business operations that were at least 51 percent under Johnson Controls operating control and financially consolidated during the reporting year. Where noted, information is only available for U.S. or North America operations. Unless otherwise noted, "home country" refers to our United States operations. Also see our 2020 Annual Shareholders and Proxy Statement.

In order to provide the best year-over-year comparison, sustainability metrics starting with fiscal 2017 reflect our current company footprint.

Accuracy and third-party assurance

All information in this report is based on the best available data at the time of publication. Johnson Controls uses several different third-party groups for data assurance. The groups selected are independent of Johnson Controls and are specialized in the subject area they review.

Financial external assurance

The consolidated financial statements reported in our 2020 Form 10-K and other related reports are reviewed by PricewaterhouseCoopers LLP, an independent registered public accounting firm.

Sustainability external assurance

Since 2011, Bureau Veritas, now Apex, an independent auditor recognized by CDP, has audited our GHG emissions data per "ISO 14064-3 Second edition 2019-04: Greenhouse gases - Part 3: Specification with Guidance for the Verification and Validation of Greenhouse Gas Statements". Apex also audited our water data per the International Standard on Assurance Engagements (ISAE) 3000. Starting in 2014, Apex audited our waste data per the ISAE 3000. The objective of the audits is to provide further confidence that our reported energy, GHG emissions, water and waste data have low margins of error and are consistent with external or internally defined sustainability accounting principles. The certificates for these most recent audits are linked as verification statements in the GRI Content Index.

Environmental health and safety external assurance

Johnson Controls uses third-party software tool ProcessMap for our Environmental, Health and Safety Information System (EHSIS) to track environment, health and safety data from facilities worldwide. Data is reviewed routinely by qualified personnel, including the regular use of an internal audit process, to check not only data in the system but also site-level checks of original records and other aspects. The Johnson Controls internal environmental health and safety compliance audit program utilizing third-party auditors verifies compliance with applicable Federal, state, provincial, and/or local regulatory requirements, Johnson Controls standards, and supports our business goals of Zero Harm to people and the environment while furthering our vision of a 'safe, comfortable, sustainable world'; being safer, healthier, and having less impact on the environment; identifying opportunities for continuous improvement; and providing education, awareness, and understanding of applicable environmental, health, and safety requirements.

This includes using, for some sites, certified registrars to validate and certify our operations to various quality, environmental, six sigma and safety standards, e.g., ISO 9000, ISO 14001, OHSAS 18001. Additionally, filings with environmental, health and safety, and other regulatory agencies, are routinely checked internally and by the applicable regulatory agency.

Rationale for choosing a base year

The 2016 merger of Johnson Controls with Tyco International was a change in our company profile material enough that our GSC determined new goals were needed. Accordingly, in 2018, Johnson Controls announced new 2025 goals related to greenhouse gas emissions, energy, water, waste, safety and diversity from a 2017 baseline.

Delivering sustainability to our customers

Since introducing our first product more than 138 years ago – an electric room thermostat – our customers have trusted us to provide products and services that reduce energy use and improve sustainability.

We offer a range of innovative products that help our customers become more efficient with resources, more sustainable and more competitive. We power our customers' missions and protect the environment.

Green revenue:
At Johnson Controls, sustainability is our business. In fiscal 2019, green revenue represented 49 percent of our total revenue, and in fiscal 2020 it represented 48 percent of our total revenue. We follow the Corporate Knights Clean Revenue taxonomy standard for calculating green revenue. Different green revenue percentages were applied to different product categories, as appropriate based on environmental impacts. Percentages of revenue from the following were included: residential and commercial HVAC equipment, variable refrigerant flow heat pump offerings, building automation and controls, and industrial refrigeration. The following were included in total revenue and not in green revenue: fire detection and suppression, security, retail, and other products and services.

Green buildings: Johnson Controls has supported our customers in certifying more than 75 million square feet of green building space around the world. In China alone, we have helped our customers achieve LEED for locations covering 47.9 million square feet and China's Three Star green building certification for locations covering more than 5.7 million square feet. Last year in Latin America, we completed customer projects with LEED certifications for more than 5.8 million square feet. All three of our corporate headquarters buildings – in Glendale, Wisconsin, USA; Cork, Ireland; and Shanghai, China – are LEED-certified, as are a number of our manufacturing facilities.

Energy-efficient technology:
Johnson Controls provides customers with products that combine energy efficiency with the lowest total emissions. We have developed a family of low global warming potential (GWP) HVAC products that use low and ultra-low GWP refrigerant alternatives. These include the YORK YVWA water-cooled screw chiller and the YORK YMC2 magnetic-bearing water-cooled centrifugal chiller.

The revolutionary YORK® YZ magnetic-bearing centrifugal chiller is the most efficient chiller in the world. The YZ chiller is fully optimized for ultimate performance with a next generation low-GWP refrigerant, delivering superior real-world performance, lower cost of ownership and a new definition of sustainability. YZ chillers offer 35 percent better efficiency than conventional centrifugal chillers. This system also offers up to 60 percent lower refrigerant charge than traditional systems available in the market.

Energy retrofits: We also help our customers achieve energy savings by implementing Energy Performance Contracting. Through these projects, we deploy equipment upgrades and management services to deliver guaranteed energy savings and help customers achieve GHG reductions. Since January 2000, our efforts to help our customers save energy through performance contracting have resulted in a reduction of more than 30.6 million metric tons CO_2e. Since 2017, our customers have saved more than 338,000 metric tons of CO_2e from new Performance Infrastructure projects.

Renewable energy offerings: In response to increasing global demand for renewable energy, Johnson Controls is expanding its product and service offerings to include elements of solar, biomass, wind, waste-to-energy, landfill gas to energy, geothermal, combined heat and power, other renewable sources, and fuel cells as energy supply options for customers.

We expect demand from businesses and organizations for on-site renewable energy to increase due to their decreasing costs and positive economic and environmental impact. We believe the greatest opportunity involves combining renewable technologies with digital technology, systems-level energy efficiency strategies, and beneficial electrification to provide flexible services to the electric grid and a foundation for zero carbon buildings.

Water conservation: The Johnson Controls BlueStream™ hybrid cooling system combines water- and air-cooling technologies to reduce water consumption by up to 80 percent while optimizing energy efficiency.

We have partnered with two national laboratories – the National Renewable Energy Laboratory (NREL) in Golden, Colorado, and Sandia National Laboratories in Albuquerque, New Mexico – to test the BlueStream hybrid cooling system at NREL's high-performance computing data center. The center saved 1.16 million gallons of water in its first year of operation, and 2.10 million gallons over a two-year period, cutting water usage in the data center in half while continuing to operate at optimal energy efficiency. This accomplishment earned NREL and its partners a 2018 DOE Federal Energy Management Program Federal Energy and Water Management Award and the Data Center Dynamics 2018 Eco-Sustainability award.

Delivering sustainability to our customers

More than
30.6m
metric tons of CO_2e reduced through energy savings from customers since 2000

75m sq ft
Certified green building space

2.1m
gallons of water saved at NREL Data Center.

Improving our operational footprint

Greenhouse Gas Emissions intensity from 2002 to 2020

70%
reduction

CO_2

21
sites landfill free

100%
increase

Energy productivity since 2002

Energy and emissions

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To achieve our 2025 goals of 25 percent reductions in both energy and emissions intensity, we rigorously evaluate our energy use at a facility and global level.

We are committed to improving environmental performance and reducing energy from our global operations, including manufacturing plants, distribution centers, service centers, offices, fleets and other operations worldwide. We have put in place policies, goals and operational practices to achieve this. We track our energy use and emissions at a facility and global level to ensure progress toward our goals.

Plants and facilities

Our Global Manufacturing and Operations Council established the **Johnson Controls Manufacturing System (JCMS)**, a maturity matrix covering all aspects of our manufacturing and operations. JCMS defines progressive levels of maturity in environmental and sustainability management, goals and practices. It also provides a framework for continuous improvement in operational management, including the pillar of Environment and Sustainability.

We have implemented an Energy Hunt Program across our manufacturing facilities globally. Energy Champions in each plant lead a cross-functional Energy Hunt team in continuous improvement activities that result in annual energy intensity improvements. This program drives culture change and helps our plants identify energy savings opportunities by evaluating measures that include HVAC temperature scheduling, lighting, supply and demand of compressed air, building envelope, and employee energy awareness and engagement.

The Energy Hunt program has yielded significant benefits for Johnson Controls. Since 2011, 1,427 low- or no-cost projects resulted in energy and operational savings of more than $35.6 million. We track projects using our Continuous Improvement Track system. We implemented initiatives to improve the energy efficiency of manufacturing operations and processes, and to certify our manufacturing plants to ISO14001, ISO50001, and other relevant standards.

We continuously seek cost-competitive lower-carbon purchased electricity and other energy sources. We voluntarily purchase Green-e certified Renewable Energy Credits (RECs) and make sure they are in addition to the green power that may already be offered in the standard electricity mix.

In fiscal year 2020, we offset 100 percent of our greenhouse gas emissions from our manufacturing plants in the United States through the purchase of renewable energy certificates. We also have on-site renewable energy in some of our locations, including our corporate headquarters buildings in Glendale (USA) and Shanghai (China) as well as in our Matamoros location in Mexico.

Our Johnson Controls Corporate Headquarters building in Glendale, Wisconsin is LEED Platinum certified and has on-site solar generation, which directly supplies a proportion of the site's electricity needs for electricity, offsetting our electricity consumption from standard utility supply.

Case Study: Wichita Plant using 100 percent green energy for manufacturing

The 1.3 million-square-foot Johnson Controls HVAC manufacturing plant in Wichita, Kansas, is now powered by 100 percent wind energy. The plant manufactures residential heating and air conditioning equipment for the YORK®, Luxaire®, Coleman® and Champion® brands. With this switch to renewable energy, the plant's electricity is offset by zero-carbon electricity, representing 19 percent of the U.S. manufacturing electricity consumption for Johnson Controls.

"With the Wichita plant now operating on 100 percent local wind power, this is not only a major achievement for Johnson Controls, but also the community. This change has dramatically reduced emissions and the plant's environmental impact for many years to come," said Joe Oliveri, vice president and general manager, Global Ducted Systems, Johnson Controls.

"This is a prime example of the Johnson Controls commitment to sustainability and a healthier planet."

The Johnson Controls Wichita plant receives its wind energy from Evergy's Soldier Creek Wind Farm, a 300-megawatt wind farm in Nemaha County, Kansas. The projected energy cost savings from the wind power agreement are approximately $2.7 million over the life of the 20-year contract – the equivalent of taking 100,000 passenger vehicles off the road. In addition, Johnson Controls will be installing improved capacitor banks to more efficiently consume the plant's wind energy. This will lower the plant's energy consumption by nearly five percent, equaling an additional energy savings of $3 million over the next 20 years.

Transportation initiatives

Nearly a third of our GHG emissions comes from our vehicle fleet. We have a specific vehicle emissions reduction workgroup to analyze emissions data and ensure we achieve emissions reductions throughout our fleet. We annually analyze our transportation supply chain to improve cost structure and reduce energy use. Over time, we are systematically changing our fleet vehicles, utilizing higher fuel economy and electric vehicles where appropriate. We also optimize our logistics and our packaging to decrease weight and increase load factors.

Johnson Controls has implemented several fuel consumption and greenhouse gas reduction strategies. Our strategies include the use of other higher miles-per-gallon vans and trucks, telematics, and implementing a policy which prohibits speeding and encourages fuel-efficient driving techniques. We also collaborate with our suppliers to decrease environmental impact from transportation by participating in U.S. Environmental Protection Agency's SmartWay program, and encouraging our leased truckers to also participate.

Water and effluents

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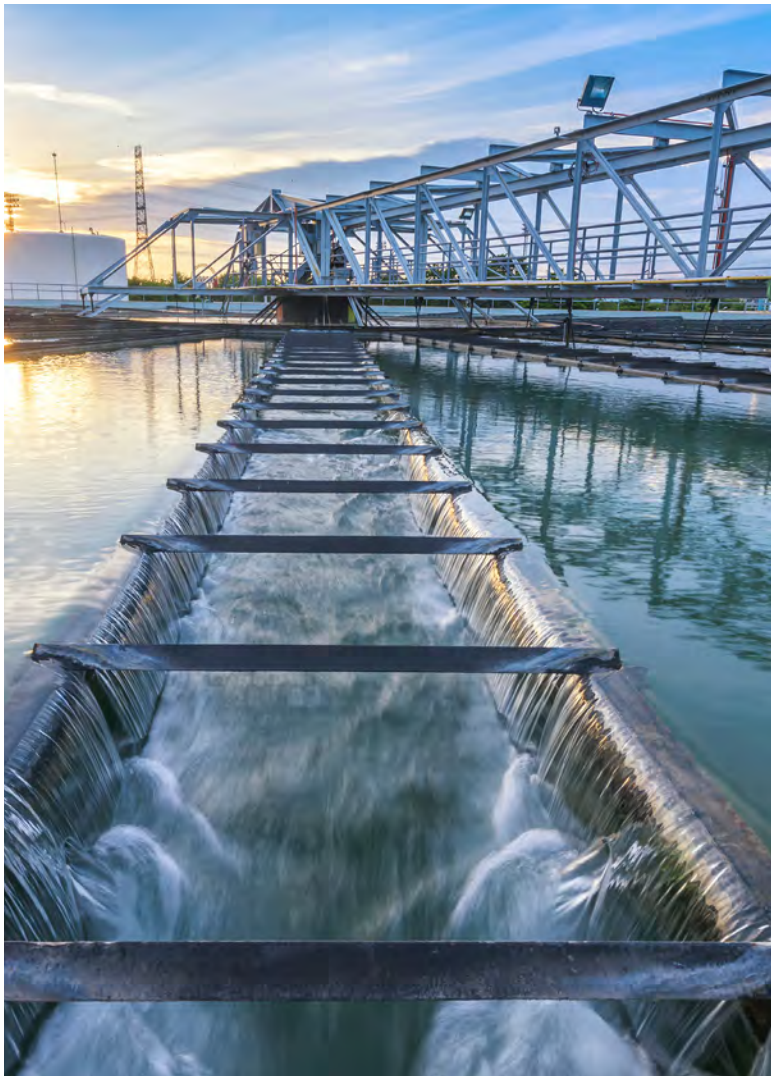
Our goal is to reduce water consumption by 10 percent at our water-stressed facilities by 2025. We conducted a detailed analysis with the World Resources Institute's Aquaduct™ tool to identify which of our locations are in water-stressed areas. We measure consumption in both our manufacturing and office buildings, detect and repair water leaks, recalibrate flow meters, and deploy water-saving technologies.

As Johnson Controls has expanded globally, the diversity of our facilities in terms of type and location has increased. Typically our facilities are in industrial corridors or complexes where other industrial activities are present, and our impacts on sources of water are not significant. Internally we implemented best practices and water-saving efforts at water-stressed locations, and in 2020 achieved a 19 percent annual reduction in water use.

We strive to create a positive impact on our environment by providing products and services that enable our customers to use less water. For example, Johnson Controls helps water providers and consumers reduce water usage, increase efficiency of the systems that distribute and use water, and create healthy and sustainable environments. One of the ways we do this is by offering an innovative financing model that allows customers to pay for water infrastructure improvements over time without upfront investment through energy and water cost savings. We also seek to continuously improve and innovate by implementing best business practices in water management and conservation across our operations.

Typically, our facilities are in industrial corridors or complexes where other industrial activities are present. Our approach to the siting and management of all of our facilities remains consistent with our commitments as a signatory to the United Nations Global Compact, our Code of Ethics, our environmental, health and safety standards, and all applicable laws and regulations.

In addition, we have innovative water reclamation technologies at several of our facilities, including all three of our corporate headquarters buildings – in Glendale, Wisconsin, USA; Cork, Ireland; and Shanghai, China – which are LEED certified. Our Glendale facility has a 30,000-gallon rooftop cistern to capture rainwater for re-use in water closets and urinals.



Waste

103-1 | 103-2 | 103-3 | 306-1 | 306-2

The primary driver of waste for Johnson Controls is waste generated during the manufacturing of building technology equipment. Our goal is that 25 percent of Johnson Controls manufacturing locations will be certified landfill-free by 2025.

Every location is encouraged to eliminate the disposal of waste sent to landfill to the extent feasible. In 2020 we reached a milestone of having 21 manufacturing locations that have a 100 percent diversion rate and recognized as zero landfill.

We engage in a range of programs, initiatives and activities specific to waste. Some of our current activities include:

- Running a corporate-level workgroup specifically focused on reducing waste and helping plants achieve their zero landfill goals.
- Establishing and tracking progress of our waste generation towards zero waste to landfill.
- Continuously finding ways to improve our waste management throughout the life cycle of our business, including finding ways to reduce waste in the first place or to reuse or recycle materials.
- Reducing waste across our corporate facilities, through the use of compostable materials in the cafeteria and other activities.
- Promoting and encouraging recycling among our customers and end-users, including supporting take-back programs, public education, and retrofit options.

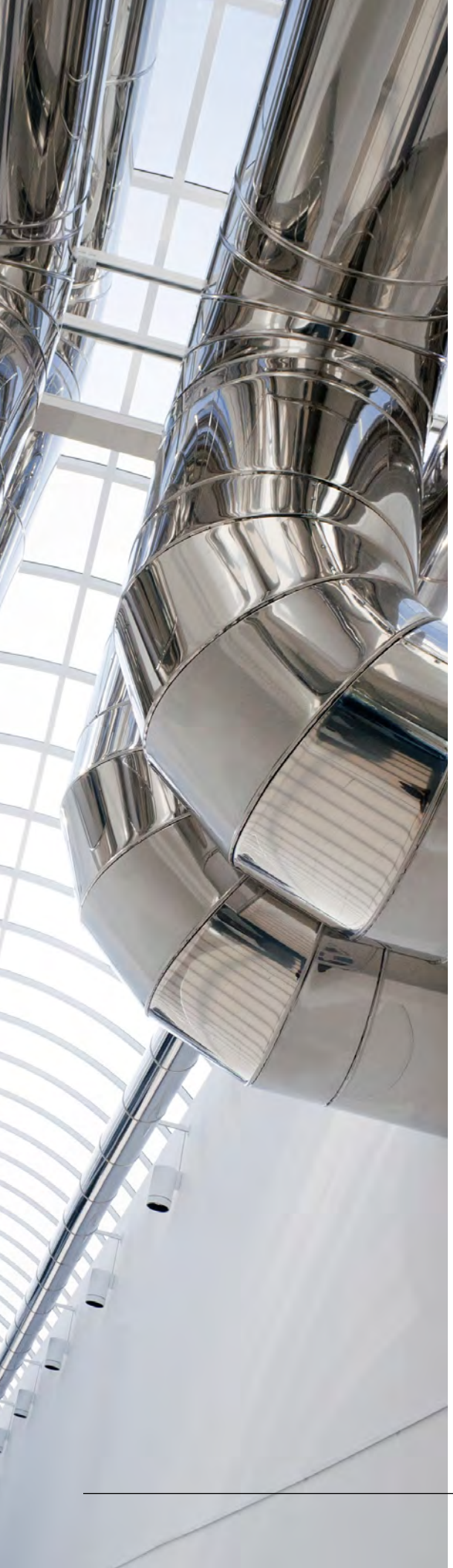
Twenty-one facilities recognized as zero waste to landfill as of fiscal 2020

As part of the continued commitment from employees to reduce our impact on the environment and ensure we protect our world for future generations, we are proud that 21 facilities are now recognized as attaining zero waste to landfill in fiscal 2020. These plants are located in all regions of the world, making environmental sustainability a truly global effort. This achievement directly improves the communities in which we operate.

To be recognized as zero landfill, a site has to participate in an independent review and demonstrate to the Senior Environmental Health & Safety (EHS) Leadership team that 100 percent of the waste generated is either recycled, reused or converted to energy. Each location started the journey to zero landfill several years before they completed the recognition process, and a large part of their success can be attributed to the focus and personal commitment from the employees at each site. Their support has helped to ensure Johnson Controls has a positive impact on the world we live in by reducing the amount of waste being placed in the ground.

The facilities that have achieved this impressive milestone are:

- FSP Frome, UK (July 2015)
- FSP Luneburg, Germany (September 2015)
- BMS Rajecko, Czech Republic (September 2015)
- BMS Sungnam, Korea (February 2016)
- Distribution Echt, Netherlands (March 2016)
- Distribution Enschede, Netherlands (March 2016)
- FSP Port Arthur, Texas (April 2016)
- FSP Stockport, UK (September 2016)
- FSP Lammhult, Sweden (September 2016)
- BMS Toronto, Canada (March 2017)
- FSP Neuruppin, Germany (January 2018)
- Distribution Letchworth, UK (May 2018)
- BMS Corropoli, Italy (June 2018)
- JCH Barcelona, Spain (June 2018)
- IR Nantes, France (July 2018)
- FSP Great Yarmouth, UK (August 2018)
- IR Holme, Denmark (August 2018)
- JCH Shimizu Works, Japan (May 2019)
- Skymark Ajax, Canada (September 2019)
- JCH Taoyuan Works, Taiwan (July 2020)
- FSP Lubbock, Texas (August 2020)



Materials

103-1 | 103-2 | 103-3 | 301-1 | 301-2 | 301-3

At Johnson Controls, we select materials based on a range of criteria including customer requirements, quality, cost, and other key factors.

To minimize our environmental impact, we strive to reduce total consumption and minimize waste through employee training and process improvements, increasing the use of easy-to-recycle materials, and purchasing energy-efficient (Energy Star or EU labeled) equipment whenever appropriate.

The materials we purchase across all businesses to support administrative, building maintenance, and transportation-related activities include:

- Gasoline and diesel fuel
- Cleaning products
- Stationery and paper products
- Office furniture
- Electrical equipment (computers, printers, fax machines, photocopiers, microwave ovens, dishwashers)
- Food and beverages

Building technologies and solutions

Johnson Controls is a world leader in HVAC, fire protection, security, building management systems and other building equipment. Our products require the use of many materials, including metals and refrigerants. Most of the metal products we manufacture have a minimum of 30 percent recycled content. We also work to make sure materials that cannot be utilized in the manufacturing process are recycled. For example, we work with vendors to recycle 100 million pounds of scrap metal each year.

We seek to continually use more sustainable materials in the products we offer. For example, in September 2019, we launched the largest-capacity water source VRF systems in the industry, the Hitachi Water Source Variable Refrigerant Flow (VRF) heat pump and heat recovery systems. This product allows our customers to use water in energy-efficient heat pump and heat recovery.

Today, many organizations are choosing to renovate their spaces over starting fresh in a new space. Choosing to upgrade buildings with Johnson Controls means sound stewardship through updated technology, energy retrofits and central plant strategies that improve existing assets in all buildings. By taking a holistic approach, Johnson Controls covers all aspects of a retrofit, starting with identifying organizational goals and technical needs. We help select the equipment that provides the best outcome, and then engineer, install and commission the system.

Case Study: Refrigerant transition for environmental protection and energy efficiency

The refrigerant industry is successfully transitioning away from Ozone-Depleting Substances and is now focusing on Greenhouse Gas (GHG) emissions and total carbon footprint. As part of our commitment to environmental stewardship, Johnson Controls approaches this transition holistically by evaluating several principles regarding our products and technologies that utilize refrigerants.

Energy consumption is the most dominant contributor to the total cost of ownership of heating, ventilation and air conditioning/refrigeration (HVAC/R) systems, making energy efficiency a key driver when comparing technologies.

In addition, climate change concerns, fluctuating energy costs, energy independence, and a lack of power distribution infrastructure in some countries make efficiency even more appealing.

Further, comprehensive refrigerant management practices provide one of the greatest opportunities to reduce greenhouse gas emissions during HVAC/R system operation, maintenance, and end-of-life recovery.

System operation: Maintaining an optimal refrigerant charge in HVAC/R equipment is essential to the efficient performance of the system. The potential for refrigerant loss during regular operation is generally dependent on equipment design and routine maintenance efforts, but refrigerant loss will almost always have a negative impact on system capacity, efficiency, and total carbon footprint. Proper refrigerant management throughout the equipment's life is necessary to optimize equipment performance.

Monitoring and maintenance: HVAC/R systems that are continuously monitored for refrigerant loss can provide the benefit of proactively addressing potential refrigerant leaks and specific maintenance needs. Servicing procedures specific to system application must be implemented to minimize refrigerant loss during scheduled and unplanned maintenance requirements. In the medium to long term, this streamlines the overall cost of maintaining your equipment.

Refrigerant recovery: End-of-life recovery can account for a majority of potential refrigerant emissions directly from the HVAC/R equipment of a building. Accurate removal and storage or disposal are critical to an effective refrigerant management plan. In many regions, they provide guidelines for end-of-life refrigerant management practices, and recycling programs for some refrigerants used in existing equipment.

Support for global refrigerant initiatives: To further the cause of sustainability, government, industry, and civil society must collaborate to adopt a consistent approach to managing refrigerant transitions. These transitions must take place in a proactive, environmentally sound, economical, and equitable manner. Johnson Controls supports global agreements and has made voluntary commitments to initiatives aimed at driving this consistent approach to managing the refrigerant transition.

Johnson Control supports and works with leading industry associations around the world to encourage governments to ratify the Kigali Amendment to the Montreal Protocol. This is a global regulation for the phase-down of high-GWP HFC refrigerants. Johnson Controls also supports the Paris Agreement, which aims to strengthen global responses to the threat and impact of climate change in industrialized and developing countries.

In addition to supporting global agreements, Johnson Controls has committed to initiatives that support an equitable approach to the refrigerant transition. These include the Cool Coalition, which promotes collaborative actions across a wide range of key stakeholders to achieve energy efficient and climate-friendly cooling, and the EP100 Cooling Challenge, an initiative to improve cooling efficiency in the built environment.

Johnson Controls has also signed up to the We Mean Business Short-Lived Climate Pollutants initiative, which is a commitment to reduce short-lived climate pollutant emissions, including HFCs.

Johnson Controls has published a comprehensive white paper on refrigerant transition.

Product Stewardship Case Study: Sensormatic

For retailers, removing security tags from jackets, purses and other items and tossing them into a box for reuse is just part of checking out items at the register. Johnson Controls is proud to be the company behind a great circular economy example as most of our customers return more than 90 percent of our Sensormatic tags for reuse. Tags are sold to the clothing manufacturer, who applies them to the product before shipping to the stores. At the store, staff remove the tags at checkout. They are then returned to the retailer's warehouse using the truck that delivers clothing to stores. No extra vehicle trips are made.

We pay the retailer a buy-back fee, so the retailer saves the tags in their warehouse until a full container is ready and returns them to the nearest recirculation center.

By working directly with our customers to collect and reuse tags we are able to circulate in excess of one billion tags each year. By recirculating these products and eliminating the need to produce new ones, we estimate that we help save up to 30,000 metric tons of CO_2e each year. To date, we've recirculated more than 11 billion tags, and any tags that cannot be recirculated are broken down to the component materials and recycled.

Product Stewardship Case Study: Johnson Controls Repair Center

Another example of the work Johnson Controls has done to support product end of life for our customers is our Johnson Controls Repair Center. The center offers customers the ability to send in building automation system parts for repair or replacement. By extending a system's useful life, the center reduces the environmental footprint of customers, saves them money, and supports legacy systems. In just the past three years alone the center has supported more than 1,000 customers with more than 12,000 repaired parts and 22,000 transactions.

In addition to making repairs and replacements simple for customers, the center also implements a "Bounty Program". This provides financial incentives for customers to send in unused boards and units with difficult-to-find parts. The customer is credited for the parts and the center is able to use those bounty parts to refurbish legacy systems. The program has collected thousands of circuit boards and units in the past three years to support and extend the life of installed customer systems.

For parts that are beyond repair and refurbishment, the center partners with a local vendor to ensure all materials are properly recycled. Since 2017, the center has help customers recycle 15,000 pounds of circuit boards and parts.

Product Stewardship Case Study: Saving lives and eliminating hazardous materials

Fire safety is a fundamental mandate for every enterprise, facility, campus, and municipality. Fire safety begins with fire detection, and fire detection means everything from components – sensors, initiating devices, annunciators, and control panels – to integrated systems.

We are leaders in this vital area because of our depth of expertise in creating reliable and sophisticated fire detection products and technologies. Our customers all over the world rely on our experience to develop and deploy solutions in tandem with our many global partners. We use the latest technology developments to set the bar higher with systems that are more configurable, more scalable, and more automated to help our customers protect people and assets.

At our Matamoros Fire Detection plant, we manufacture PC boards. In the past, this manufacturing process included lead, a hazardous material. We seek to prevent the use of hazardous materials in our products and work to stop them ending up in landfills as waste when consumers discard their obsolete electronics. So, in early 2020, we began converting our manufacturing to RoHS-compliant (Restriction of Hazardous Substances) production. By April 2021, we will have completely converted to lead-free manufacturing of PC boards, and all manufacturing will be lead-free going forward.

Social

Diversity and Inclusion (D&I)

405 | 406

In 2019, we established our new D&I mission, vision and roadmap to direct our path forward. Our renewed focus served as a call to empower every Johnson Controls employee to do their part to create, sustain and protect our rich culture of inclusion.

Our D&I mission:

Empower every employee to take an active role in creating a culture that values **uniqueness**, celebrates **creativity** and drives **innovation**.

Our D&I vision:

Our rich culture of inclusion will drive the right **mindsets** and **behaviors**, unlock **engagement**, accelerate **productivity** and foster **innovation**, leading to exceptional customer outcomes.

Our pillars:

Employee Experience

Employee experience is the foundation on which we built our strategy and our other five pillars. Our employees' experiences are vital to the success of our culture and our business. It is important for us to create an environment where each voice is heard and every contribution to our business success is recognized and rewarded. The collective experiences of our employees are what define, create and sustain our culture.

Business Resource Groups (BRGs)

Our BRGs offer our employees the opportunity to identify with, learn about and embrace affinities, cultures and causes that represent the diversity of our workforce and our communities. Engaging with BRGs provides employees with opportunities for internal networking, an avenue for building cultural awareness and a sense of belonging. Our BRGs present a dual value proposition. Our employees are provided resources and opportunities to grow personally, professionally, individually and collectively, and Johnson Controls benefits from the innovation, engagement and increased productivity of employees who are building a rich community of inclusion.

Learning and Development

When our employees are able to learn new skills, it significantly enhances their personal and professional experiences at Johnson Controls. We prioritize the growth and development of our employees by developing and providing a structured diversity and inclusion training continuum for employees at all levels and stages of their careers. Our phased approach ensures common understanding and adoption of our D&I roadmap, vision, strategy and purpose. We then incorporate critical D&I learning elements at each stage to include unconscious bias, courageous conversations, recognizing and mitigating microaggressions, and numerous other enrichment series.

Talent Management

Fully engaged and empowered employees contribute to business success. We recognize that hiring and retaining top talent requires the development of core skills, leadership competencies, and strategic alignment with the goals and values of our company. We incorporate this philosophy into all of our hiring practices as well as the personal and professional development of our people. The foundation of our D&I strategy is our people and the attraction of high-performing talent is not enough. We are fully committed to managing the lifecycle of our employee population from our interns to those preparing for retirement.

External Impact

Ensuring we are partnering with and investing in organizations that develop and supply best-in-class female and minority talent is key to expanding our high-performance culture. We are very proud to enjoy longstanding partnerships with the Society of Women Engineers, Society of Hispanic Professional Engineers, National Society of Black Engineers, and the Student Veterans of America. As we continue on our journey of digital transformation, we prioritize exploring and evaluating additional partnerships to ensure we capture new and innovative talent as it enters the marketplace. We engage with organizations to lend our support and do our part to develop the next generation of leaders. We do this through engagement with organizations that promote STEAM careers, target underserved and underrepresented youth in education and career programs, and through giving back to our communities in time, talent and resources.

Metrics and Measurements

Our D&I roadmap has provided a clear path forward. It's critical that we measure our performance in order to understand our opportunities to document our progress and our opportunities for improvement. We measure our women representation and our internal engagement programs globally and our minority representation in the United States. The monthly CEO and executive committee reporting of our progress creates a significant pull from our business leaders to engage diversity and inclusive initiatives in the daily work of their business and teams.

Our culture of inclusion

Our commitment to equality

As the calls for racial justice and equality rang loudly in 2020, we recognized the importance of standing firm in our commitment to our employees, our customers, our communities and our shareholders to operate a business that is equitable, inclusive and free of bias and discrimination. Our CEO's statement was clear and explicit: "While racism can take many different forms across the globe, one consistency that we have is that racism, hatred and bigotry of any kind are not accepted or tolerated at Johnson Controls."

Stand downs

The term "stand down" represents the intentional pausing of normal work activities for staff to focus on a particular issue which is serious in nature and requires everyone's attention and alignment. Our Zero Harm policy is in place to ensure the safety, health and well-being of each employee at Johnson Controls. This past year, we found it imperative that Zero Harm be extended to D&I matters as well. All of our leaders are empowered to conduct a stand down following any alleged unwelcome, offensive or inappropriate behavior that occurs at a Johnson Controls location, job site, or between co-workers, which causes one or more employees to feel uncomfortable, threatened or intimidated in the workplace.

Global initiatives

The vision of our company is to create a safe, comfortable and sustainable world. We take this vision seriously and it begins with us. We create a safe, comfortable and inclusive workplace for each of our employees. As a global company, it's even more important that we elevate our awareness and understanding of diversity and inclusion regionally and globally to meet the needs of our employees and customers everywhere.

Diversity and inclusion is integral to the fabric of the vision and mission of Johnson Controls and integral to each of us, regardless of our identity, background or circumstance. We are exceptionally proud of the efforts of all our people to advance D&I worldwide. Our employees have come together to create a safe, healthy and inclusive workplace. The following are examples of what our teams are doing to make a difference.

INVOLVE, Cork, Ireland

At Johnson Controls headquarters in Cork, Ireland, the site Senior Leadership Team, Operations, Human Resources, Communications, Talent Acquisition and our Facilities partners CBRE have collaborated at a number of levels to ensure a One Team approach to create a safe, comfortable and inclusive workplace.

As of June 2020, the gender diversity breakdown of Cork was 39 percent female and 61 percent male, comprising 30 nationalities and 20 spoken languages, across 30 departments – predominantly in engineering, human resources and information systems. To strategically build on our high-performance culture, a diverse, employee-led INVOLVE committee was established in January 2019 to empower employees to take an active role in creating a culture that values each person's uniqueness, celebrates creativity, and drives innovation.

With the site senior leadership team's sponsorship, the committee developed an annual roadmap, focusing on three key pillars – inclusion, volunteering, and evolving (networking and self-development) - to highlight not only demographic diversity (gender, age, race, religion etc.) but also cognitive (neurodiversity) and physical diversity (disability, both visible and invisible).

In fiscal 2020, INVOLVE prioritized culture, disability and mental health, with the 14-member committee delivering educational programs, corporate social responsibility programs and financial support for local charities through MyGiving, while also looking to build on the 196 volunteer hours employees recorded in fiscal year 2019.

With the COVID-19 global pandemic in early 2020, the committee had the challenge of pivoting rapidly to the digital delivery of educational programs, using webinars and internal communications tools such as Yammer, as well as virtually volunteering and donating through MyGiving. Following the Johnson Controls "We Can't Breathe" video campaign in support of the Black Lives Matter movement, INVOLVE established an Inclusion Education Program, consisting of monthly talks covering topics related to the nine grounds of discrimination in Ireland (gender, marital status, family status, age, disability, race, religious belief, sexual orientation and membership of the Traveller Community, an Irish ethnic minority group).

The purpose of this program was to follow in the footsteps of the "We Can't Breathe" video campaign. The aim was to educate employees about the discrimination that happens on our doorstep, and how we can each show solidarity in a personal and practical capacity to combat discrimination in our society, city and local communities as Johnson Controls employees.

Johnson Controls–Hitachi (JCH)

We understand that diversity can mean different things in various parts of the world. At JCH, because we have employees in 16 different countries and we have customers across the globe, it is imperative for us to put D&I as a foundation of our culture. We have narrowed our focus to three key areas: leadership commitment, D&I behaviors, and open communication.

Our leaders have committed to hiring, developing and retaining women to ensure gender diversity at all leadership levels of our organization. True to our One Team value, we are also dedicating resources, time and training to enhancing the English language within our workforce by focusing on dialogue quantity and quality – speaking English more frequently and focusing on the quality of the dialect. This will enhance and expand the professional development of our staff and provide access to more global opportunities for career growth.

Aligning with our D&I Center of Excellence, we are creating toolkits, trainings and leveraging practical examples to enhance our understanding of what it means to lead with a D&I mindset. Embedding supportive and inclusive behaviors at every opportunity is critical to driving our culture of inclusion.

To create an inclusive environment and culture, we are putting intentional focus on encouraging more open dialogue between colleagues at all levels of our organization. This will foster trust, authenticity, and collaboration, resulting in the overall success of our JCH business.

India Engineering Center

Our India Engineering Center is passionately driving D&I across our Pune, Mumbai and Gurgaon locations. Formed in November 2019, our D&I team developed a roadmap of initiatives that are aligned with the global D&I mission, vision and six pillars. These initiatives are focused on developing women leaders, acquiring diverse talent from all parts of India, promoting the inclusion of People with Disabilities (PwD) and creating a network and brand value for Johnson Controls.

To date, the team has:

- Conceptualized and organized TechnoWiz, a mobile competition comprising 12 technical quizzes. About 600 employees participated in each quiz. TechnoWiz, which was driven by female employees, was the first step towards creating a digital platform for the D&I initiative.
- Established networks with external associations and contributed to connecting and inspiring women in technology through roundtable sessions with the Society of Women Engineers and AnitaB.org.
- Celebrated International Women's Day 2020 with a collage competition themed #EachforEqual which involved 350 women colleagues.
- Built and strengthened relationships with more than 30 universities across 14 states in India to acquire diverse talent.
- Conducted a recruitment drive in smaller cities to create visibility and opportunities to underserved communities.
- Drove special initiatives to promote the inclusion of PwD candidates, such as organizing an external speaker for members of the D&I ecosystem, participating in a PwD job fair to establish networks and organizing an inclusive box cricket match in association with nonprofit organization Ekansh to mark PwD Day.
- Created holistic well-being workshops to help drive awareness and address the importance of physical, emotional and mental wellbeing.

Women in HVAC/R partnership empowers enterprise and industry

Johnson Controls is proud to partner with Women in HVAC/R, one of the premier organizations for women in the heating, ventilation, air conditioning and refrigeration (HVAC/R) industries.

Founded in 2002, the nonprofit empowers women in the HVAC/R industry to improve their lives, grow their careers, and succeed through networking opportunities, mentoring and education.

The first-of-its-kind organization provides multiple avenues for women to connect and grow, including monthly seminars, events and conferences, and has been a valuable resource to Johnson Controls in the recruitment and retention of a skilled and diverse workforce. The nonprofit also has an ambassador program with a focus on attracting female talent to the industry.

Women in Operations

Women in Operations is an important global initiative established to promote a balanced and inclusive organization within our Global Operations business where men and women partner for personal development and business success. Our work is centered on five core pillars:

- Mentoring and coaching creates a pipeline for women in operations and supports career development
- Networking to create opportunities to meet and learn from each other
- Education and communication leverages internal training platforms, opens two-way dialogue, and encourages collaboration and learning
- Metrics to help us measure and drive continuous improvement
- Recruiting and retention to enable us to attract more women for operations positions and adopt best practices to retain top talent

This network will enable global best practice sharing, enhance our abilities to learn from one another, and provide growth and development opportunities for female leaders across our Global Operations business.

Events and cultural awareness

Our global business celebrates the uniqueness of every individual and their experiences. Providing the space for our employees to engage and to be heard and understood is critical to our cultural IQ and our culture of inclusion. From our Perspectives Listening Series to our many annual cultural, environmental and awareness celebrations, we embrace the ways we differ as a collective strength for our company, our customers and our communities. Our Business Resource Groups host these important celebrations further demonstrating the power of an engaged workforce.

Our leaders are also engaged externally. For example, the Johnson Controls vice president and Chief Ethics Officer recently spoke as part of Ethisphere's Equity and Social Justice Forum series, sharing what Johnson Controls is doing across the enterprise and in our legal department to advance diversity and inclusion and address social justice issues in the communities where we do business.

Perspectives Listening Series

We created the Perspectives Listening Series to provide a stage for honest, courageous and authentic conversations between our colleagues, on topics that are relevant and important to our people, communities and our broader society. They are intended to stimulate courageous conversations and highlight the uniqueness of experience, diverse perspectives and the resilience of our employees as we encourage people to bring their whole selves to work. Our panels have covered a variety of topics, from fatherhood and next-generation leadership, to gender equality and the social justice movement. We are committed to providing a productive and satisfying employee experience where open dialogue is encouraged and differences in perspectives are welcomed.

Business Resource Groups

Business Resource Groups (BRGs) are employee-led voluntary organizations of people with similar interests, experiences, or demographic characteristics – and they are the foundation of our inclusive culture.

BRGs serve as a safe place where employees combine personal interests and networking with business discussions and innovation opportunities. BRG members are highly engaged as they participate in business impact, personal and professional development activities in addition to fulfilling the requirements of their day job. BRGs provide a forum for employees to sharpen their cultural IQ by asking questions and leaning in to better support and empathize with their peers. Any employee supporting the mission is welcomed and encouraged to participate in any BRG – they are not exclusive to those belonging to certain affinities. The BRGs are the hallmark of our inclusive culture and we encourage all employees to join any of our nine BRGs regardless of race, gender or other differences. All BRG activities are open to every employee in the company.

BRG mission

The Johnson Controls Business Resource Groups are a community of employees building a culture of inclusion, engagement, innovation and business impact in support of the Johnson Controls mission to drive customer outcomes that matter.

BRG vision

To be a strategic partner in the development of an inclusive, innovative, high-performance workplace for all Johnson Controls employees

BRG focus areas

The Johnson Controls BRGs will focus on two very important and tangible benefits: personal and professional development, and business impact. The benefits are measurable for both focus areas. Investments in our employees' growth and development will yield a natural talent pipeline for internal promotions. The business impact benefits will allow our employees to innovate around ways to improve our products and services while also offering up ideas and solutions to sustain our position in the market as a leader in the smart building space.

Personal and professional development

The strength of our organization is our people. Our BRGs provide relevant business skills to ensure that we grow our talent holistically. Tailored and targeted programming, development workshops, webinars and experiential learning will be provided on a monthly basis to grow internal talent. Our BRGs are also a resource for identifying, developing, and promoting diverse, high-performing talent

Business impact

The Johnson Controls BRGs were previously named Employee Resource Groups. The name change was made to demonstrate the value of engaged employees to our continued success. We continue to focus on activities and programming that drive growth, development, engagement, productivity, and innovation. Our BRGs are asked to consider real challenges faced by our business and new approaches to address these challenges by bringing in diverse perspectives, innovation, and ideas in a safe, collaborative and inclusive environment.

Our Business Resource Groups

Asia Pacific (APBRG)
The APBRG creates a stimulating and rewarding work environment to attract, develop and retain top talent from the growing Asian population locally and abroad, while facilitating inter-cultural exchanges of knowledge, experiences and practices across all cultures. The APBRG holds many cultural awareness events throughout the year, including celebrations for Chinese New Year and Diwali.

Global Sustainability Network
The Global Sustainability Network supports the 2025 Sustainability Strategy goal to foster a culture of sustainability that engages people who want to make a difference. Members serve as catalysts for advancing sustainable business practices across Johnson Controls. Its vision is to support Johnson Controls as the global leader in smart, healthy and sustainable buildings, reimagining the performance of buildings to serve people, places and the planet.

JC4e
JC4e fosters a work environment that is inclusive to all employees regardless of sexual orientation or gender identity. Our impact extends to all lesbian, gay, bisexual and transgender employees and their allies. JC4e hosts many awareness events throughout the year, educating and increasing awareness on various topics, including our annual Pride Month celebration each June. JC4e is also the driver of Johnson Controls participation in the Corporate Equality Index survey each year.

ONYX
ONYX is designed to improve the recruitment, retention and professional development of black employees for the overall benefit of improving the diversity within Johnson Controls. ONYX leads our Black History Month celebration each year, commemorates Martin Luther King Jr. Day, and offers educational and engagement activities throughout the year to promote awareness.

Synergy
Synergy advances emerging leaders – employees who are new to Johnson Controls, starting their professional careers, or interested in enhancing professional networks by creating connections and promoting development of our future leaders. Synergy hosts an annual IMPACT Program which aims to provide education and development opportunities to empower any employee who is interested in professional development at Johnson Controls.

Unidos
Uniting Johnson Controls (UNIDOS) provides a channel to share ideas, raise awareness, and build talent, driving engagement, diversity and leadership development. Unidos is the proud host of our Hispanic Heritage Month each September.

UNlimited
UNlimited is dedicated to supporting people impacted by disabilities through the principles of awareness, appreciation, acceptance and assistance. We strive to improve the recruitment, retention, engagement and professional development of those impacted by disabilities. UNlimited hosted our International Day of Persons with Disabilities celebration in December which focused on mental health and the awareness of both visible and invisible disabilities.

VET
The Veterans Engagement Team (VET) strives to make Johnson Controls the veteran's employer of choice, leveraging this tested, diverse talent pool to exceed Johnson Controls business expectations. VET honors, connects, and supports military veterans. VET hosts our Veteran's Day celebration each year.

Women's Global Network
The Women's Global Network (WGN) harnesses the power, influence and intelligence of female Johnson Controls employees to establish a community that fosters professional development, networking and the awareness and advancement of women in our workplace. The Women's Global Network hosted a global, around-the-sun summit last summer, offering breakout sessions, keynote speakers and development opportunities in each region and in multiple languages. The WGN is also the proud presenter of our annual International Women's Day celebration each March.

Employee development, training and education

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Talent management

At Johnson Controls, we support the continued development of our people and have embedded this focus through our performance and talent processes. We encourage our employees to take charge of and own their careers by giving employees the forum to discuss their career aspirations. Leaders are engaged in monthly discussions with their direct reports – one of the topics is centered around development.

Our career development processes include career profiles, discussions and planning, which inform the annual talent review and succession planning process. Strategic talent reviews and succession planning occur annually across all business areas globally. In these meetings, senior leaders discuss key talent management topics including the review of critical roles, top talent, strategic talent moves, and their talent management focus for the coming year. As part of this process, talent assessments and career development plans are used to drive development of high-potential employees by identifying individual key strengths and areas for improvement, and identifying key events and experiences needed for the development of the individual.

Across the organization, one way our leaders are monitoring the progress on representation of diverse talent is via our succession planning and talent review processes, which allows for pipeline development and career planning for diverse talent. To provide even greater visibility to succession, diversity and key development needs, we are moving our succession plans online in 2021.

Training and education

High performance at Johnson Controls is an outcome of a person's ability to change, adapt, and grow throughout their career. At Johnson Controls, the emphasis is on the value of real-life, real-time learning that enables a person to meet the demands of challenging and changing work. The company's approach to learning focuses on reinforcing key principles that are designed to support an individual's effectiveness in his or her current job, and in future situations. Throughout the world, Johnson Controls employees are encouraged to develop by doing, take charge of their learning and growth, and seek support along the way.

Johnson Controls ensures that managers and employees are equipped with the tools necessary to continue to learn, grow and develop throughout their careers. Johnson Controls provides technical and leadership training to employees, customers and suppliers who work for or with our products and services. Training is provided in a number of formats to accommodate the learner's style and pace, location, and technological knowledge and access.

Additionally, the company's volunteer programs offer employees the opportunity to enhance their leadership development skills by volunteering their time and expertise for local nonprofit organizations, taking on board roles for associations and non-profits, and managing projects with a team of volunteers. These types of skills are beneficial for the workplace and contribute to a lifelong learning outside of the office.

Programs for upgrading employee skills and transition assistance programs

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In fiscal 2020, our employees increased consumption of all learning content types. More than 80 percent of our employees took one or more courses, completing 1.37 million learning activities, nearly 3,000 Active Learning courses, and viewing ULearn video content 279,000 times.

In support of the workforce transition to new ways of working, we developed a Transformative Leadership Series of targeted two-hour workshops designed to provide our employees with timely tools that grow their skillsets in managing change, constructive conversations, and other timely topics. In addition, our global sellers received a series of workshops on techniques and skills required for selling virtually.

Our focus on employee development has been structured over the last several years through programs that embed essential health behaviors skills that are aligned to our transformative culture. All managers are accountable for introducing and teaching a new skill or toolset each month to their teams. The teams practice implementing the new concept or tool throughout the month, iteratively improving processes and ways of working.

Our Learning and Development teams have won awards for their high-quality learning programs in each of the last three years. In 2020, the Business Fundamentals and Building Operations Leaders programs were recognized with Brandon Hall Awards.

At Johnson Controls, we support the continued development of our people. We continue to provide opportunities for our internal employees to grow their careers at Johnson Controls. More than 50 percent of our management positions are filled internally. Our rotation programs in finance, and sales and marketing, coupled with our other early career sales engineering programs, continued to gain traction in fiscal 2020.

To ensure our employees have the skills and capabilities to drive success now and into the future, we introduced an enterprise leadership competency model in 2020. Our leadership competencies are the key capabilities that define how employees can contribute to their own development and career success, regardless of their function or level in the organization.

Johnson Controls sponsors a variety of formal programs to recognize, reward and motivate employees, such as:

- **Extreme Learning Program (XLP)** – A development program for senior leaders who have demonstrated the potential to be a next-generation global leader at Johnson Controls. Every other year, a group of around 25 high-potential leaders is challenged with solving real-world business problems while building new relationships and exploring global business issues. The program started in 2004 and has graduated 12 classes.

- **Leadership Edge Program (JCLE)** – An intensive development and acceleration program for senior managers and directors who have demonstrated the potential to be the next generation of leaders at Johnson Controls. The program helps leaders shift their mindset and behaviors to think and act with broader scope and responsibility by strengthening their knowledge and skill in business strategy, financial acumen, customer centricity, and people leadership. This program annually engages 150 managers from around the world. The program began in 2007.

- **Emerging Leaders** – This program is designed to accelerate the role of an individual contributor to a frontline manager by arming them with the knowledge, skills and tools needed to effectively handle the challenges they face early in their career as a leader.

- **Leadership Fundamentals** – This program is for frontline managers to create clarity about what their role as a leader is at Johnson Controls. Leaders learn how to reinforce the Johnson Controls high-performance culture and deliver an impactful leadership development experience that builds global management capability. Frontline leaders will develop skills needed to effectively manage, engage, and lead their team in order to drive organizational growth.

- **Change Leadership Curriculum** – This award-winning curriculum helps employees at all levels develop change competence. The training reaches thousands of employees per year and includes these elements: Change Practitioner Bootcamp, Change Agents: Delivering Project Results, Reinforcing Change, Leading Yourself Through Change, Leading and Accelerating Change, Communicating Change, and Sponsoring Change for Senior Leaders.

Commercial training

- **BEST Internship** – A development program designed to recruit and hire college engineering students in their junior year to offer them summer internships. Interns are evaluated on their existing sales competencies and behaviors and, depending on performance, offered a position in the next BEST class.

- **BEST Fire and BEST HVAC** – A development program for new graduates that focuses on organizational knowledge, product knowledge, and sales skills. Each year, two groups of around 30 new graduates go through these programs, 30 for HVAC and 30 for Fire. This six-month program includes in-person classroom learning, simulations, and an assignment-based experiential learning experience in the local branch.

- **SalesBuilder HVAC, SalesBuilder Security, SalesBuilder Fire** – A development program for new and experienced salespeople. This 13-week program is based on real-life learning and application and is blended in its approach.

- **Building Sales Leaders** – A development program for sales managers that focuses on a broad spectrum of topics. Divided into three distinct sessions, the program combines a blended approach of face-to-face, eLearning, and virtual sessions. Topics include, but are not limited to, sales process, one-on-ones, pricing, TAS reviews, and cross-selling.

- **Sales Management Code** – A development program for sales managers that presents a sales management process. It is focused on high-impact salesperson activities and has an emphasis on sales manager coaching.

In addition to these standard annual programs, commercial employees are provided with a large portfolio of upskilling opportunities. These opportunities include, but are not limited to, negotiation skills, pricing, account management, and digital knowledge.

Field operations training

There are a variety of courses given in the HVAC, Fire and Security spaces. These courses focus on the installation and service of our products and primarily occur in person at one of our many training institutes across the world. They are blended in their approach, with some eLearning and heavy application with lab equipment in the in-person sessions.

- **Service Technical Academy (STA)** – The STA is a career development program designed for North American HVAC domain service technicians, mechanics and all security and fire technicians.

- **Building Operations Leaders (BOL)** – BOL is the sister program to Building Sales Leaders but for our field operations managers. Topics include, but are not limited to, operations cadences, customer interactions, and key performance indicators (KPIs).

Manufacturing training

- **Johnson Controls Manufacturing System (JCMS) Champion for Operations Leadership Program** – Recognition program for operations vice presidents and JCMS operations directors. The program revolves around the focus that being a JCMS Champion reinforces the commitment made by operations leaders to drive the One Johnson Controls Way of Manufacturing to attain world-class performance. The program is constructed in two phases to build JCMS knowledge, skills, and coaching through a series of focused eLearning modules. Once all the learning is completed, phase two focuses on the active demonstration of role-modeling capabilities.

- **Business Partner and Subject Matter Expert JCMS Certification Program** - For business partners and subject matter experts that are new to their JCMS roles. The program is focused on the building of foundational JCMS awareness, core knowledge, and skills required to perform their roles. The awareness and knowledge are delivered through a series of eLearning modules. Their skills are sharpened as they complete their JCMS calibration sessions and lead the second-party assessments in their plants. This level of JCMS leadership is extremely important for business success and progressing plants to reach higher levels of maturity, as they drive employee engagement and execute our vision of becoming the most operationally capable company in the world.

- **Coaching for JCMS Performance** – An advanced certification level for JCMS business partners and subject matter experts. The purpose of the Coaching for JCMS Performance program is to prepare these individuals to coach plant personnel by learning and acquiring new skills. They focus on leading plants through the initial JCMS implementation and facilitating the creation of plant-specific action plans. Making a personal commitment to becoming a JCMS Coach offers the opportunity to establish this purpose. The necessity for JCMS Coaches is critical in achieving the One Johnson Controls Way of Manufacturing efficiently and effectively across the enterprise.

- **JCMS Plant Manager Champion Program** – A program that recognizes plant managers as the key differentiators for all employees to improve plant performance via plant management championing the One Johnson Controls Way of Manufacturing. In this program, plant managers recognize JCMS as the One Johnson Controls Way of Manufacturing and maintaining accountable staff. They establish mindsets and behaviors that are reflected in every process, launch and product in the plant in a sustainable way.

- **Plant Principle Champion JCMS Certification Program** – A development program for Plant Principle Champions (PPCs) taking on a JCMS role in one of the nine JCMS principles. The program consists of learning solutions that build awareness, knowledge and skills required to advance the manufacturing practices in their plants. To build awareness, PPCs complete foundational learning and gain an overview of the basic concepts of JCMS and how it benefits the One Johnson Controls Way of Manufacturing. To build knowledge, priority core learning solutions provide an in-depth look at the main principles driving towards reaching and sustaining maturity Level 3 of JCMS. When they achieve maturity Level 3 in their JCMS principle, the PPC has achieved the desired skills to advance the plant's maturity and continue on to higher maturity levels.

Performance management

Johnson Controls has a standardized performance management process that includes an annual development plan for all non-production employees globally. This standardization enables improved strategic talent review workflow and career development planning, as well as improved reporting and analysis. Johnson Controls also maintains internal portal web sites dedicated to Human Resources professionals, employees and managers for desktop access to key Human Resources information that has been translated for global use.

Johnson Controls works to drive a high-performance culture, utilizing a holistic performance management process for all non-production employees globally. This process starts with a robust goal-setting process, designed to ensure our employees understand how their individual and team goals align with our strategy. Employees and their managers conduct ongoing performance assessments and measure their progress against goals via frequent one-on-one conversations. Non-production employees complete the annual review process online annually as the capstone to the ongoing manager check-ins.

Employability

Johnson Controls has an internal posting system in place throughout the United States, Canada and Europe. This system allows current employees the opportunity to search, review and apply for jobs through a centrally managed website. More than half of our management positions are filled internally.

Diverse recruiting is a key to ensuring that we employ a workforce that represents all our customers and stakeholders at every level of the organization. We place great emphasis on identifying, attracting, and recruiting minority and female talent. As such, our recruiters and sourcing partners are committed to providing the business with a qualified, balanced and diverse talent slate during the recruitment process. In addition to our internal posting process, our external career opportunities are shared to a number of targeted diversity job boards and organizations to reach diverse applicants.

Supplier diversity

Supplier diversity is the set of commercial and purchasing processes that incorporate diverse-owned businesses as elements of our product and services offerings. It is a strategic business imperative that supports our mission to exceed customers' increasing expectations. As such, goal attainment and progress is reviewed and communicated throughout the organization on a monthly basis. We understand that supplier diversity is a team effort and requires the support of each Johnson Controls office, facility and account.

Our diversity business initiative is directed by senior management and is integrated into our corporate strategy. Johnson Controls and its customers define diverse suppliers as companies that are certified as owned, operated and controlled by minorities or women, and those designated by government agencies as small or disadvantaged businesses. We do business with more than 300 diverse suppliers and contractors, representing more than 30 product and service categories. Since 1993, Johnson Controls has spent more than $22 billion with diverse suppliers.

Racial equity and justice

2020 saw an increased call for racial equity and justice in cities across the United States, and eventually, globally, as well. Johnson Controls has a historic commitment to the African American community that runs deep. In our philanthropy and community engagement, our approach has always been to listen first and then respond in a spirit of partnership and collaboration. We are grateful to the many community organizations that work within the African American community. As the national conversation on equity intensified, we approached the leaders of these organizations as subject matter experts, to help us, as a company, understand our responsibility to those who have been underserved for too long. We also turned to our employees who serve on the boards of community-facing organizations to assist the Foundation committee and board to provide the depth of understanding necessary to be allies.

Johnson Controls understands our first responsibility as a company is in our North American headquarters of Milwaukee, which struggles with high levels of racial disparity and segregation. Most of this year's nearly six million dollars of Johnson Controls Foundation support was given to Milwaukee nonprofit organizations with a focus on building safe, smart and sustainable communities. Our Neighborhood Initiative focuses our Milwaukee support further to provide funding and volunteer support to the challenged neighborhoods just to the west of our corporate headquarters. Since the Neighborhood Initiative program was developed in 2016, Johnson Controls has invested more than $2 million in programs that directly support those who live and work in these neighborhoods, which are largely African American.

Understanding the importance of equipping the African American community from an economic perspective, Johnson Controls Foundation made a significant donation – $50,000 – to the African American Chamber of Commerce of Wisconsin. The Foundation also committed to a $2,000,000 gift over several years to the National Urban League and the Milwaukee Urban league, in recognition of their ongoing work around racial justice and equity.

The Johnson Controls Foundation has long been strategic in funding initiatives that serve the black and brown youth in our community. This year's funding included the Boys and Girls Clubs of the Greater Milwaukee area; Pearls for Teen Girls, an innovative nonprofit that empowers young women with self-development tools; Big Brothers Big Sisters; and the Milwaukee Fellows, a program that provides mentoring scholarship support for African American young men. We are also proud to support Safe & Sound, an organization that works with law enforcement, community organizing and youth development to improve public safety. This year's U.S. United Way campaign brought in $4 million dollars in employee donations, with the Johnson Controls matching initiative expanding that figure.

Johnson Controls is proud to be a million-dollar donor to the new International Museum of African American History being built in Charleston, North Carolina. Grady Crosby, Johnson Controls vice president of Public Affairs, chief diversity officer and president, Johnson Controls Foundation, sits on their board.

Investments and economic impacts

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Johnson Controls makes investments that will strengthen our ability to serve our customers and support long-term growth. These investments are determined each year as deemed necessary and appropriate for the business and go through a rigorous business case review.

For example, in September 2020 we announced the official opening of our $50 million OpenBlue Innovation Center to create a future-ready built environment for Singapore and the surrounding region. The new facility is a living laboratory for next-generation applications built on our unifying digital technology suite, OpenBlue, that meets new demands for health, safety, and sustainability in connected buildings.

Indirect economic investments are made each fiscal year to support many different stakeholders. In the last ten years, the Johnson Controls Foundation has funded more than $77 million to support U.S. charitable organizations in the areas of the arts, education, health and social services, and the environment.

In 2020, the Foundation gave $6 million to nonprofit organizations that measurably improve our communities. This support included direct grants to non-profit organizations, matching gifts for employee pledges to a national United Way campaign and a Milwaukee campaign to support the United Performing Arts Fund, and matches as part of the Safe and Smart Matching gift program for individual employee gifts to eligible non-profit organizations. All investments are tracked with impact metrics and are reviewed to ensure goals are attained. Please see the Community Engagement section for more information.

Our products and services also have an indirect economic impact by helping our customers save energy and water, reduce waste and consequently save money. Additionally, our financial support of research and development in clean energy technologies helps to strengthen economic opportunity for a wide range of stakeholders.

Community investment

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In every aspect of our business, Johnson Controls seeks to promote the well-being of our communities and our planet. Our philanthropic and community engagement strategy seeks to improve the lives of those we serve through employee volunteerism and financial support to build communities that are safe, smart and sustainable.

Safe
For Johnson Controls, a focus on safety includes supporting organizations that provide safety from natural disasters such as floods, fires and hurricanes, and organizations with a mission for safety from violence in the home and neighborhood.

Smart
Johnson Controls supports organizations that make our community smarter and we provide direct support to universities and indirect support to K-12 schools through partnerships with nonprofit organizations whose programs drive student success. We also define arts organizations in the "smart" category, with an understanding that robust arts exposure drives cognitive development and emotional intelligence.

Sustainable
Johnson Controls supports organizations that keep our communities sustainable by meeting basic human needs such as food and shelter, and also supports organizations with a mission to protect our environment.

Through our strategic programs, outlined on our website at Corporate Responsibility Program Overviews, we seek to bring positive impact to our communities. One hundred percent of our operations have implemented local community involvement, impact assessments, and development programs.

Leveraging this value of community involvement, we ensure we are world class in our social measures. This, in turn, drives our high-performance culture and leads to exceptional customer outcomes as we build stronger communities.

To ensure a global culture of generosity, we provide strategic programs that integrate community involvement with business goals and drive employee engagement, intentionally drawing a connection between corporate funding and employee volunteerism. We provide resources and strategic support that expand our philanthropic reach and global volunteer efforts, allowing us to live our values. Our strategy has resulted in measurable benefits to the community. Total giving for Johnson Controls in 2020 was nearly $11 million. Our strategic, yet flexible approach allows us to be nimble enough to respond quickly to the often-sudden needs that emerge in our communities, as happened in 2020.

A formal and comprehensive process is implemented for every new facility, acquisition and divestiture we make in our portfolio. Our facilities are sited and operate in such a way that operations rarely create issues for the local community. If such instances ever occur, our facility managers are prepared to interface with the community leaders to understand the issues and to draw upon more expertise to quickly resolve any issues.

In most cases where we are entering a market, our business has a positive impact on the local society. The value of the business to Johnson Controls is dependent on retaining people. In a service company or a technology company, the people are indeed the greatest asset. Our financial business case for an acquisition rests on our ability to help the newly acquired company grow in the region.

In addition, when we acquire a company and bring it into the Johnson Controls family, we bring many benefits to our new employees, and thus to their communities. This includes our skills and job training, Equal Employment Opportunity and diversity programs as well as a wide selection of benefits. If there is a layoff or plant closure, Johnson Controls offers a variety of programs and services to ensure employees are enabled for success outside of the company.

Case Study: HVAC skills training reduces recidivism and saves energy

It is possible to address the problem of inmate recidivism and the labor shortage in the HVAC industry while increasing energy efficiency. We achieve this by creating inmate training programs in energy sector skills.

One example is the Green HVAC Vocational Program developed by Johnson Controls, which provides inmates with the education and hands-on experience necessary to obtain jobs as building maintenance specialists, HVAC mechanics, facility controls technicians, and facility maintenance electricians.

Like other programs at the local level, a good vocational program begins with an evaluation of an inmate's current re-entry program performances. The evaluation includes a job skills assessment to identify offender skills/interests and those best suited for program success. The results enable customized curriculum, equipment, tools, program materials, and certifications.

Led by experienced instructors in a special training facility built with offender labor and equipped with state-of-the-art HVAC equipment, the three-part program gives students the opportunity to learn HVAC basics, including maintenance and installation, before launching into progressively more technical aspects of the trade. The program culminates in a final portion focused on computerized environmental control.

Both short- and long-term offenders are eligible to take part in the program. Short-term offenders can use the skills learned upon their release to obtain a job, while long-term offenders can help maintain HVAC systems within the correctional facilities. The long-term offenders also have the ability to take over maintenance positions, filling positions that are otherwise under-staffed.

The Green HVAC Vocational Program has seen significant success. National statistics that show 48 percent of the inmates released each year will return to a correctional facility within the first three years of their release. In just two locations where we have implemented this program, 96 percent of the program graduates have been released and have not returned to prison after five years.

In addition to providing inmates with marketable skills, the program is also helping optimize building performance and reduce energy costs and is a part of wider efforts to support energy, water and operational efficiency. For example, the Virginia government connected its energy efficiency and inmate re-entry goals by using savings generated from an energy performance contract to fund the cost of the Green HVAC Vocational Program.

Community engagement

203-1 | 203-2

Through philanthropy and employee volunteer programs, we improve and strengthen the hundreds of communities we call home. Johnson Controls contributes millions of dollars annually and our employees give freely of their time, skills and energy.

To fulfill our company's vision and value statements, we strive to be a good neighbor and a positive community partner. We seek to make the community a better place. We define success more broadly than just financial achievement. The communities where we do business are important stakeholders for Johnson Controls.

We believe that community involvement and engagement programs enhance our relationships with our communities, customers, and employees, which in turn strengthens our company and benefits our shareholders. We encourage all employees to find a cause they are passionate about and volunteer regularly in the community. We encourage our leaders to engage fully in their communities through nonprofit board service.

Our philanthropic and community response to COVID-19

The pandemic challenged Johnson Controls to lean even further into its commitment to keep communities safe. When the first cases of COVID-19 struck Milwaukee, our North American headquarters, the Johnson Controls Foundation was activated quickly, with a $50,000 gift to a community fund to address emergency needs that would be brought on by the crisis. In India, Johnson Controls responded to a similar emergency need fund with a $50,000 gift to the Prime Minister's Citizen Assistance and Relief in Emergency Situations Fund (PM CARES Fund). The Johnson Controls Foundation's monthly grant-making pivoted to ensure local nonprofits could continue to support the community with newly decreased revenue streams and increased need.

Employees stepped forward globally using Johnson Controls online giving platform to donate to COVID-19 relief funds with Direct Relief and Doctors Without Borders, and leaders quickly set up a new global matching gift program to augment the U.S. Foundation matching gift program to further strengthen employee contributions. Global sustainability ambassadors identified local nonprofits on the front lines of COVID-19 relief and directed corporate funding accordingly.

Recipients of Johnson Controls funds included the Indian Red Cross; Indonesian UNICEF; Thailand Red Cross; Malaysian Red Cross; and Good 360 in North America.

Employees gave their own time to their community, reaching out in ways small and large to make a difference. When Milwaukee moved to a shelter at home plan, employees from the headquarters location delivered cafeteria food to a nearby food pantry. Johnson Controls provided laptops and tablets to students in Wisconsin and Texas for help in accessing online learning, and supported the U.S. National Guard in a large-scale neighborhood testing program. The Johnson Controls volunteer platform shifted in focus from team volunteering opportunities to virtual and individual opportunities that employees could participate in safely. From food pantry delivery, to working virtually on open-source ventilators, employees found ways to contribute. Since 2003, employees have volunteered nearly 1.8 million volunteer hours of their time to local communities.

Global disaster relief

Johnson Controls supports natural disaster relief efforts globally. By partnering with large organizations such as the Red Cross and United Way, as well as smaller local agencies, we have played a role in supporting large-scale disaster relief efforts through our company donations. Johnson Controls is a member of the American Red Cross Annual Disaster Giving Program, a select group of leading corporations providing the highest level of funding to global disaster relief efforts. Since 2012, Johnson Controls has made an annual donation of $500,000. Our membership supports an emergency infrastructure that enables the Red Cross to respond immediately to the needs of individuals and families impacted by disasters. Membership in the American Red Cross Annual Disaster Giving Program ensures Johnson Controls renders assistance in a timely, consistent way, and is available when disasters occur, wherever and whenever they happen around the world. Johnson Controls provides additional support to relief efforts when extreme disasters occur and to local agencies for disasters if the American Red Cross is not asked to provide relief. In addition to company donations, Johnson Controls employees provide support to local communities through employee donations and volunteerism.

Expanded commitment to philanthropy

Since 1952, the company has regularly contributed to the Johnson Controls Foundation to ensure robust philanthropic support for the community. In the last ten years, the Johnson Controls Foundation has funded more than $77 million to support U.S. charitable organizations.

In 2020, the Foundation gave $6 million in support to nonprofit organizations that measurably improve our communities. This support included direct grants to nonprofit organizations, matching gifts for employee pledges to a national United Way campaign and a Milwaukee campaign to support the United Performing Arts Fund, and matches as part of the matching gift program for individual employee gifts to eligible non-profit organizations. The Johnson Controls Foundation stands in support of the cornerstone organizations that define Milwaukee on a national level. These are organizations such as the Children's Hospital of Wisconsin, Milwaukee Zoological Society, and Marquette University. The Foundation also contributes to lesser-known organizations that provide quiet support and programming to Milwaukee's most vulnerable populations: Meta House, which provides assistance to women with addictions; Hunger Task Force, which provides food to pantries across the city; and the Urban Ecology Center, which connects children from the city with environmental education. All investments are tracked with impact metrics and are reviewed to ensure goals are attained.

In 2020, this regular support was institutionalized with approval from the Foundation's board of directors to apply an annual funding formula tied to revenue from the company to the Foundation assets. An increase in revenue will lead to an increase in Foundation funding, which in turn, will lead to greater support of the community commensurate with revenue.

The Johnson Controls executive team also approved two other philanthropic initiatives to accelerate giving globally. They approved an innovative program to invite community colleges to apply for significant grants to scale up programs for associate's degrees targeted at underrepresented groups, and also approved driving strategic giving from the business, outside of the Foundation, with the goal of more than doubling current levels of giving in the next several years. The directive for specific programming to carry out these goals was placed within the company's Public Affairs department.

Volunteering

New program ties corporate funding to volunteering

In August, Johnson Controls launched a new global volunteer program, WeGive. When employees give their time to an eligible cause that builds safe, smart and sustainable communities, a $10/hour corporate donation follows, upon approval. New this year, Johnson Controls started matching employee donations outside the U.S. Nearly 800,000 nonprofit organizations in 200 countries where our employees live and work are approved as eligible for the program. In 2020, 82 percent of all volunteering tied to one of the 17 United Nations Sustainable Development Goals (SDG), with 40 percent to Sustainable Cities and Communities and 20 percent to Quality Education. Despite the pandemic, more than 20,500 hours of service were recorded in 2020. Through the program, Johnson Controls seeks to better connect our philanthropy and volunteerism, leveraging the impact of both.

Community Leadership Program

The Johnson Controls Community Leadership Program strategically matches our leaders with community and charitable organizations who need board members. We do this by coupling the leader's personal passion and professional expertise with area organizations that need this type of guidance.

In 2020, leaders represented our company in local communities serving on 166 nonprofit boards. Organizations included hospitals, universities, social service agencies and civic organizations. Our involvement provides strategic feedback on economic, social, educational and environmental issues and illustrates our commitment to the communities where Johnson Controls has a presence. Studies show that nonprofit board service benefits corporate employees and helps advance workplace diversity and inclusion by connecting executives with members of the community they would otherwise be unlikely to meet with regularly. The expertise the executive offers fosters a stronger approach for the nonprofit, which in turn can solve community problems and drive economic growth where employees and customers live and work. The Johnson Controls Foundation turns to these Johnson Controls leaders for guidance on grant requests that come to the Foundation's attention. These leaders provide insight and visibility into the operations of the nonprofit and are a crucial part of the due diligence process for approving grant requests that can range from $5,000 to more than $100,000.

Our employees

Health and safety

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Health and safety is critical to the success of Johnson Controls. We are committed to our Zero Harm vision to create a safe and healthy work environment for our employees, our vendors and contractors, our visitors and our communities.

Our Zero Harm Vision builds on three pillars: "Safety", "Health and Wellness", and "Environment" with multiple stakeholders from across the organization collaborating in improvement initiatives within the different pillars.

Johnson Controls health and safety programs are designed to provide a safe working environment. Our initiatives focus on how employees work at our manufacturing locations and our customer locations in the installation and services businesses, striving for a safe environment by eliminating unsafe conditions and acts.

Our health and safety programs rely on a systems management approach to ensure compliance and continuous improvement. While compliance with health and safety regulations is important and required, our programs reach beyond compliance to influence our company's culture through employee engagement and leadership behavior.

Given the diversity and decentralized nature of our company, our health and safety programs are designed around global standards with appropriate variations addressing multiple jurisdictions and regulations, specific hazards, and unique working environments of each business unit. The way we operate and measure the

performance and outcomes of our health and safety programs is consistent with widely accepted standards and practices meeting or exceeding International Labor Organization's Guidelines for Occupational Health Management Systems (ILO-OSH 2001) and ISO 45001 certification.

Johnson Controls employs dedicated health and safety professionals around the world. Each Business Unit maintains an environmental health and safety organization and management structure designed to support its health and safety efforts.

The corporate environmental health and safety team drives the company's strategic health and safety initiatives in close collaboration with the business unit health and safety leads. Enterprise-wide standards and programs are established in collaboration with the business unit health and safety leaders.

Our goal is to achieve and maintain world-class safety performance in all of our businesses and operations. Our health and safety management system, programs and policies apply to all staff present at our workplaces, whether they are Johnson Controls employees or external contractors.

Our sites hold onboarding and training programs for our employees. For contractors, we will first assess the contracting company's environmental health and safety programs and policies before awarding work to them, and then ensure individual staff carrying out tasks at Johnson Controls workplaces receive details of site-specific Johnson Controls environmental health and safety programs and policies.

Keeping our employees and customer sites safe during the COVID-19 outbreak

In response to the COVID-19 pandemic we created several new programs to help protect our workforce and our facilities and ensure the ongoing support of customer sites e.g. in the healthcare sector to remain operational during this pandemic. Our approach is based on creating multiple layers of protection, using technology, work-processes, individual protection, counselling, and training that reinforce each other.

Some of the key standards and practices of our programs include:

- Use of standard US-OSHA recordkeeping rules to measure injury and illness rates globally. We believe that injury and illness rates based on consistent definitions provide an objective measure of performance and we are committed to improving our performance.
- Use of widely accepted standards for the most critical safety processes, such as work at height, control of hazardous energy, driving safety, and contractor management. Such standards apply to all our locations worldwide.
- Use of established management system techniques to ensure injury rate reductions are sustainable.
- Verification of the accuracy of self-reported safety and health data, for example, during third-party auditor assessments.
- Exploring innovative ways to further strengthen our safety culture. Johnson Controls places an increasing focus on Leading Indicators as a measure of safety performance and outcomes is an example of this innovative stance.
- We deploy the Johnson Controls Manufacturing System (JCMS) Maturity Model and Standards to implement the Johnson Controls Way of Manufacturing to attain world-class performance in our manufacturing operations across the globe.

We implemented a distracted driving policy, promoting safe driving behaviors at all our operations globally. As part of the distracted driving policy we've banned any use of mobile phones while driving a vehicle, as well as programs to recognize and eliminate other distractors while driving, such as operating the navigation system, fatigue, and interacting with others in the vehicle.

During 2020 we made the transition from "reporting near misses" to "managing near miss situations". Our operations are no longer measured on how many near miss situations they report, but how effective they are at addressing and correcting those near miss situations before they can lead to harm.

Using leading and lagging performance metrics, improvement opportunities are identified. Following a series of fall incidents involving portable ladders, our North America service organization engaged with a ladder manufacturer to help design a new-style platform ladder that is built to provide a safe working platform in a variety of situations that are often encountered at customer service locations. Next, the business leadership committed to roll out a ladder replacement program to ensure that employees have access to the new-type ladders, workplace safety is improved, and the occurrence of ladder-related fall accidents is reduced.

Safety culture and behavior-based safety initiatives are being deployed within different parts of Johnson Controls. As there are different ways to ensure employees are engaged with safety, as a company we monitor and support such initiatives. One safety policy that applies to all employees, regardless of rank, region, workplace or other external factors, is the right of every employee to "Stop Work" whenever they have questions or doubts about their ability to safety execute a task assigned to them. Johnson Controls is beginning to implement health and wellness programs at major locations in addition to the traditional workplace health and safety programs.

These programs seek to improve employee well-being both inside and outside the workplace. Health and wellness programs include the establishment of fitness centers, running and walking tracks, weight loss programs, vaccinations, smoking cessation programs and many other health improvement and disease prevention programs. At Johnson Controls, these health and wellness programs continue to be an integral part of our Zero Harm vision.

The well-being programs are facilitated by a Global Well-Being Council that is responsible for developing and monitoring the global strategy, guidelines, and objectives as well as communicating the global well-being framework. They collaborate with and are supported by regional councils in Asia, North America, Latin America and EMEA as they implement and sustain the program at a regional and local level.

Policies, standards and certifications

Johnson Controls has a company-wide environmental, health and safety policy that is supported by local, regional, and site-specific employee health and safety policies and programs. The Johnson Controls health and safety policies embody the key elements enabling Zero Harm to employees and the environment and include local and regional regulatory requirements and industry standards (e.g. European Union, US-OSHA, National Fire Protection Association, country specific) where necessary.

For a safety management system, Johnson Controls generally follows the standards of ISO 45001. Many Johnson Controls locations are certified under this standard; however, Johnson Controls does not require external certification for all its operations. In addition, various locations maintain other key certifications including ISO 9001, ISO 14001 and ISO 50001.

Training

403-5

Training is a key component of Johnson Controls health and safety programs. Our standards require new employees to receive the appropriate level of health and safety training for their work environment. Health and safety training is provided during an employee's initial orientation or onboarding process. This also includes continual health and safety training through regular toolbox talks ranging from specific certifications to general awareness and behavior training. This training is conducted using a combination of classroom and computer learning.

Occupational health services

403-3

Johnson Controls staff have access to occupational health services, appropriate for the risks they may be exposed to at work. These occupational health services may by either internal or external, or a mixture of both, based on a local assessment of in-house capabilities, occupational exposure types, and required skills/competencies, to ensure all staff has access to expert occupational health support. Whether internally or externally, the results of occupational health exposure monitoring are available only to the respective worker and the required staff at the occupational health service. In case of exposures above acceptable levels, managers/supervisors may need to be involved to help resolve an exposure problem, but do not get access to an individual's occupational health records. The use of information from occupational health records for any favorable or unfavorable treatment of workers would constitute a violation of our ethics policy.

Audits and inspections

As part of the ISO 45001 standard and other applicable health and safety standards, Johnson Controls requires locations to perform regular safety audits to ensure proper safety policies, programs procedures, analysis, and training are in place. Audit data is used to create improvement and corrective action plans.

In addition, Johnson Controls engages an independent third-party conformity assessment and certification vendor to audit selected operations for adherence to our global health and safety standards. In addition to Management Systems Certifications for ISO 9001, ISO 14001, and ISO 45001, the third-party auditor also performs specialized audits for location-specific health and safety issues (e.g., ergonomics, industrial hygiene, machine guarding, OSHA record keeping, NFPA 70e live electrical, confined space.).

To allow the continuation of the third-party assessments during the COVID-19 pandemic, we collaborated with our facilities and the third-party auditors to convert our audit program from on-site to remote auditing, leveraging technology solutions such as smart glasses to maintain the same standard of audit and ensure the ongoing compliance of operations with applicable regulatory and internal requirements.

Reporting

Each business is responsible for reporting their health and safety activities and outcomes. These reports are generated monthly and are circulated to the senior leadership team. Health and safety is a standard topic at monthly operational reviews.

Our corporate environmental health and safety department provides a monthly global Zero Harm Report that contains information related to Key Performance Indicators including Total Recordable Incident Rate (TRIR), Significant Incident Rate (SIR), Motor Vehicle Accident Rate (MVAR), and Near Miss, Unsafe Act, and Unsafe Condition Closure Rate. The monthly Zero Harm Report is distributed to the Executive Leadership Team. This team includes the CEO and his direct reports, and the Global Health and Safety Leadership Team.

Health and Safety Committees

As part of our global health and safety standards, Johnson Controls maintains health and safety committees at the local, regional, business unit and corporate levels.

At the local level, health and safety committees take many forms, depending upon the business, but serve the same principal function: to facilitate and maintain regular communication regarding health and safety issues and information across all levels of the organization. This information includes, but is not limited to, health and safety standards, processes and procedures, roles and responsibilities, prevention measures, near misses and incident reviews, KPI trends, reporting and investigation obligations, inspections by relevant authorities, and both internal and external audit results. Health and safety meetings are held regularly and topics are tailored to specific location needs depending upon the type and scope of work.

In the manufacturing organization, health and safety committees generally operate at the location level because of the size and concentration of employees. In the installation and service business, health and safety committees generally operate at the branch or regional levels because of a dispersed workforce.

Key Performance Indicators

Johnson Controls utilizes a mixture of leading and lagging indicators to assess the health and safety performance of its operations. Lagging indicators include the OSHA Total Recordable Incident Rate (TRIR) and the Lost Time (or Lost Workday) Incident Rate (LTIR) based upon the number of incidents per 100 employees (or per 200,000 work hours) and significant Incident Rate (SIR) based upon the number of incidents per 1,000,000 work hours. Johnson Controls places more emphasis on the TRIR because of its uniform application around the world. While the LTIR is also tracked, Johnson Controls believes it is less useful in measuring health and safety outcomes because of the inherent differences in national occupational compensation and health schemes and variations in workplace regulations.

While Johnson Controls continues to measure and report on lagging indicators, it promotes the use of leading indicators as more relevant predictors of health and safety performance and outcomes. Leading indicators include, but are not limited to, near misses and unsafe acts/conditions closed, corrective actions completed, safety discussions held, motor vehicle calls reported, safety observations noted, safety-focused improvement events completed, job safety analysis completed, leadership safety walks, and self-audits completed. Leading indicators are defined, tracked, and measured by each Business Unit, appropriate for the risk and type of operations in the Business Unit. The Global Health and Safety Leadership Team evaluates the potential to define leading indicators to be measured and tracked at an enterprise level.

Technology and software

Johnson Controls uses an enterprise environmental health and safety software system, called the Environmental Health & Safety Information System (EHSIS), to support its health and safety programs worldwide. This system allows users to input, track and manage work-related injuries and illnesses as well as near misses and unsafe acts or conditions, create and perform safety audits, perform workplace inspections, perform leadership safety walks, measure compliance with government regulations and internal procedures, create standard reports, manage risk assessments, track waste and energy metrics and medical monitoring results (e.g., blood lead levels). The EHSIS platform is used by the company's health and safety professionals and other stakeholders to address their health and safety responsibilities.

Trade union health and safety

403-4

Certain Johnson Controls operations are subject to collective bargaining agreements, including the health and safety topics covered by these agreements. We believe strongly in providing all employees with a safe place to work no matter location or union association. Johnson Controls communicates that belief through its Code of Ethics, which applies to all employees and our suppliers.

In the European Union, Johnson Controls Health and Safety programs are subject to Works Council review and approval and to collective bargaining agreements in certain countries. Johnson Controls collaborates with trade unions and other employee representative organizations, as defined by local regulations, to improve workplace health and safety.

Continued External Employability

402-1

The competitive nature of the business requires Johnson Controls to occasionally restructure in order to compete and survive in a rapidly changing, cost-driven customer environment. In alignment with company values, when workforce reductions occur, they are carried out with utmost respect for the individuals concerned. In accordance with local, state, federal and/or country requirements, Johnson Controls also ensures the collective bargaining unit (if applicable), the State dislocated worker unit, and appropriate local government unit are also advised.

Supplier sustainability

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At Johnson Controls, we are committed to providing safe, quality products and services. It is our goal to work collaboratively with our suppliers to exceed our customers' increasing expectations, achieving outstanding performance through best-in-class products, services and processes. For more detailed information, see our Supplier Portal.

The company employs a proprietary supplier questionnaire called the Johnson Controls Sustainability Supplier Rating to assess our suppliers' sustainability programs. The online survey is administered to key suppliers annually. It was first released in January 2010 and is available on the Johnson Controls website.

The survey contains questions related to human rights, working conditions, employee safety, energy management, carbon footprint, waste management, local and diversity sourcing, and overall environmental impact. It also asks if the supplier is publicly reporting data such as its greenhouse gas emissions and specifically asks if the supplier is disclosing its carbon emissions to the CDP global disclosure system. In addition to this survey, on-site reviews of supplier operations may also occur as needed. The Johnson Controls Sustainability Rating is part of our supplier scorecard.

We require all our suppliers to adhere to our Code of Ethics, which covers issues such as labor, human rights, and the environment. We have policies and procedures in our business for removing unethical suppliers from our approved vendor lists if they don't or won't comply with our Code of Ethics. We do not disclose specific numbers or incidents regarding non-compliance.

To date, no significant social or environmental performance issues have been identified with any supplier. Current data indicates that no supplier has refused to abide with the essence of the Code of Ethics or has been terminated because of social or environmental performance issues. However, there have been instances in which follow-up questions and discussions have been necessary, particularly relating to environmental permit currency and operations compliance.

Assessing supplier data reliability

Johnson Controls expects suppliers to behave ethically as well as to maintain open and honest communications. We believe this to be true with every supplier that we have under contract. We have a common set of criteria (supplier scorecard and supplier assessment survey) for assessing the environmental and social performance of key suppliers, especially those posing the greatest risks to Johnson Controls and its customers (e.g., raw material extraction, chemical processing, manufacturing associated with high labor demands).

We also rely on local, state and federal agencies to monitor a supplier's compliance with environmental and labor laws. We often use the internet or have direct discussions with the regulatory agency to review a supplier's compliance record. In addition, we often perform site audits of selected suppliers to ensure that the proper environmental and social processes are documented, implemented and remain effective. Additional supplier oversight may also be prompted by negative reports regarding the environmental and social conditions of a supplier's facility or process.

However, like any company, we encounter issues that are dealt with promptly and appropriately. Falsification of data is taken seriously, and appropriate follow-up actions are taken whenever data is suspect. This action could result in us terminating the contract.

Human rights

Our Human Rights & Sustainability Policy and our Code of Ethics define our overall management approach as relating to human rights, anti-corruption, environmental, governance, social, and related matters. We respect the environment, the communities in which we operate, and our employees' human rights.

We oppose corruption. We expect our employees and suppliers to act in a socially and environmentally responsible manner. We require them to comply with applicable laws and regulations. We expect our suppliers to operate in a similar manner, and we have incorporated such language into our supplier contracts.

Johnson Controls requires the line management of each facility to ensure implementation of the equal opportunity and no harassment policies in accordance with national, state or provincial law. Additionally, the executive vice president and Chief Human Resources Officer monitors implementation of and compliance with these policies. Employees, temporary workers, visitors and other non-employees are encouraged to immediately report situations of harassment committed by anyone, including visitors, and other non-employees. They are asked to report the matter to their department manager, plant/facility manager, or local human resources manager. Johnson Controls wants to know of any allegation of harassment or unfair practice so that appropriate action can be taken after a prompt investigation.

To ensure our processes are working properly and that employees, customers and shareholders understand our policies and guiding principles around treatment, respectability and integrity, we systematically gather feedback and take action to improve our work environment. We track, analyze, and communicate performance outcomes quarterly.

UN Global Compact

102-12

Our Human Rights Policy specifically states that we fully support the United Nations Global Compact's Ten Principles. These principles are based on The Universal Declaration of Human Rights, The International Labor Organization's Declaration on Fundamental Principles and Rights at Work, The Rio Declaration on Environment and Development and The United Nations Convention against Corruption. In addition, Johnson Controls supports the United Nations Framework on Business and Human Rights.

Our progress in meeting each of the UN Compact Principles is reported publicly on the United Nations Global Compact website. Also, see our Sustainability Commitments.

Child labor

408-1

We take active measures to prevent and eliminate child labor through our policies. Our Code of Ethics and Human Rights & Sustainability Policy address child labor and are consistent with the UN Global Compact and ILO Convention 138. Potential employees are required to show valid identification and proof of age before they are hired. To the best of our knowledge, there is no child labor within our company. The company has not found any of its plants or operations which would be at significant risk for incidents of child labor.

Forced or compulsory labor

409-1

There are no operations within Johnson Controls that have been identified as having significant risk for incidents of forced or compulsory labor. We take proactive measures to prevent forced or compulsory labor through our policies.

Security practices

410-1

At Johnson Controls, our security mission is to protect corporate assets – that includes people, property and intellectual assets – through the implementation of appropriate risk-based and business-minded security and loss prevention tactics. In order to achieve this security mission, we have processes, activities and metrics in place to support enterprise security operations that include loss prevention, asset protection, executive protection, enterprise security risk management, security investigations, travel security, crisis management, and business continuity.

Johnson Controls employs security personnel either directly or through vendors, and their responsibility is primarily physical security. All such personnel are sufficiently qualified and are trained in our Code of Ethics.

Slavery and human trafficking

Our Slavery and Human Trafficking policy complies with the Modern Slavery Act of 2015 and is updated annually. We are committed to taking steps to ensure that slavery and human trafficking is not taking place in any part of our supply chain or in any part of our business. We require our employees and suppliers to abide by our Code of Ethics. We also gather information to quantitatively measure our suppliers' sustainability programs and to ensure compliance with local, state, federal and country laws, including laws on forced labor.

We expect suppliers to take steps to ensure that slavery and human trafficking is not taking place in any part of their supply chain or in any part of their business. We may reconsider our supply arrangements and implement remedies available to us if a supplier refuses to cooperate with our compliance efforts.

Conflict minerals

We are committed to the responsible sourcing of conflict minerals throughout our supply chain. Johnson Controls is a member of the Responsible Minerals Initiative, and we compare the aggregation of smelter lists provided by our suppliers with their list of compliant smelters to determine which smelters are conflict free. The information provided by our suppliers is used to conduct our due diligence, including assessing reports for completeness and consistency. Our due diligence processes also conform to the primary principles of the internationally recognized due diligence framework from the Organisation for Economic Co-Operation and Development. You can view our conflict mineral policy at www.johnsoncontrols.com/suppliers/sustainability/conflict-minerals.

Product safety

403-7

Our company values include being "Customer Driven" and "Future Focused". These define our commitments to help our customers win and to continuously improve our business. The responsibility for monitoring customer satisfaction resides with the Board of Directors and with business unit management.

Johnson Controls is committed to providing quality products and services that meet or exceed the expectations of our customers. Deficiencies that threaten the physical well-being of any person or put the financial security of our company at risk should be reported immediately to management. Deficiencies may involve product quality, safety, design, installation, or maintenance.

Our internal Johnson Controls Operating System (JCOS) defines and standardizes best practices across our corporate activities. These include our Commercial Excellence initiative as well as our Engineering Excellence initiative. Together these help to continuously improve the solutions we deliver to our customers that advance health and safety. JCOS also ensures uniformity in dealing with customers and brings prompt, measurable quality improvements.

Assessment of the health and safety impacts of product and service categories

416-1 | 416-2 | 403-7

A standardized procedure assessing safety and health impacts for our product development is in place across the enterprise. We follow a launch procedure for new product development. The procedure uses a process known as Failure Mode and Effect Analysis (FMEA) to address single-point failure modes in the Product Design and Manufacturing Processes. For new products and products in the field, we may also use Risk Assessments or Fault Tree Analysis (FTA) in the design to capture compounding effects leading to failures, and mitigation or prevention opportunities after which the countermeasures can be put back into the FMEAs as single-point failures. Product safety and noncompliance with regulatory items are defined under FMEAs with the highest severity ratings.

One hundred percent of our significant product or service categories are covered by and assessed for compliance with company procedures for assessing product/service health and safety impacts. Johnson Controls did not have any incidents of non-compliance with regulations or voluntary codes concerning the health and safety impacts of our products and services.

Product safety controversies

While the company faces certain product liability cases which are brought against its products from time to time, none of those cases have involved actions for non-compliance with an applicable regulatory or voluntary code and fines, settlements or court-imposed awards for such non-compliance.

The company has a process for determining whether products in the field have nonconformities that might be the source of potential product safety concerns. It regularly monitors field performance and performance in the factory to determine whether any nonconformities in our product could be the source of those types of concerns.

If we determine that such circumstances exist (e.g. nonconformities that could cause safety concerns in the field), we either work with our customer to determine the correct field response in cases where we supply the component and not the entire end product or determine the correct field actions if our product is the one sold to the end user. In doing so, we determine any requirements for reporting such actions promulgated by applicable regulatory agencies and report our actions consistent with those reporting requirements.

Product labeling

417-1

Our products are listed by Nationally Recognized Test Labs (NRTL). The standards used for these listings require that specific information be placed on defined labels regarding safety. This information includes maximum voltages, amperages, pressures, etc. It also requires the NRTL and the standards tested. By regulation, we also include additional labels as needed, such as refrigerant type, DOE-required efficiency or performance ratings. Our installation, operation and maintenance manuals are provided to relay specific information regarding safe use of the product and applicable safety warnings. Our product labels also comply with recommended safety icons and language requirements as appropriate, consistent with national guidelines for safety labels.

Customer privacy

418-1

Johnson Controls cares deeply about privacy and is committed to protecting personal information in accordance with global fair information practices and applicable global privacy laws. Johnson Controls joined the exclusive list of companies that have obtained EU Binding Corporate Rules (BCRs) and certification under the Asia-Pacific Economic Cooperation (APEC) Cross Border Privacy Rules (CBPR). BCR and CBPR certification satisfies the most stringent privacy standards and represent the company's commitment to the seamless protection of personal information whenever such information is transferred or accessed globally by Johnson Controls. Johnson Controls is committed to the privacy of our employees, customers, suppliers, and consumers. See more at www.johnsoncontrols.com/privacy.

Information security/cybersecurity

The use of data – whether to run internal operations, generate meaningful financial reporting, or create best-of-breed solutions for the marketplace – is key to an organization achieving its sustainability goals by deriving insight and identifying opportunity. Where there is data and technology, there is risk. In recognition of this, Johnson Controls has developed an Information and Cybersecurity Program that assures the confidentiality, availability and integrity of information and systems within its control. This is achieved through a strong management approach, governance through robust policy, standards and procedures, and execution of a comprehensive strategy that adapts to changing risks.

Johnson Controls has a vice president and Chief Information Security Officer (CISO) responsible for the development and execution of the information security and cybersecurity strategy across the global Johnson Controls footprint. He leads the company's information and cybersecurity function and has 25 years' experience in IT and security, including work as a CISO at another global enterprise and as a former United States Department of Defense Counterintelligence Agent.

Johnson Controls policies, standards, and procedures apply to all employees to ensure the workforce is aware of threats and the importance of information security/cybersecurity. The cybersecurity Policies and Standards were created following ISO 27001. The company leverages multiple channels to promote cybersecurity topics, it delivers targeted training for new employees, and it conducts an annual mandatory global information security training campaign and certification, which is translated into 20 languages. These elements, based on the policy and standard structure, are designed to mature a risk aware culture.

The vulnerability management program assures that vulnerability assessments are continually conducted with specific frequencies for specific asset types to validate system health against known threats. Johnson Controls leverages multiple tools, which are updated with new signatures daily, to continually respond to evolving threats identified as part of the Company's threat detection capability.

Internal and external scan logs are parsed with other source logs to populate a dashboard that is used to indicate potential events and incidents, which are worked by analysts who triage the environment and assure risks are mitigated. Incidents are managed through the Service Desk by leveraging the IT Service Management capability for triage. Events with cyber security impacts are routed to the IT Security Incident Response function for triage, investigation, and if necessary, mitigation.

Governance

Company leaders

102-18

The Johnson Controls board of directors is guided by our Corporate Governance Principles, Code of Ethics, and Articles of Association, all of which are publicly available in the Corporate Governance section of our corporate website.

Detailed information about the company's governance structure, board of directors and their committees is publicly available in our 2021 notice of annual shareholders and proxy statement. Information about our executive leadership and our board of directors is also available on the Leadership page of our website.

We believe good governance requires not only an effective set of specific practices but also a culture of responsibility and accountability throughout the company. Governance at Johnson Controls is intended to foster and promote both.

We are committed to recruiting and retaining directors and officers of proven leadership ability and personal integrity. Our board adopted and adheres to our Corporate Governance Guidelines that provide a resilient framework for the effective governance of Johnson Controls. One-third of our board of directors are women or members of historically underrepresented groups.

Responsibility for economic, environmental and social topics

102-19 | 102-20 | 102-26 | 102-27 | 102-29

In general, the management of Johnson Controls is responsible for developing our overall mission and strategic plan on an enterprise and business level. Our board of directors approves and oversees the implementation of the company's mission, strategic plan and business strategies, and provides advisory support.

The vision and values of our board of directors include our company vision of a safe, comfortable and sustainable world and our company values: Integrity First, Purpose Led, Customer Driven, Future Focused, and One Team. The Governance and Sustainability Committee of our board of directors is briefed each quarter on our company sustainability progress and our board of directors is briefed periodically on material sustainability matters.

Authority for day-to-day management of economic, environmental, and social topics is delegated to the Executive Committee, which comprises the senior executives responsible for all our major corporate functions. The most senior positions with operational responsibility for Environment and Society aspects include the executive vice president, general counsel; vice president, public affairs and chief diversity officer; executive vice president and chief human resources officer; vice president, chief sustainability government and regulatory affairs officer; and vice president and chief procurement officer.

Local business leaders are responsible for the impact our business has on the environment and local society. The executive committee further delegates relevant authority for economic, environmental, and social topics – particularly including all the material aspects discussed in the Johnson Controls Sustainability Report – to the internal Sustainability Leadership Committee and other appropriate organizations within the company.

Sustainability governance

Our commitment to sustainability starts at the top and is integrated throughout our Company

Board of directors and Governance and Sustainability Committee
The board of directors approves and oversees the implementation of the company's mission, vision and values. The board is briefed each quarter on our sustainability progress. The Governance and Sustainability Committee provides oversight of our sustainability program, goals, management, trends and environmental health and safety.

Chairman and CEO and Executive Committee
Authority for day-to-day management of economic, environmental and social topics is delegated to the Executive Committee, which comprises the senior executives responsible for all our major corporate functions. Our CEO and Executive Committee members have sustainability and diversity embedded into their performance goals.

Chief Sustainability Officer and Sustainability Leadership Committee
In fiscal 2020, we named our first Chief Sustainability Officer and formed a Sustainability Leadership Committee. The Sustainability Leadership Committee provides regular updates to the Executive Committee and our board. It is chaired by our Chief Sustainability Officer and its members are senior leaders across our business, functions and regions. It is charged with ensuring we are leaders across all measures of sustainability, embedding sustainability into our culture and operations across the enterprise, building sustainability metrics into employee performance goals, and launching working groups under the Global Sustainability Council.

Global Sustainability Council and Working Groups
The Global Sustainability Council (GSC) and Global Sustainability Team play the role of connector and coordinator, ensuring streamlined engagement across diverse business functions to deliver on the enterprise Sustainability Strategy. The GSC was established in 2009 to provide a structure for enterprise-wide sustainability management. The working groups are composed of small teams and are designed to address specific sustainability-related topics.

Risk management

102-11 | 102-15 | 102-29 | 102-30 | 102-31 | 205-1

As a global industrial company, we face a range of risks, including general economic, credit, and capital market conditions risks, geopolitical risks, regulatory risks, global climate change risks, and several other risks that are fully listed and explained on pages 9–21 of our fiscal 2020 Form 10-K.

Johnson Controls has a comprehensive risk management program. Directors are involved in the program with primary responsibility for overall risk oversight, including the company's risk profile and management controls. More detailed information on the role of the board of directors and the Risk Management Process is disclosed on page 40 of the 2021 Annual Shareholders and Proxy Statement.

We govern our enterprise risks and opportunities through a robust risk management and mitigation program.

- Our board of directors has a risk oversight role that is consistent with our leadership structure.
- Management has day-to-day responsibility for assessing and managing our risk exposure.
- The board and its committees provide oversight in connection with those efforts, with a particular focus on the most significant risks we face.

The board performs its risk oversight role both directly and through its standing committees. Throughout the year, the board and each committee spend a portion of their time reviewing and discussing specific risk topics. Board meetings regularly include strategic overviews by the CEO and other members of senior management that describe the most significant issues, including risks, affecting us. On an annual basis, the Chief Compliance Officer and other members of senior management report on our top enterprise risks, and the steps management has taken or will take to mitigate these risks. In addition, the board regularly receives updates from business unit leaders, the General Counsel, Chief Information Officer, Chief Sustainability, Government and Regulatory Affairs Officer, and other functional leaders.

The board reviews the risks associated with our financial forecasts, business plan, and operations. These risks are identified and managed with our enterprise risk management (ERM) process.

The company's ERM process provides a common framework and terminology to ensure consistency in identifying, reporting, analyzing, and managing key risks. It is also linked to the strategic planning process, compliance and internal audit, and includes a formal process to identify and document the key risks to Johnson Controls as perceived by a variety of stakeholders in the enterprise. In addition, a Risk Committee oversees the ERM program by providing feedback, guidance and direction on the process, procedures and results and will escalate any new risks that should be elevated to the Executive Committee. In fiscal 2020, we incorporated sustainability into our enterprise risk management process for the first time.

The results of ERM activity are presented to the board at least annually.

In addition, we have key teams in place to oversee and advise on our sustainability risks and opportunities. They include our Executive Committee, Executive Leadership Team, the Sustainability Leadership Committee, the Global Sustainability Council, the Purchasing Leadership Team, and specialized committees and management groups.

Ethics and integrity

102-16 | 102-17 | 102-33 | 102-34 | 103-1 | 103-2 | 103-3 | 419-1

Throughout our history, Johnson Controls has conducted business with integrity. Our dedication to "do the right thing" improves our long-term business performance, reputation, productivity, and employee retention.

Values First, the Johnson Controls Code of Ethics, applies to everyone at Johnson Controls, including the Board of Directors, company officers, employees, agents and contract workers. In addition to our Code of Ethics, we are committed to the principles in our Human Rights & Sustainability Policy.

Integrity is at the center of everything we do at Johnson Controls. Our company's ongoing success stems from our deeply engrained culture of ethics and integrity. Acting with integrity allow us to meet the high expectations of our customers, partners and communities, and gives us a competitive advantage.

For us, doing business with integrity is the only way to do business.

The Johnson Controls Code of Ethics is available in 33 languages and provides specific guidance on the behaviors that allow us to implement our culture globally.

Compliance with our Code of Ethics and our Anti-Corruption Policy is a condition of employment. Johnson Controls trains its employees on a variety of anti-corruption and related matters, including the Foreign Corruption Protection Act, anti-bribery statements from our Code of Ethics and our Code of Ethics more broadly.

Every two years, all online employees must complete an ethics certification that requires completion of the ethics training module and a review of the Code of Ethics. We consistently achieve more than 90 percent compliance with these training and certification requirements.

The completion status of the biennial employee training certification is reported to the Audit Committee of the Board of Directors. The Audit Committee of the board of directors also has oversight responsibility for the contents of the Code of Ethics. The Code of Ethics is periodically updated to reflect changes in laws, regulations, and company policies.

The Code of Ethics is publicly available to anyone, including employees, customers, suppliers, and other third parties, at valuesfirst.johnsoncontrols.com. Employees also have access to the Code of Ethics on the company's intranet.

Our Code of Ethics is also communicated to our employees in the following ways:

- All new employees are required to sign that they have read, understand and will comply with our Code of Ethics as a condition of employment.
- The Code of Ethics is addressed by our managers regularly in employee meetings.
- The Code of Ethics is frequently addressed through the "tone at the top" whenever our leadership team provides communications throughout the year to employees (employee portal, in-person meetings, web casts, emails to employees, etc.).

We seek to create an environment that removes barriers and promotes inclusion. We want an environment that fosters effective recruitment, development, motivation and retention so that each person is able to maximize his or her contribution to meeting business objectives. We systematically gather feedback and take action to improve our work environment. This ensures our processes are working properly and that employees, customers and shareholders understand our policies and guiding principles around treatment, respectability, and integrity. We track, analyze and communicate performance outcomes quarterly.

Integrity Helpline

102-17

A 24-hour Integrity Helpline is managed by the Ethics and Compliance department and is available to anyone who wishes to raise an ethics or compliance concern with the company. The Helpline is available in 47 languages, is operated by an independent third-party vendor, and allows callers to log concerns anonymously. Employees, suppliers, customers and third parties can raise concerns either by phone or using the web-based Integrity Helpline portal.

Concerns that are raised via the Integrity Helpline are triaged and then routed to the appropriate function for review and investigation. Statistics are produced quarterly and are reviewed with the global compliance leadership team and presented to the Audit Committee.

The Integrity Helpline is only one of several communication vehicles that employees can use to raise ethics-related concerns. Most often, employees discuss such issues directly with their manager. In addition, employees are encouraged to reach out to their HR representative, legal department or compliance team if they do not feel comfortable going to their direct manager.

Employees can also contact the compliance team directly if they have any ethics or compliance questions using the Ask Compliance mailbox at askcompliance@jci.com. Queries sent to this mailbox are reviewed and sent to the appropriate person who will respond to the inquiry.

Public policy engagement

Johnson Controls engages with our stakeholders on public policy issues that are important to our business, including public policy issues and programs related to energy efficient buildings and their operations; interconnected building systems; fire and life safety technologies; and material recycling. We have staff at the corporate level and in each of our major geographies that engage with our stakeholders on local, state and national public policy issues.

Johnson Controls federal lobbying expenses for 2020 were publicly disclosed on quarterly reports filed with the Clerk of the U.S. House of Representatives and Secretary of the U.S. Senate pursuant to the Lobbying Disclosure Act of 1995, as amended, and can be found here.

Q1 2020 | Q12 2020 | Q3 2020 | Q4 2020

Our public policy engagement is often conducted in conjunction with the efforts of allied business, trade and issue organizations of which the company is a member. Johnson Controls membership or support of these trade or issue organizations does not mean we support every position they may take and we reserve the right to speak out, both publicly and within the organization, when we disagree.

North America:

- Air-Conditioning, Heating, & Refrigeration Institute (AHRI)
- Alliance for Responsible Atmospheric Policy
- Alliance to Save Energy
- American Council on Renewable Energy (ACORE)
- American Council for an Energy-Efficient Economy
- American Society of Heating, Refrigerating and Air-Conditioning Engineers (ASHRAE)
- Building Decarbonization Coalition
- Business Council for Sustainable Energy
- Business Roundtable (George Oliver was named the incoming Chair of the Energy & Environment Committee)
- C2ES
- Digital Climate Alliance
- Information Technology and Innovation Foundation (ITIF)
- Institute for Market Transformation
- Keystone Energy Center
- National Association of Energy Service Companies
- National Association of Manufacturers (NAM)
- National Fire Sprinkler Association
- Northeast Energy Efficiency Partnerships (NEEP)
- CDP (formerly the Carbon Disclosure Project)
- U.S. Energy Association
- U.S. Green Building Council (UGBC)
- Urban Green Council
- World Green Building Council

Europe:

- AmCham EU
- EuroACE
- European Alliance of Companies for Energy Efficiency in Buildings
- European Building Automation Controls Association
- European Heat Pump Association
- European Partnership for Energy and the Environment

Asia-Pacific:

- American Chamber of Commerce in China
- American Chamber of Commerce, India
- Asia Pacific Urban Energy Association (APUEA)
- Center for Environmental Education and Communications (CEEC) of the State Environmental Protection Administration (SEPA) of China
- China Association of Building Energy Efficiency (CABEE)
- China Energy Storage Alliance
- Confederation of Indian Industry
- Fire and Security Association of India
- India Green Building Council
- Indian Society of Heating, Refrigeration and Air-Conditioning
- Engineers
- U.S. India Strategic Partnership Forum

Political contributions

415-1

Johnson Controls and its employees participate in the public policy process in the United States in various ways. These include corporate government affairs activities designed to educate elected officials and policymakers on key issues related to the company's business, individual political giving by employees through the Johnson Controls Political Action Committee (PAC), and membership of trade associations and organizations to help advance our business objectives.

In 2020, Johnson Controls made corporate political contributions to the following committees: the Democratic Governors Association ($25,000) and the Republican Governors Association ($25,000). Johnson Controls did not make any corporate contributions to political candidates or parties in 2020. Johnson Controls does not provide financial or in-kind support in other countries or in other ways besides our PAC in the United States.

In 2020, the Johnson Controls Political Action Committee contributed a total of $218,100. The complete list of recipients can be found here. More information on the Johnson Controls Political Action Committee's expenditures is available at www.fec.gov.

Bribery and corruption issues

Throughout our history, Johnson Controls has conducted business with integrity. We are guided by our Company Values, our Code of Ethics, our Commitment to the United Nations Global Compact, and our Human Rights & Sustainability Policy.

Code of Ethics and Anti-Corruption Policy

102-12 | 205-1

Our dedication improves our long-term business performance, reputation, productivity, and employee retention. Values First, the Johnson Controls Code of Ethics, applies to everyone at Johnson Controls, including the board of directors, company officers, employees, agents, and contract workers.

The Code of Ethics is translated into 33 languages and provides specific guidance on the behaviors that allow us to implement our culture globally. Compliance with our Code of Ethics and our Anti-Corruption Policy is a condition of employment.

The Code of Ethics is publicly available to anyone, including employees, customers, suppliers and other third parties, at valuesfirst.johnsoncontrols.com. Employees also have access to the Code of Ethics and the Anti-Corruption Policy on the company's intranet.

Operations assessed for risks related to corruption

One hundred percent of the company's business units and corporate activities have been analyzed for risks related to corruption. This risk assessment is part of our strategic planning and Sarbanes-Oxley processes. This risk assessment is also part of our audit plan, which is a risk-based audit process. We have improved our international trade compliance program even further – it includes information on corruption – and have made sure risks are identified and processes are in place. This program looks at all of our businesses and geographies.

See our Code of Ethics and Human Rights & Sustainability Policy – both address corruption.

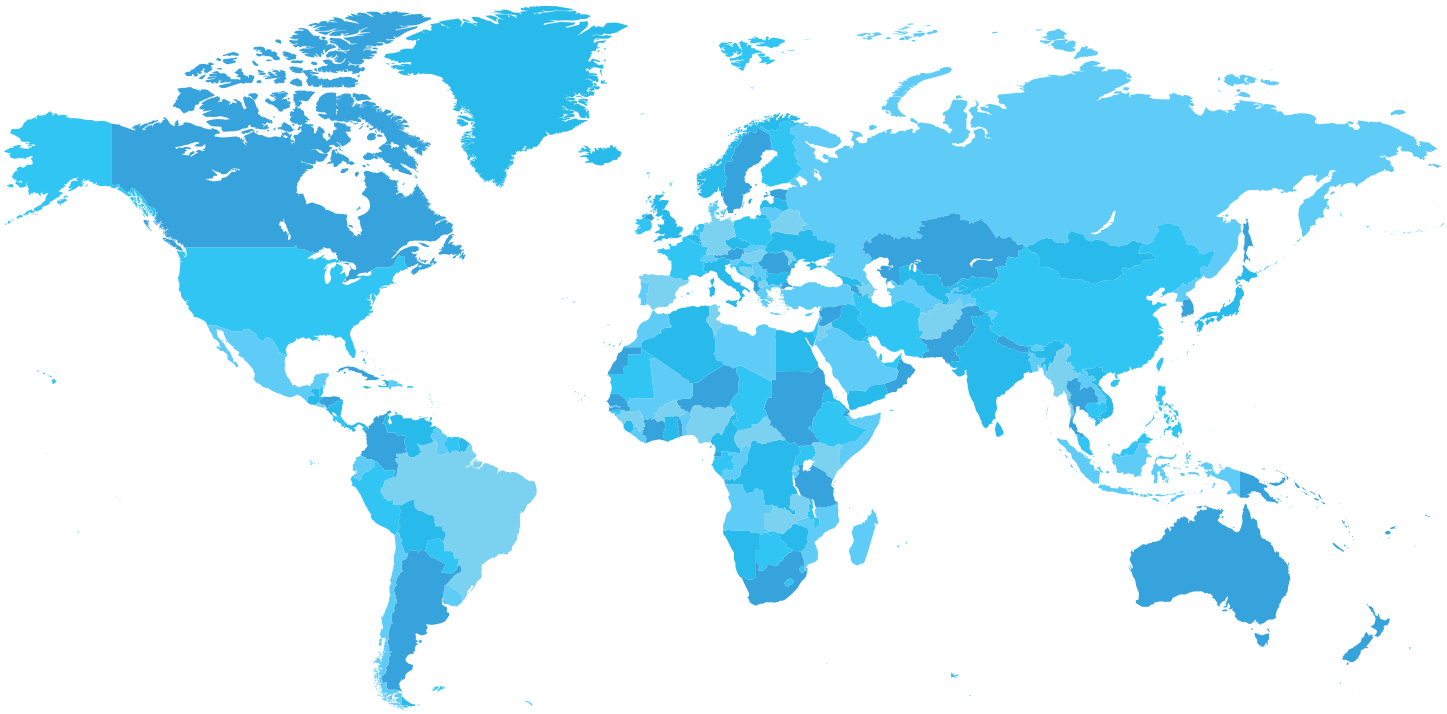
Data appendix

Sustainability process data

Standards, methodologies, assumptions, and/or calculation tools used for direct (Scope 1) and indirect (Scope 2 and 3) GHG emissions

Activity data is mostly tracked using our Environmental, Health and Safety Information System (EHSIS) tool. A small portion of the data is tracked using templates consistent with the listed standards.

- The Greenhouse Gas Protocol: A Corporate Accounting and Reporting Standard (Revised Edition)
- The Greenhouse Gas Protocol: Scope 2 Guidance, An amendment to the GHG Protocol Corporate Standard
- The Greenhouse Gas Protocol: Technical Guidance for Calculating Scope 3 Emissions
- The Greenhouse Gas Protocol: Scope 3 Evaluator tool
- The Climate Registry: General Reporting Protocol
- The Climate Registry: Electric Power Sector (EPS) Protocol
- U.S. EPA Climate Leaders: Indirect Emissions from Purchases/Sales of Electricity and Steam
- U.S. EPA Climate Leaders: Direct Emissions from Stationary Combustion
- U.S. EPA Climate Leaders: Direct Emissions from Mobile Combustion Sources and DEFRA.
- GHG emissions consolidation approach for Scopes 1 and 2: Operational control
- Emission factor sources:
  - U.S. EPA
  - National Inventory Report 1990–2018 (Canada)
  - International Energy Agency (IEA)
  - The Climate Registry
  - DEFRA
- GWP values taken from:
  - IPCC Fourth Assessment Report (AR4 - 100 year)



Location of operations

103-1 | 102-4

Our 100,000 worldwide employees serve a wide range of customers from 2,000 locations in more than 70 countries. The Johnson Controls Location Finder helps our customers find the facility that can best serve their needs.

We have facilities located in the following countries:

Location of operations				
Argentina	Denmark	Japan	Peru	Chinese Taiwan
Australia	Finland	Kazakhstan	Poland	Thailand
Austria	France	Kuwait	Portugal	Turkey
Bahrain	Germany	Luxembourg	Qatar	Turkmenistan
Belgium	China - Hong Kong (SAR)	China - Macau (SAR)	Romania	Ukraine
Brazil	Hungary	Malaysia	Russian Federation	United Arab Emirates
Canada	India	Mexico	Singapore	United Kingdom
Chile	Ireland	Netherlands	South Africa	United States of America
China	Isle of Man	New Zealand	Republic of Korea	Uruguay
Colombia	Indonesia	Norway	Spain	Uzbekistan
Costa Rica	Israel	Oman	Sweden	
Czech Republic	Italy	Panama	Switzerland	

Stakeholder engagement

102-40 | 102-43

Below is our approach to stakeholder engagement, including frequency of engagement by type and by stakeholder group, and an indication of whether any of the engagement was undertaken specifically as part of the report preparation process.

Stakeholder Engagement			
Stakeholder Type/Group	**Frequency of engagement**	**Approach**	**Portion of engagement as part of the report preparation process**
Employees including Executive Leadership and Business Resource Group leaders	At least quarterly	Quarterly "Town Hall" meetings Employee Surveys Business Resource Group initiatives Sustainability report Internal website Materiality Assessment	Participation in Sustainability Materiality Assessment
Suppliers	At least quarterly	Calls One-on-one engagement Surveys Conferences Top Supplier Awards Supplier Diversity initiatives Materiality Assessment	Participation in Sustainability Materiality Assessment
Customers	At least quarterly	Calls Meetings One-on-one engagement Surveys Materiality Assessment Market Research	Participation in Sustainability Materiality Assessment
Investors	At least quarterly	Calls Annual Investor Day Materiality Assessment	Participation in Sustainability Materiality Assessment
Non-governmental organizations	At least quarterly	Calls Meetings Conferences Materiality Assessment Memberships Funding through Foundation and Sponsorships Employee volunteering	Participation in Sustainability Materiality Assessment
Industry Groups	At least quarterly	Calls Meetings Conferences Materiality Assessment	Participation in Sustainability Materiality Assessment
Labor Groups	At least quarterly	Calls Meetings	Participation in Sustainability Materiality Assessment
Media	At least quarterly	Calls Meetings Conferences Materiality Assessment	Participation in Sustainability Materiality Assessment
Academia	At least quarterly	Calls Meetings Research partnerships Employee matching programs for higher educational institutions Materiality Assessment	Participation in Sustainability Materiality Assessment

Environmental Data

Results: Energy

ISO 14001, 50001, and OHSAS certified and compliant status from manufacturing facilities

Environmental Data			
JCI Company-wide	ISO 14001	ISO 50001	OHSAS 18001
Certified	60%	2%	44%
Complaint	15%	0%	8%

Energy consumption within the organization

302-1 | 302-3

Energy consumption within the organization					
Consumption by fuel type	Unit of measure	2020	2019	2018	2017
Renewable fuels					
Biomass	GJ	24,551	47,515	54,326	59,131
Ethanol	GJ	12,074	21,592	1,612	2,288
Subtotal	GJ	36,625	69,107	55,938	61,419
Non-renewable fuel sources					
Natural Gas	GJ	1,604,309	1,722,066	1,690,086	1,606,183
Fuel distilled from crude oil and other fossil fuels*	GJ	3,409,636	3,900,288	3,779,054	3,801,458
Subtotal	GJ	5,013,945	5,622,354	5,469,140	5,407,641
Energy consumed					
Electricity	GJ	2,415,243	2,600,434	2,762,944	2,628,014
Steam	GJ	18,510	15,318	14,322	10,641
Subtotal	GJ	2,433,753	2,615,752	2,777,267	2,638,655
GRAND TOTAL	**GJ**	**7,484,324**	**8,307,213**	**8,302,345**	**8,107,715**

*This category includes: gasoline, diesel, propane/LPG, butane, jet fuel, heavy fuel oil, coal.

Methodology notes:

- The data is tracked using the Environmental, Health and Safety Information System (EHSIS) tool. Energy consumption is tracked at the facility, group and corporate levels. Since 2003, we have reported sustainability data in accordance with the Global Reporting Initiative (GRI) guidelines. This information is third party verified by Apex with a limited assurance.
- Percentage of total operational spending on energy (most recent reporting year): More than 0 percent but less than 5 percent.
- Please refer to our latest CDP report for a breakout of the sources of the renewable energy used.
- Please see section GRI 102-48 for more detail on restatements of information.
- The categories of "heating" and "cooling" are not applicable to our data tracking.
- The "Energy Sold" category is not applicable to our company. Johnson Controls does not sell energy.
- All estimates are based on the best available data at publication and may change over time.

Starting with FY2017, data has been restated to reflect our current company footprint.

Energy consumption outside the organization

302-2

Energy consumption outside the organization					
Energy Category/ Activities	**Unit of measure**	**2020**	**2019**	**2018**	**2017**
Upstream					
Fuel and energy related activities[1]	GJ	258,648	289,125	298,606	249,266
Transportation and distribution[2]	GJ	7,242,712	7,876,620	6,845,316	6,900,367
Downstream					
Use of sold products[3]		65,400,000	72,200,000	73,600,000	71,900,000
GRAND TOTAL	**GJ**	**72,901,360**	**80,365,744**	**80,743,922**	**79,049,633**

Starting with FY2017, data has been restated to reflect our current company footprint.

(1) This energy is associated with the losses during transmission and distribution of energy (electricity and natural gas). This energy loss is estimated using publicly available transmission and distribution factors based on the volume of energy consumed.
(2) This energy is associated with the transportation of our products and raw materials that is controlled and paid for by Johnson Controls. Transportation includes air, ocean, and truckloads. Energy values are estimated based on spend data.
(3) This energy is associated with the annual energy consumed by our products manufactured during the reporting year. This value was estimated by modeling the energy usage for a representative sample of product categories and extrapolating for the rest.

Methodology notes:

- Tracking of renewable energy in our value chain is currently outside of our energy accounting scope.

Energy intensity

302-3

Energy Intensity					
	Unit of measure	**2020**	**2019**	**2018**	**2017**
Numerator[1]	GJ	7,484,324	8,307,213	8,302,345	8,107,715
Denominator[2]	Million USD in revenue	22,135	23,772	23,214	22,661
Energy Intensity (ratio)	GJ per Million USD in revenue	338	349	358	358

Data has been restated to reflect our current company footprint.

(1) Scope includes only what is under company's operational control.
(2) Revenue values used in this analysis have been adjusted for acquisitions and divestitures, consistent with the energy values used in the numerator.

Reduction of energy consumption

302-4

Reduction of energy consumption					
	Unit of measure	2020	2019	2018	2017
Total Energy Saved	Gigajoules	24,174	11,944	101,395	204,823

Methodology notes:

- Our Continuous Improvement team collects project information implemented at the plant level. This project information includes energy usage and cost savings as well as details behind the type of energy being saved and project description. Reports from this tool facilitate the process of aggregating annual savings each year.
- Base year/baseline: Savings represent reductions for each year. The previous year, therefore, represents the base year.

Reductions in energy requirements of products and services

302-5

Reductions in energy requirements of products and services				
Product/Service(s)Unit of measure: Gigajoules (GJ)	2020	2019	2018	2017
Energy Savings Performance Contracting[1]	14,188,406	20,059,947	25,761,568	21,768,740
TOTAL	**14,188,406**	**20,579,161**	**26,378,590**	**22,338,240**

(1) These values are guaranteed energy savings from our energy savings performance contracting project portfolio in the US and Canada active during each reporting year.

Methodology notes:

- Our energy solutions team generates reports for our guaranteed energy savings active during each reporting year, which facilitates generating an annual total.
- Base year/baseline: Energy Savings represent reductions for each year brought by a portion of our products and services. The previous year, therefore, represents the base year.

Results: Emissions

Direct (Scope 1), Indirect (Scope 2) and Other Indirect (Scope 3) GHG emissions

305-1 | 305-2 | 305-3 | 305-4

Results: Emissions				
	2020	2019	2018	2017
Direct (Scope 1) - Metric Tons CO_2e				
CO2	306,741	345,302	336,497	327,023
CH4	51	59	60	59
N20	92	119	128	131
HFC	242,474	296,898	295,066	355,549
Subtotal	**549,358**	**642,379**	**631,752**	**682,761**
Indirect (Scope 2)[1] - Metric Tons CO_2e				
Market-based	229,809	264,108	305,578	396,612
Location	331,236	386,221	402,455	400,442
Subtotal	**229,809**	**264,108**	**305,578**	**396,612**
Other Indirect (Scope 3) - Metric Tons CO_2e				
Purchased goods and services	4,600,000	4,704,000	5,141,000	3,826,000
Capital goods	2,800,000	2,899,000	2,905,000	1,891,000
Fuel and energy related activities[2]	29,000	33,000	35,000	30,000
Upstream transportation and distribution	528,000	566,000	496,000	501,000
Waste	4,000	5,000	6,000	5,000
Business travel[3]	19,000	43,000	48,000	32,000
Employee commuting	226,000	248,000	244,000	217,000
Investments	0	0	0	0
Use of products[4]	112,400,000	127,600,000	130,600,000	128,700,000
End of life	1,300,000	1,400,000	1,400,000	1,400,000
Subtotal	**121,906,000**	**137,498,000**	**140,875,000**	**136,602,000**
Biogenic[5]	2,861	5,513	6,131	6,680
GRAND TOTAL (Scope 1+2+3)[6]	**122,685,167**	**138,404,487**	**141,812,330**	**137,681,374**
GHG Intensity[7]	35.2	38.1	40.4	47.6
Percent change in GHG Intensity, FY2017 baseline	-26.1%	-19.9%	-15.2%	Baseline year
2025 Sustainability Strategy Goal	-10.2%	-6.9%	-3.5%	0 percent (baseline year)

(1) We compute both location and market-based indirect emissions. We use market-based emissions to track our progress towards our reduction targets. Gases used to calculate Scope 2 include CO2, CH4, and N2O.
(2) Category considers emissions for transportation and distribution losses only.
(3) Category considers emissions from business air travel only.
(4) Category considers emissions from chiller products only.
(5) Emissions reported for informational purposes only, not included in Scope 1 subtotals or section grand totals.
(6) Excludes biogenic emissions, and considers the market-based emissions for Scope 2.
(7) Considers only Scope 1 and Scope 2 emissions. All Scope 2 emissions are calculated using the market-based approach from the World Resources Institute (WRI) Greenhouse Gas (GHG) Protocol's Scope 2 Guidance. Revenue values used in this analysis have been adjusted for acquisitions and divestitures, consistent with the energy values used in the numerator.
(8) Starting with FY2017, data has been restated to reflect our current company footprint.
(9) Using Anthesis's remote worker emissions white paper, we have estimated that the impact of employees working from home in fiscal year 2020 because of COVID-19 office closure is approximately 20,000 metric tons CO_2e.

Reduction of GHG emissions

305-5

Reduction of GHG emissions					
	Unit of measure	2020	2019	2018	2017
Total GHG reductions	Metric tons CO_2e	3,609	19,432	55,639	99,982

Methodology notes:

- List of GHG included: Carbon dioxide (CO2), methane (CH4), nitrous oxide (N2O), and hydrofluorocarbons (HFC). Greenhouse gas (GHG) reductions are measured as an aggregate value for each year rather than in relation to a base year.
- Our CI-TRAC tool collects project information implemented at the plant level. This project information includes energy usage and cost savings as well as details behind the type of energy being saved and project description. Reports from this tool facilitate the process of aggregating annual cost and GHG reductions each year.

GHG emissions savings for our customers

305-5

Reduction of GHG emissions					
	Unit of Measure	2020	2019	2018	2017
Actual	Metric tons CO_2e	338,730	237,908	144,550	Baseline
Goal	120,000 metric tons of carbon dioxide equivalent (CO_2e) savings for our customers from Performance Infrastructure projects added annually through FY2025 from a FY2017 baseline	360,000	240,000	120,000	Baseline

Emissions of ozone-depleting substances (ODS)

305-6

	Unit of measure	2020	2019	2018	2017
Purchase of ODS	Metric tons of CFC-11 equivalent	3.5	4.5	5.5	6.8

Methodology notes:

- This data was collected through our procurement teams accounting for the purchase and usage of R22. All estimates are based on the best available data at publication and may change over time.
- Within our YORK line of products, we track the use of hydrochlorofluorocarbons (HCFC) in the manufacturing of our building equipment systems, which is the main source of our ozone-depleting substances (ODS). Their related emissions are primarily used in developing countries, consistent with the phase-out schedule specified by the Montreal Protocol, which calls for a phase-out of HFC refrigerants. Our heating, ventilation and air conditioning (HVAC) service technicians offer preventive maintenance and predictive diagnostics to prevent the release of ozone-depleting substances ODS while working on equipment containing refrigerants at customer facilities. Although we may use HCFCs when servicing some of our customers, we do not report that usage since we consider it part of our customers' activities. We have been engaged in the rapid phasing down of R22 and other HCFCs in accordance with the Montreal Protocol, including seeking alternatives where possible.

Nitrogen oxides (NOX), sulfur oxides (SOX), and other significant air emissions

305-7

Nitrogen oxides (NOx), sulfur oxides (SOx), and other significant air emissions					
Emissions Types	**Unit of measure**	**2020**	**2019**	**2018**	**2017**
SOx emissions[1]	Kg	6,192	8,145	8,587	9,097
SOx intensity	kg per Million USD in revenue	0.28	0.34	0.37	0.40
NOx emissions[2]	Kg	159,366	192,998	198,216	202,906
NOx intensity	kg per Million USD in revenue	7.2	8.1	8.5	9.0
Particulate matter emissions[3]	Kg	14,813	20.297	21,565	22,516
Hazardous air pollutants (HAP)[4]	Kg	NA	78,262	66,687	70,861
Volatile organic compound (VOC) emissions[5]	Kg	4,240	86,105	72,696	78,462
VOC intensity[5]	kg per Million USD in revenue	0.2	3.6	3.1	3.5
Global normalized stack and fugitive emissions[6]	kg per Million USD in sales	8.3	16.2	15.8	16.9

Data has been restated to reflect our current company footprint.

(1) Global SOx emissions from the combustion of natural gas, propane/LPG, diesel, butane, gasoline, and biomass from stationary sources.
(2) Global NOx emissions from the combustion of natural gas, propane/LPG, diesel, butane, gasoline, and biomass from stationary sources.
(3) Global PM emissions from the combustion of natural gas, propane/LPG, diesel, butane, gasoline, and biomass from stationary sources.
(4) HAPs data is U.S. data only. HAPs data for 2020 has not yet been calculated as the data is extracted from Toxic Release Inventories (TRI) reports, which are not gathered for reporting until later in 2021.
(5) 2020 reported value for VOC currently excludes toxic release inventory (TRI) data since it is still unavailable at this time and only includes VOC emissions from fossil fuel combustion. The 2019 figure now includes TRI reported data.
(6) Stack and fugitive emissions numerator value considers the sum of SOx, NOx, VOC, PM, and HAPs data. 2020 reported value currently excludes toxic release inventory (TRI) data since it is still unavailable at this time. 2019 figure was restated and now it includes TRI reported data

Methodology notes:

- Reported data considers emissions from the combustion of natural gas, propane/LPG, diesel, butane, gasoline, and biomass from stationary sources. This section also includes data reported through the Environmental Protection Agency (EPA) Toxic Release Inventory (TRI) reports.
- Data reported for all emissions and years covers all operationally controlled facilities unless specifically noted.
- Hazardous air pollutants (HAP) and volatile organic compounds (VOC) data for 2020 from EPA not available at this time of the year because it is based on toxic release inventory (TRI) data which is not reported until July 2021.
- Energy consumption data used for these calculations is compiled using our EHSIS reporting tool. This tools allows us to collect site-level utility information. The rest of the information is retrieved from the EPA's Envirofacts database as reported through Toxic Release Inventory (TRI) Reports.
- Emission factors from EPA AP 42, Fifth Edition, Volume I and the California Air Resources Board were used to estimate emissions from stationary combustion.

- Select items have been verified. Apex verified the energy consumption data which is used as primary data to estimate SOx, NOx, VOC, and PM emissions from combustion.
- Emissions are tracked mostly at the facility level and then aggregated across the enterprise. In some cases, data are only available for certain regions. For example, our HAP and VOC data are from the Toxic Release Inventory (TRI) database maintained by the U.S. Environmental Protection Agency and therefore include only releases in the United States.
- Other Annual Emissions may include one or more of the following: antimony/antimony compounds; arsenic; chlorofluoromethane; chromium; cobalt; copper; 1,1-dichloro-1-fluoroethane; 2,2-dichloro-1,1,1-trifluoroethane; diethanolamine; diisocyanates; ethylene glycol; lead/lead compounds; manganese; nickel; N-methyl-2-pyrrolidone; propylene; sulfuric acid (acid aerosols); toluene diisocyanate; xylene; and zinc compounds.
- SOx, NOx, PM and a portion of the VOCs data is calculated as a product of combustion from the use of natural gas, propane/LPG, diesel, butane, gasoline, and wood pellets.
- Dust and persistent organic pollutant (POP) emissions are considered not significant based on our set of operations.

Results: water and effluent

303-1 | 303-2

Outside of municipal water, we currently do not have data on other water sources used, including recycling. We are in the process of exploring the best approach to obtain more granular water data and we hope to be able to report more information on the results of this analysis in the future. Efforts to collect water use data were initiated globally in 2003. Each year, the number of facilities reporting increases and will continue to improve so that we may trend usage for future reports. Water conservation and recycling efforts are primarily managed at the facility level, but more focus on water use is increasing as data becomes more available.

Water withdrawal and discharge by source

303-3

Water withdrawal by source					
Source	**Unit of measure**	**2020**	**2019**	**2018**	**2017**
Municipal water supplies or other water utilities	Megalitres	3,482	3,776	4,103	3,868
Total water withdrawal	Megalitres	3,482	3,776	4,103	3,868
Municipal water discharge	Megalitres	1,241	1,211	1,254	938
Total water discharge	Megalitres	1,241	1,211	1,254	938

Starting with FY2017, data has been restated to reflect our current company footprint.

Methodology notes:

- Data is sourced from direct measurements (invoices, metered data).
- Water discharge includes data for manufacturing sites where data is available.
- Starting with our 2011 data, Bureau Veritas, an independent auditor recognized by CDP, audited our water withdrawal. The certificate for this most recent audit is attached to the GRI Index. Apex audited our data for fiscal 2020.

Water consumption

Specific data unavailable.

Results: Waste

As a result of our efforts, in fiscal 2020, two of our facilities were recognized for achieving a zero waste to landfill status. There are now 21 Johnson Controls Global Products plants internally certified as zero landfill. These plants are located in all regions of the world, making environmental sustainability a truly global effort. Overall, Johnson Controls has an 83 percent company-wide diversion rate including hazardous and non-hazardous waste.

Waste by type and disposal method

306-3 | 306-4 | 306-5

Waste by type and disposal method				
Category	**2020**	**2019**	**2018**	**2017**
Non-hazardous waste - Metric Tons				
Reuse	293	367	2,266	310
Recycling	57,402	89,628	87,559	80,973
Composting	43	45	83	149
Recovery (including energy recovery)	1,095	974	2,262	847
Incineration	2,011	1,620	1,091	1,603
Landfill	8,839	8,629	9,303	9,202
TOTAL	**69,683**	**101,264**	**102,564**	**93,084**
Hazardous waste - Metric Tons				
Reuse	225	140	17	27
Recycling	716	2,961	1,293	3,233
Composting	0	0	0	0
Recovery (including energy recovery)	345	429	410	1,001
Incineration	678	820	918	421
Landfill	782	762	1,273	1,416
TOTAL	**2,746**	**5,112**	**3,912**	**6,097**
GRAND TOTAL (Non-hazardous+Hazardous)	**72,429**	**106,375**	**106,477**	**99,181**

Starting with FY2017, data has been restated to reflect our current company footprint.

Methodology notes:

- Our contracts with waste disposal contractors require them to provide the data and documentation of each pickup from our sites matched to the GRI categories. This data is entered by site personnel at each location each month into our global environmental health and safety tracking system.
- Waste values represent waste from manufacturing sites which is the majority of all waste generated by the company.
- All waste can be considered handled offsite.

Results: Materials

Materials used by weight or volume

301-1

Materials used by weight or volume			
	Unit (weight or volume)	% internally sourced	% externally sourced
Raw materials used	Percent	10	90
Total non-renewable materials used	Percent	10	90
Total renewable materials used	Percent	1	99

Recycled input materials used

301-2

Recycled input materials used				
	2020	2019	2018	2017
% Recycled input materials used	61	61	74	73

Methodology notes for materials used and recycled input materials used:

The values are estimated using company-wide purchasing and spend information. The largest amount of materials used, by weight, are metals. A very small amount of our raw materials come from a renewable source, mainly bio-materials. Whenever primary data is not available on the percentage of recycled content in our materials, we use the recycled content industry average.

Percent of reclaimed products and their packaging materials

301-3

Percent of reclaimed products and their packaging materials					
Product sold	2020	2019	2018	2017	How Data was Collected
Pallets for a variety of products	90%	90%	90%	90%	The majority of pallets used to ship materials are reused through a pickup program we have established with our suppliers and customers.

Social data

Direct economic value generated and distributed

201-1

Direct Economic Value Generated and Distributed							
Currency: Million USD	Value generated	Value distributed					Value retained
Fiscal year 2020	Revenues	Operating costs	Wages and benefits	Payments to providers of capital	Payments to government	Community investments	(generated less distributed)
Company Level	22,317	(15,521)	(6,331)	(1,021)	386	11	(159)

Through philanthropy and employee volunteer programs, we improve and strengthen the hundreds of communities we call home. Johnson Controls contributes millions of dollars annually and our employees give freely of their time, skills and contributions. The community investment number above includes corporate philanthropy contributions of more than $9.6 million and employee giving in excess of $3.5 million.

Diversity of governance bodies and employees

405-1

Diversity of governance bodies and employees									
Governance body (e.g. board) members (as of Annual Meeting of March, 2021)	Male		Female		Minority or Vulnerable Group		Age Groups		
	Number	%	Number	%	Number	%	% <30 years old	% 30 - 50 years old	% >50 years old
	9	75%	3	25%	5	42%	0%	8%	92%

Minority board member data represents board of directors members who are women or ethnically or racially diverse.

	Male		Female	
Employees	Global number	Global %	Global number	Global %
Total	72,500	76%	22,500	24%
Managers	8,590	81%	1,960	19%

	Minority or Vulnerable Group		Age Groups		
Employees	Global number	Global %	% <30 years old	% 30 - 50 years old	% >50 years old
Total	9,550	27%	17%	58%	25%
Managers	670	18%	3%	61%	33%

Male, female, and age groups data represents all employees globally. Minority data represents U.S. employees only.

Incidents of discrimination and corrective actions taken

406-1

	2020	2019	2018
Total number of incidents	99	155	112

Status for all incidents for all years:

- Reviewed
- Remediation plan being implemented
- Remediation plan implemented
- Results reviewed through routine internal management review process
- Incident no longer subject to attention

Corrective actions taken: The numbers above are a tally of all allegations of discrimination filed through a legal action, formal complaint, or the Johnson Controls Ethics Hotline. All incidents were investigated and corrective actions implemented to prevent a recurrence.

Ratio of standard entry level wage by gender compared to local minimum wage

202-1

Ratio of employee entry level wages to the minimum wage at significant locations of operations	Gender	Ratio of entry level wage to minimum wage
U.S.	Men	1.91
U.S.	Women	1.91
Mexico	Men	2.28
Mexico	Women	2.27
United Kingdom	Men	1.00
United Kingdom	Women	1.02
Slovakia	Men	1.97
Slovakia	Women	1.99

The above numbers represent 55 percent of our global employees.

Ratio of annual total compensation

102-38

Location	2020 Ratio
Canada	4.26
China	26.93
India	24.97
United Kingdom	7.89
United States	9.24

The ratio of the annual total compensation for the organization's highest-paid individual in each country to the median annual total compensation for salaried employees within the same country is calculated using the annual base salary compensation for full time employees.

Ratio of percentage increase in annual total compensation

102-39

Location	2020 Ratio
Canada	0.65
China	0.54
India	0.61
United Kingdom	0.71
United States	0.70

The ratio of the annual total compensation percentage increase of the highest-paid individual in each country to the median annual total compensation percentage increase for salaried employees in the same country is calculated using the annual base salary performance increase for full time employees.

Benefits which are standard for full-time employees

201-3 | 401-2 | 403-6

We publicly disclose many of the benefits we offer employees. Some location-specific benefits vary. For example, some locations offer childcare, and we provide English classes to families in Mexico. Also, not all locations have gym facilities or gym fee reimbursement programs.

Insurance:

- Healthcare employee
- Healthcare family
- Dental
- Vision
- AD&D
- Short Term Disability
- Long Term Disability
- Disability/invalidity insurance
- Life Insurance (Basic and Supplemental)
- Commuter Benefit
- Health Savings Account
- Flexible Healthcare Account
- Dependent Care Account

Voluntary benefits:

- Accident Insurance
- Auto/Home Insurance
- Legal Insurance
- Pet Insurance
- ID Theft Insurance
- Critical Illness Insurance

Vacation and leave:

- Medical and Family Leave
- Vacation
- Paid sick days
- Bereavement Leave

Flexibility:

- Job security initiatives for redeployment, including retraining, relocation, work-sharing and outplacement services
- Flexible work schemes and work-sharing
- Recall rights for laid-off employees
- Flex scheduling
- Telecommuting options
- Paid time off for employee volunteers

Financial:

- Stock Ownership
- Stock Options
- Relocation Assistance
- Matching gift program

Education:

- Tuition reimbursement (other than career training)
- Higher education scholarship programs, for either employees or their relatives
- Workforce training, skills and leadership development programs
- Mentoring program

Wellness:

- Employee Assistance Program
- Work/Life Support Program
- Wellness/Fitness Program
- On-site Fitness Facilities
- On-site Recreation Facilities
- Gym facilities or gym fee reimbursement programs
- Preventative healthcare programs
- Carpooling support programs
- Employee recognition programs

Retirement:

- Pension plans/retirement provision
- Retirement: Defined Benefit Plan (including pension plan)

Parental leave

401-3

	2020
Number of male employees who took parental leave	166
Number of female employees who took maternity leave	285
Rate of female employees who returned to work after leave	100%
Rate of male employees who returned to work after leave	100%

The numbers provided include all US employees except those who may have separate benefits due to union contracts.

New employee hires and employee turnover

401-1

New employee hires and employee turnover							
Total Workforce		**2020**		**2019**		**2018**	
New Employee Hires		**Total**	**Rate**	**Total**	**Rate**	**Total**	**Rate**
Global (excludes hires from acquisition/HAF)	Age <30	6,720	43%	10,752	44%	13,334	47%
	Age 30-50	7,360	47%	11,173	46%	12,742	44%
	Age 50+	1,650	10%	2,470	10%	2,513	9%
	North America	5,270	34%				
	Asia	1,990	13%				
	Europe	1,650	10%				
	Latin America	6,600	42%				
	Middle East and Africa	220	1%				
	Female	4,800	31%				
	Male	10,930	69%				
Employee Turnover		**Total**	**Rate**	**Total**	**Rate**	**Total**	**Rate**
Global (excludes terms from divestiture or facility sold)	All age groups	21,440	23%	22,879	24%	27,571	23%
	Under 30 years old	6,310	37%	7,809	44%	9,803	43%
	Between 30 and 50 years old	10,340	20%	10,845	21%	13,511	19%
	Over 50 years old	4,790	19%	4,222	16%	5,264	5%
	North America	9,050	22%				
	Asia	2,420	15%				
	Europe	2,190	13%				
	Latin America	7,290	44%				
	Middle East and Africa	490	18%				
	Female	6,150	28%				
	Male	15,280	21%				

Gender diversity

102-8

Full-time and part-time employees by gender	2020	2019	2018
Full-time – male	72,170	80,158	93,799
Full-time – female	21,910	23,571	25,291
Total full-time	**94,080**	**103,729**	**119,090**
Part-time – male	330	299	571
Part-time – female	590	597	812
Total part-time	**920**	**896**	**1,383**

Employees by region	Male	Female
North America	30,890	8,230
APAC	16,100	4,420
Europe	12,710	3,590
Latin America	10,450	5,980
Middle East and Africa	2,360	270

Permanent Employees and Temporary Workers by Gender	2020	2019	2018
Indefinite or permanent contract – male	72,170	80,583	92,935
Indefinite or permanent contract – female	21,910	24,177	25,539
Total indefinite or permanent	94,080	104,760	118,474
Fixed term or temporary contract – male	330	944	1,242
Fixed term or temporary contract – female	590	371	496
Total fixed term or temporary	**920**	**1,315**	**1,738**

Average hours of training per year per employee

404-1

Average Hours of Training per Year per Employee						
	2020		2019		2018	
Employee category	Male	Female	Male	Female	Male	Female
CEO	3.08	0	4.75	0	1.33	0
President/Executive Vice-President	12.63	2.85	8.51	5.17	6.50	6.03
Vice-President/ General Manager	19.27	17.06	9.12	10.12	7.8	8.23
Director	21.53	31.70	9.50	10.75	11.54	12.41
Manager	14.84	14.98	12.48	11.10	13.00	13.89
Supervisor	11.02	12.59	10.76	15.56	13.01	16.83
Individual Contributor – Professional	13.37	14.25	14.14	14.54	13.66	17.04
Individual Contributor-Support	15.64	21.90	12.50	13.13	17.20	17.98
Overall Average	**15.72**	**15.78**	**12.42**	**12.42**		

Percentage of employees receiving regular performance and career development reviews

404-3

Percentage of employees receiving regular performance and career development reviews			
	2020	2019	2018
Male	95	93	82
Female	96	97	85
Total	95	93	82

Data represents percent of salaried employees receiving performance reviews. All managers are expected to conduct employee reviews.

Workers participation, consultation and communication on occupational health and safety

403-4

Workers participation, consultation and communication on occupational health and safety	
Percentage of the total workforce represented in formal joint management-worker health and safety committees:	Over 75 percent
Explanation of the level(s) at which each formal joint management-worker health and safety committee typically operates within the organization:	Johnson Controls maintains and requires health and safety committees at the facility, region, business unit and enterprise levels. For a more complete description of the company's health and safety committees, please refer to the Health and Safety – Overview document.

Types of injury and rates of injury, occupational disease, lost days and absenteeism and number of work-related fatalities

403-9 | 403-10

Global, total workforce	Incident Category	2020	2019	2018	2017
Total recordable incidents	Work-Related Fatalities	0	1	4	0
	Total Recordable Incident Rate (TRIR)	0.40	0.41	0.48	0.56
Actual	Percent change in Total Recordable Incident Rate, FY2017 baseline	-29.33%	-26.46%	-14.75%	Baseline year
2025 Sustainability Strategy Goal:	Percent Change in Total Recordable Incident Rate, FY2017 baseline	-10.23%	-6.94%	-3.5%	0% (baseline year)
Lost time incidents	Total Lost Time Incident Rate	0.12	0.15	0.17	0.24

- To calculate these figures, we follow U.S. OSHA injury classifications globally.
- Metrics include employees and supervised contractors.
- Data is per 200,000 hours and, starting with FY2017 data, reflects our company footprint as of the end of FY2019.
- Historic data is re-stated to reflect performance of current Johnson Controls operations

Work-related hazards that pose a risk of ill health

403-10

- Our Safe Workplace Principle within the Johnson Controls Manufacturing System is aligned with the requirements of ISO 45001.
- Johnson Controls provides a variety of relevant medical services to assist employees in countries where access to health care may be limited.
- Special attention is given to employee well-being, with focussed campaigns addressing aspects of mental, physical, social and financial well-being

Ratio of basic salary and remuneration of women to men, by significant locations* of operations

405-2

Location	2020 Ratio	2019 Ratio	2018 Ratio
Canada	0.96	0.86	0.85
China	0.98	0.96	1.03
Czech Republic	0.96	0.71	0.79
Germany	0.91	0.88	0.87
Mexico	0.99	0.96	0.92
Singapore	0.92	0.69	0.69
Slovakia	1.01	0.86	0.81
U.S.	0.97	0.93	0.94
Ireland	1.00		
Total Worldwide	**0.98**	**0.92**	**0.93**

*Significant location: location that has a large concentration of employees in both plant and corporate offices. Analysis of each function (i.e., job family as in Legal, HR, IT, Finance, Sales, etc.) with jobs containing both males and females, in the same pay grade, same salary plan, same country.

Supplier sustainability - tracking and accountability

308-1 | 308-2 | 414-1 | 414-2

Supplier Sustainability - Tracking and Accountability			
	2020	2019	2018
Percentage (%) of new suppliers that were screened using social criteria	100%	100%	100%
Percentage (%) of new suppliers that were screened using environmental criteria	100%	100%	100%

Each business unit tracks the following metrics on our suppliers:

- Percentage of total suppliers that refuse to abide by the Johnson Controls Code of Ethics or equivalent.
- Percentage of direct material suppliers identified for auditing.
- Percentage of direct material suppliers audited by Johnson Controls or third party.
- Number and type of suppliers terminated due to social and environmental performance issues

Proportion of spending on local suppliers

204-1

Proportion of Spending on Local Suppliers			
	2020	2019	2018
Percentage, estimated, of the procurement budget used for significant locations of operation spent on suppliers local to that operation (such as percentage of products and services purchased locally)	60%	60%	60%

*Geographic definition of "local": May include immediate area for routine support and may extend to entire host country or adjacent areas or countries.

Freedom of association and collective bargaining

407-1 | 102-41

There are no operations within Johnson Controls that have been identified as being at significant risk for prohibiting employees from exercising the right to freedom of association or collective bargaining.

Freedom of Association and Collective Bargaining			
Collective bargaining agreements	**2020**	**2019**	**2018**
Percentage of total employees covered by collective bargaining agreements	22	22	26

Percentage of employees covered by collective bargaining agreements global.

Security human rights training

410-1

Security Human Rights Training			
	2020	2019	2018
Percentage of security personnel who have received formal training in the organization's human rights policies or specific procedures and their application to security	100	100	100
Training requirements regarding human rights issues also apply to third party organizations providing security personnel	No	No	Yes

Incidents of violations involving rights of indigenous peoples

411-1

	2020	2019	2018
Total number of identified incidents involving indigenous rights Incidents (reporting year only)	0	0	0

Incidents (reporting year only)	Status of Incidents and Actions Taken
N/A	• Reviewed • Remediation plan being implemented • Remediation plan implemented, results reviewed through routine internal management review process • Incident no longer subject to attention

Operations that have been subject to human rights reviews or impact assessments

412-1

Operations that have been subject to human rights reviews or impact assessments		
Country	**# of Operations**	**% of Operations**
All	All	100%

Employee training on human rights policies or procedures

412-2

Employee training on human rights policies or procedures			
	2020	**2019**	**2018**
Total number of hours devoted to training on human rights policies or procedures concerning aspects of human rights that are relevant to operations	22,391	119,006	111,480
Percentage of employees in the reporting period trained in human rights policies or procedures concerning aspects of human rights that are relevant to operations	97%	91%	98%

In fiscal 2020, we provided human rights training to all newly-hired employees. For all employees, in 2020 we shifted our training model to provide deeper training on specific ethics topics every other year and training on all aspects of ethics and human rights in alternate years. Fiscal 2020 percentage represents newly-hired employees. Fiscal 2018 and 2019 metrics represent all employees.

Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening

412-3

Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening			
Significant investment agreements* and contracts that include human rights clauses or that underwent human rights screening: Johnson Controls uses more than 200,000 suppliers.	**2020**	**2019**	**2018**
	100%	100%	100%

*Significant investment agreements are defined as agreements with strategic suppliers.

Product labeling

417-1

Product Labeling			
Requirements for product and service information and labeling	**Required for product/service labeling**		
The sourcing of components of the product or service	Yes		
Content, particularly with regard to substances that might produce an environmental or social impact	Yes		
Safe use of the product or service	Yes		
Disposal of the product and environmental/social impacts	Yes		
Requirements for product and service information and labeling	**2020**	**2019**	**2018**
Percentage of significant product or service categories that are covered by and assessed for compliance with company procedures for product and service information and labeling	100%	100%	100%

417-2

Johnson Controls did not have any incidents of non-compliance with product and service information and labeling regulations or voluntary codes.

417-3

Johnson Controls did not have any incidents of non-compliance with marketing communications regulations or voluntary codes.

Governance data

Composition of the board of directors and its committees

102-22

Composition of the Board of Directors and its Committees		
Committee Function	**Name of Committee**	**Number of Non-Executive Directors**
Audit/Accounting	Audit Committee	4
Remuneration/Compensation	Compensation and Talent Development Committee	4
Nomination	Corporate Governance and Sustainability Committee	3
Major corporate actions	Full board of directors	12
Corp. Social Responsibility, Corp. Citizenship, Sustainable Development	Corporate Governance and Sustainability Committee	3
Health and Safety	Corporate Governance and Sustainability Committee	3
Environmental Issues	Corporate Governance and Sustainability Committee	3
Risk Management	Full board of directors/Corporate Governance and Sustainability Committee/Audit Committee	12
Ethics Issues	Audit Committee	4
Community and Public Affairs	Corporate Governance and Sustainability Committee	3

	Male	Female	Total Number
Total board members with executive functions	1	0	1
Total non-executive directors (excluding independent directors)	0	0	0
Total independent non-executive directors on the board	8	3	11
Total board	9	3	12
Membership of under-represented social groups	5		
Stakeholder Representation	0		

*Information in this section is as of the Annual Meeting of March 10, 2021

Executive leadership team responsibility for corporate social responsibility and sustainability

102-18 | 102-19 | 102-20 | 102-26 | 102-27 | 102-29

Executive Leadership Team Responsibility for Corporate Social Responsibility and Sustainability			
As of the annual meeting of March 4, 2020	**Name**	**Position or Title**	**Organizational Level (from Board and CEO) and Reporting Line**
Overall Responsibility for Corporate Social Responsibility and Sustainability	George Oliver	Chairman and Chief Executive Officer	0 – Serves on Board of Directors
Diversity and Employment Equity	Lynn Minella	Executive Vice President & Chief Human Resources Officer	1 – reports to Chairman and CEO
Community and Public Relations	Grady L. Crosby	Vice President, Public Affairs & Chief Diversity Officer	2 – reports to Chief Human Resources Officer who reports to the Chairman and CEO
Environmental Issues	John Donofrio	Executive Vice President, General Counsel	1 – reports to Chairman and CEO
Health and Safety	John Donofrio	Executive Vice President, General Counsel	1 – reports to Chairman and CEO
Risk Management	John Donofrio	Executive Vice President, General Counsel	1 – reports to Chairman and CEO
Supply Chain Social Responsibility	Terry Nadeau	Vice President, Chief Procurement Officer	2 – reports to EVP and Chief Financial Officer who reports to the Chairman and CEO
Compliance/Ethics Issues	Neumann Leverett	Vice President, Chief Ethics and Compliance Officer	2 – reports to EVP and General Counsel who reports to Chairman and CEO and reports to Audit Committee
Human Rights Issues & Labor Issues	Anthony V. Alfano	Vice President, Chief Labor and Employee Counsel	2 – reports to EVP and General Counsel who reports to Chairman and CEO and reports to Audit Committee

Communication and training about anti-corruption policies and procedures

205-2

Communication and Training about Anti-Corruption Policies and Procedures						
	2020		**2019**		**2018**	
Communication and training on anti-corruption, anti-corruption policies and procedures[2]	**Total**	**Percent**	**Total**	**Percent**	**Total[1,2]**	**Percent**
Governance body members	130	100%	95	97%	214	100%
Employees	53,645	96%	59,503	91%	55,740	98%
Business partners[1]	985		1,277		344	

(1) Suppliers who are in scope for our third-party supplier program.
(2) Caused by differing Human Resource management/employee data systems, training and communication data by region is not available.

Confirmed incidents of corruption and actions taken

102-34 | 205-3

Confirmed Incidents of Corruption and Actions Taken			
	2020	2019	2018
Total number of confirmed incidents of corruption	0	0	0
Total number of confirmed incidents in which employees were dismissed or disciplined for corruption	0	0	0
Total number of confirmed incidents when contracts with business partners were not renewed due to violations related to corruption	0	0	0

All reported issues of alleged corruption are documented, investigated and remediated until resolution.

Non-compliance with laws and regulations in the social and economic area

419-1

To ensure transparency, we are reporting all "reportable incidents," which we define as non-compliance that requires reporting to a regulatory agency.

We have a number of mechanisms and processes in place to prevent non-compliance. For example, our Johnson Controls Manufacturing System defines standards for a range of topics, including environment, health, safety and other matters, to ensure compliance. We identify and share best practices across the enterprise through the Global Manufacturing and Operations Council and other mechanisms to continuously improve our compliance practices. In the unlikely event of an emergency or crisis, we have a regularly-updated Crisis Management Plan to effectively address incidents and minimize impacts to our employees, communities, the environment, and other stakeholders.

Currency: USD	2020	2019	2018
Total monetary value of significant fines	$2,800	$13,167	$8,500
Total number of non-monetary sanctions[1]	0	0	14

(1) FY2018 reported data includes environmental fines and NOVs as the outlined scope of this question.
(2) FY2020 and FY2019 data reflects our current company footprint. Historic data has not been changed.

Non-compliance with environmental laws and regulations

103-1 | 103-2 | 103-3 | 307-1

Non-compliance with environmental laws and regulations			
Currency: USD	2020	2019	2018
Total monetary value of significant fines	$13,035	$3,002	$8,500
Number of environmental fines paid by the company	1	3	1
Total number of non-monetary sanctions	0	1	14
Cases brought through dispute resolution mechanisms	See 2020 attachments, 2020 NOVs, Permit Exceedances and Releases for details	See 2019 attachments, 2019 NOVs, Permit Exceedances and Releases for details	See 2018 attachments, 2018 NOVs, Permit Exceedances and Releases for details

- To ensure transparency, we are reporting all fines that were paid in the year. In some cases, we pay fines in a year subsequent to the year that the incident was reported.
- Our Johnson Controls Manufacturing System defines standards for environmental management to ensure compliance. In the unlikely event of an emergency or crisis, we have a regularly updated Crisis Management Plan to effectively address incidents and minimize impacts to our employees, communities, the environment, and other stakeholders.
- In addition, all employees undergo ethics training, and we have personnel who are trained in relevant environmental compliance activities across our global operations.
- Spills, notices of violation and permit exceedances are recorded in our global Environment, Health & Safety information system. These data are routinely reviewed by all levels of management to promote continuous improvement.
- See our 2020 Form 10-K for more information.

Political contributions

415-1

Political Contributions			
Currency: USD	**2020**	**2019**	**2018**
Recipient: PAC Activity Country: USA	$218,100	$271,900	$142,000

SASB resource transformation sector electrical and electronic equipment sustainability accounting standard

Topic	SASB Accounting Metric	SASB Code	Where to find this information
Energy Management	(1)Total energy consumed, gigajoules (2) percentage grid electricity,(3) percentage renewable	RT-EE-130a.1	JCI Sustainability Report, 302-1 Energy
Hazardous Waste Management	Amount of hazardous waste generated, metric tons, percentage recycled	RT-EE-150a.1	JCI Sustainability Report, 306-4, Waste by type and disposal method
	Number and aggregate quantity of reportable spills, quantity recovered, kilograms	RT-EE-150a.2	JCI Sustainability Report, 307-1, Environmental compliance
Product Safety	Number of recalls issued, total units recalled	RT-EE-250a.1	JCI Sustainability Report, 416-1 Customer Health and Safety
	Total amount of monetary losses as a result of legal proceedings associated with product safety	RT-EE-250a.2	JCI Sustainability Report, 416-2 Customer Health and Safety
Product Lifecycle Management	Revenue from renewable energy-related and energy efficiency-related products	RT-EE-410a.3	JCI Sustainability Report, Green Revenue
Materials Sourcing	Description of the management of risks associated with the use of critical materials	RT-EE-440a.1	JCI Sustainability Report, Conflict Minerals
Business Ethics	Description of policies and practices for prevention of: (1) corruption and bribery and (2) anti-competitive behavior	RT-EE-510a.1	JCI Sustainability Report, 205-1, Operations assessed for risks related to corruption; 414-2, Supplier Sustainability Assessment
	Total amount of monetary losses as a result of legal proceedings associated with bribery or corruption	RT-EE-510a.2	JCI Sustainability Report, 205-3, Confirmed incidents of corruption and actions taken
	Total amount of monetary losses as a result of legal proceedings associated with anti- competitive behavior regulations	RT-EE-510a.3	2020 Form 10-K, Legal Proceedings
Activity metric	Number of employees	RT-EE-000.B	JCI Sustainability Report, 102-8, Our Employees

GRI Content Index

GRI Content Index

General Standard Disclosures

Disclosure Number	Description	Response	Omission	SDG
Organizational Profile				
102-1	Name of the organization	Johnson Controls International plc One Albert Quay Cork, Ireland www.johnsoncontrols.com		
102-2	Activities, brands, products, and services	www.johnsoncontrols.com – See "Products and Solutions" and "Services and Support" 2020 Form 10-K, Business, Pages 3-8		
102-3	Location of headquarters	2020 Form 10-K, Header Location of Headquarters		
102-4	Location of operations	2020 Form 10-K Properties, Page 22 Global Location Finder JCI Sustainability Report: Location of operations		
102-5	Ownership and legal form	Johnson Controls International plc is a public limited company governed by a board of directors. Articles of Association Corporate Governance		
102-6	Markets served	2020 Form 10-K, Business, Pages 3-8, and Properties, Page 22 Global Site Directory, Page 1 Global Location Finder JCI Sustainability Report: Location of operations		
102-7	Scale of the organization	2020 Form 10-K, Business, Pages 3-8; Human Capital Management, Page 7-8; Selected Financial Data, Pages 27-28 Non-Financial Disclosure Report 2021 About Us – Our Company		
102-8	Information on employees and other workers	JCI Sustainability Report: 102-8 Our Employees		

Disclosure Number	Description	Response	Omission	SDG
*Organizational Profile				
102-9	Supply chain	JCI Sustainability Report: Supplier Sustainability Supplier Portal Ethics Expectations of Our Suppliers Supplier Sustainability Supplier Sustainability Rating Johnson Controls Supplier Sustainability Rating Survey		
102-10	Significant changes to the organization and its supply chain	2020 Form 10-K Business, Pages 3-8; Fiscal Year 2020 compared to Fiscal Year 2019, Page 30; Acquisitions and Divestitures and Discontinued Operations, pages 63-64		
102-11	Precautionary Principle or approach	Our Sustainability Reporting and Policies Risk Management Process JCI Sustainability Report: Sustainability Approach JCI Sustainability Report: Risk Management Global Environmental Health & Safety Policy Supplier Portal Human Rights & Sustainability Policy Conflict Minerals Policy Code of Ethics		
102-12	External initiatives	JCI Sustainability Report: Sustainability Policies and Commitments Voluntary Corporate Commitments		
102-13	Membership of associations	JCI Sustainability Report: Sustainability Policies and Commitments 2020 Sustainability Memberships		
Strategy				
102-14	Statement from senior decision-maker	JCI Sustainability Report: Letter from George Oliver and Katie McGinty		
102-15	Key impacts, risks, and opportunities	2020 Form 10-K Risk Factors, Pages 9 - 23 Non-Financial Disclosure Report 2021 JCI Sustainability Report: Sustainability Approach JCI Sustainability Report: Governance Structure Human Rights & Sustainability Policy Code of Ethics Sustainability Materiality Assessment		

Disclosure Number	Description	Response	Omission	SDG
Ethics and Integrity				
102-16	Values, principles, standards, and norms of behavior	JCI Sustainability Report: Ethics and Integrity Our Values Human Rights & Sustainability Policy Energy & Climate Position Code of Ethics		
102-17	Mechanisms for advice and concerns about ethics	JCI Sustainability Report: Ethics and Integrity Code of Ethics Integrity Helpline		
Governance				
102-18	Governance structure	JCI Sustainability Report: Governance Structure 2021 Proxy Statement, Page 7 includes a table of board members and the committees on which each board member serves. Our Leaders Corporate Sustainability Governance		
102-19	Delegating authority	JCI Sustainability Report: Governance Structure Corporate Sustainability Governance		
102-20	Executive-level responsibility for economic, environmental, and social topics	JCI Sustainability Report: Governance Structure 2021 Proxy Statement, Executive Officers and Board of Directors, Pages, 7 10-15, 49-52 Our Leaders Corporate Sustainability Governance		
102-21	Consulting stakeholders on economic, environmental, and social topics	JCI Sustainability Report: Stakeholder Engagement 2021 Proxy Statement, Pages 40, 42, 52, 61 Sustainability Materiality Assessment Corporate Sustainability Governance		
102-22	Committees governing environmental, social and governance topics	JCI Sustainability Report: Board of Directors Committees 2021 Proxy Statement, Page 7, 49 Johnson Controls Board of Directors		
102-23	Chair of the highest governance body	Corporate Governance Guidelines 2021 Proxy Statement Page 8, 13		

Disclosure Number	Description	Response	Omission	SDG
*Governance				
102-24	Nominating and selecting the highest governance body	Corporate Governance Charters, Guidelines and Policies 2021 Proxy Statement, Page 7, 10-15, 54-55: Governance Committee		
102-25	Conflicts of interest	Corporate Governance Charters, Guidelines and Policies Corporate Governance Guidelines, Pages 4, 8-9 2021 Proxy Statement, Page 47, 64		
102-26	Role of highest governance body in setting purpose, values, and strategy	JCI Sustainability Report: Governance Structure Corporate Governance website 2021 Proxy Statement, Pages 36-52		
102-27	Collective knowledge of highest governance body	JCI Sustainability Report: Governance Structure Governance and Sustainability Committee Charter, Page 1, page 2 section 7 2021 Proxy Statement, Pages 36-42		
102-28	Evaluating the highest governance body's performance	Corporate Governance website 2021 Proxy Statement, Page 38, 44		
102-29	Identifying and managing economic, environmental, and social impacts	Sustainability homepage for Johnson Controls JCI Sustainability Report: Governance Structure JCI Sustainability Report: Risk Management Risk Management Process 2021 Proxy Statement, Pages 49-52 Corporate Governance Guidelines – opening paragraph: "Johnson Controls International plc's vision is a safe, comfortable and sustainable world. In addition to achieving financial performance objectives, the Company's Board of Directors and management believe that the Company must assume a leadership position in the area of corporate governance to fulfill its vision." Human Rights & Sustainability Policy Code of Ethics Corporate Governance website UN Global Compact fiscal year 2020 Communication on Progress Non-Financial Disclosure Report 2021		

Disclosure Number	Description	Response	Omission	SDG
*Governance				
102-30	Effectiveness of risk management processes	JCI Sustainability Report: Risk Management JCI Sustainability Report: Sustainability Leadership Committee 2021 Proxy Statement, Page 37 (Board Leadership); Page 38 (Areas of Focus for the Board & Board Oversight of Strategy); Page 40 (Board Oversight of Risk); Page 49 (Board Governance and Sustainability Committee) Risk Management Process Non-Financial Disclosure Report 2021 page 9		
102-31	Review of economic, environmental, and social topics	JCI Sustainability Report: Governance Structure JCI Sustainability Report: Risk Management 2021 Proxy Statement, Page 37 (Board Leadership); Page 38 (Areas of Focus for the Board & Board Oversight of Strategy); Page 40 (Board Oversight of Risk); Page 49 (Board Governance and Sustainability Committee) Non-Financial Disclosure Report 2021		
102-32	Highest governance body's role in sustainability reporting	JCI Sustainability Report: Sustainability Leadership Committee Non-Financial Disclosure Report 2021 is signed by the company's Lead Director and chairman of the board. 2021 Proxy Statement, Pages 49-52		
102-33	Communicating critical concerns	JCI Sustainability Report: Ethics and Integrity Code of Ethics Integrity Helpline Corporate Governance website		
102-34	Nature and total number of critical concerns	JCI Sustainability Report: Ethics and Integrity Code of Ethics Integrity Helpline	Information on the nature and total number of critical concerns communicated to executive leadership and the board are highly confidential and are protected by attorney-client privilege.	
102-35	Remuneration policies	2021 Proxy Statement, Executive Compensation Framework 61 Executive Compensation Management 64 Fiscal 2020 Compensation Decisions and Outcomes 70 Additional Information 77		

Disclosure Number	Description	Response	Omission	SDG
*Governance				
102-36	Process for determining remuneration	2021 Proxy Statement, Executive Compensation Framework 61 Executive Compensation Management 64 Fiscal 2020 Compensation Decisions and Outcomes 70 Additional Information 77		
102-37	Stakeholders' involvement in remuneration	2021 Proxy Statement Page 59		
102-38	Annual total compensation ratio	JCI Sustainability Report: 102-38 Our Employees		
102-39	Percentage increase in annual total compensation ratio	JCI Sustainability Report: 102-39 Our Employees		
Stakeholder Engagement				
102-40	List of stakeholder groups	JCI Sustainability Report: 102-40 Stakeholder Engagement 2020 Sustainability Memberships Sustainability Materiality Assessment		
102-41	Collective bargaining agreements	JCI Sustainability Report: 102-41 Human Rights EEO Employer Code of Ethics		
102-42	Identifying and selecting stakeholders	JCI Sustainability Report: Stakeholder Engagement Sustainability Materiality Assessment		
102-43	Approach to stakeholder engagement	JCI Sustainability Report: 102-43 Stakeholder Engagement Sustainability Materiality Assessment		
102-44	Key topics and concerns raised	JCI Sustainability Report: Stakeholder Engagement Sustainability Materiality Assessment		
Reporting Practice				
102-45	Entities included in the consolidated financial statements	2020 Form 10-K, Entities Included in the Consolidated Financial Statement, Pages 3-8		
102-46	Defining report content and topic Boundaries	JCI Sustainability Report: Stakeholder Engagement JCI Sustainability Report: Sustainability Approach Sustainability Materiality Assessment		

Disclosure Number	Description	Response	Omission	SDG
*Reporting Practice				
102-47	List of material topics	JCI Sustainability Report: Stakeholder Engagement Sustainability Materiality Assessment		
102-48	Restatements of information	2020 Form 10-K, Index to Exhibits, pages 117 - 121 JCI Sustainability Report: 102-48 About Our Reporting		
102-49	Changes in reporting	There are no significant modifications regarding the scope, boundary or measurement methods beyond any updates that are specifically discussed in the relevant sections contained within this report.		
102-50	Reporting period	This GRI report is for Johnson Controls Fiscal Year 2020: October 1, 2019 – September 30, 2020 2020 Form 10-K, Header, Page 1		
102-51	Date of most recent report	Our most recent report was published in April 2020. Johnson Controls 2020 Sustainability Report Sustainability Reporting, Policies & Commitments Non-Financial Disclosure Report 2021		
102-52	Reporting cycle	Reporting cycle is on an annual basis for the previous fiscal year. Data will be compiled for the fiscal year most recently finished and posted publicly in April.		
102-53	Contact point for questions regarding the report	Jenna Kunde – Director, Global Sustainability Programs Johnson Controls, 5757 N. Green Bay Avenue, Glendale, WI 53209 Phone: 414-524-2501 Corp-Sustainability@jci.com		
102-54	Claims of reporting in accordance with the GRI Standards	This report has been prepared in accordance with the GRI Standards: Comprehensive option.		
102-55	GRI content index	Our full GRI report may be viewed or printed in pdf from Johnson Controls' website, with links provided to supporting documents, at http://www.johnsoncontrols.com/corporate-sustainability/reporting-and-policies		

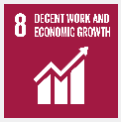
Disclosure Number	Description	Response	Omission	SDG
*Reporting Practice				
102-56	External assurance	JCI Sustainability Report: 102-56 External Assurance of Data 2020 Verification Statement for JCI-GHG Emissions 2020 Verification Statement for JCI-Waste 2020 Verification Statement for JCI-Water 2021 Proxy Statement, Audit Committee Report page 16 – 18 2020 Form 10-K, Report of Independent Registered Public Accounting Firm pages 47 – 49		
Global Management Approach				
103-1 103-2 103-3	Explanation of the Material Topic and its Boundary The Management Approach and its Components Evaluation of the Management Approach	JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Location of Operations JCI Sustainability Report: Ethics and Integrity Sustainability Materiality Assessment 2021 Proxy Statement Non-Financial Disclosure Report 2021 Our Sustainability Reporting and Policies		

Economic

Disclosure Number	Description	Response	Omission	SDG
Economic Performance				
GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	Sustainability Materiality Assessment JCI Sustainability Report: Location of Operations JCI Sustainability Report: Explanation of the Material Topic and its Boundary Corporate Governance website Sustainability Governance Non-Financial Disclosure Report 2021 Code of Ethics		
GRI 201: Economic Performance 2016				
201-1	Direct economic value generated and distributed	JCI Sustainability Report: 201-1 Economic 2020 Form 10-K, Pages 55 and 104		
201-2	Financial implications and other risks and opportunities due to climate change	JCI Sustainability Report: Risks and Opportunities due to Climate Change CDP Climate Change questionnaire 2020 2020 Awards 2020 Form 10-K, Climate Change Risk Factors, Page 11-12 CDP Climate Change Leadership List		
201-3	Defined benefit plan obligations and other retirement plans	JCI Sustainability Report: 201-3 Our Employees - Benefits Johnson Controls Careers		
201-4	Financial assistance received from government	We receive grants, tax incentives and low or no interest loans from many countries and subdivisions of countries including China, Canada, France, the United Kingdom, and the United States. Financially material assistance from governments is typically reported in our annual 10-K filing. No government is a material shareholder in the company.	We do not currently track centrally all of the types of potential government assistance listed in this indicator.	

Disclosure Number	Description	Response	Omission	SDG
Market Presence				
GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	2020 Form 10-K Products/Systems and Services, Pages 3-7 Corporate Governance website Code of Ethics Sustainability Governance Sustainability Materiality Assessment JCI Sustainability Report: Location of Operations JCI Sustainability Report: Explanation of the Material Topic and its Boundary		
GRI 202: Market Presence 2016				
202-1	Ratios of standard entry level wage by gender compared to local minimum wage	JCI Sustainability Report: 202-1 Our Employees - Compensation		
202-2	Proportion of senior management hired from the local community	JCI Sustainability Report: Community Engagement Geographic definition of "local": May include immediate area for routine support and may extend to entire host country or adjacent areas or countries.		
Indirect Economic Impacts				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Corporate Governance website Sustainability Governance Sustainability Materiality Assessment 2020 Form 10-K, Properties, Pages 22 Location of Headquarters JCI Sustainability Report: Explanation of the Material Topic and its Boundary		
103-2	The management approach and its components	JCI Sustainability Report: Indirect Economic Impacts Corprate Social Responsibility Program Overviews Non-Financial Disclosure Report 2021 Code of Ethics Supplier Diversity 2020 Award: Top Supplier Veterans Diversity Programs		

Disclosure Number	Description	Response	Omission	SDG
103-3	Evaluation of the management approach	Supplier Sustainability Rating Survey 2020 Awards Johnson Controls named IoT Innovator of the Year 2020 Awards: Johnson Controls among Top 100 Global Innovators, 5 time winner Most Intelligent Building – Corporate Headquarters (Bee'ah's new headquarters in the UAE) Environmental Leader Project of the Year (University of Hawai'i (UH) Maui College)		
GRI 203: Indirect Economic Impacts 2016				
203-1	Infrastructure investments and services supported	JCI Sustainability Report: Indirect Economic Impacts JCI Sustainability Report: Community Engagement Corprate Social Responsibility Program Overviews Non-Financial Disclosure Report 2021 Johnson Controls makes $7.5 million commitment to Milwaukee nonprofits in 2020 JCI to implement infrastructure improvement in 43 facilities throughout Lubbock County, Texas JCI to create better environment for Cornell College through $5.9M in improvements Building resilient communities through infrastructure, innovation and inclusion		
203-2	Significant indirect economic impacts	JCI Sustainability Report: Indirect Economic Impacts JCI Sustainability Report: Community Engagement Corprate Social Responsibility Program Overviews Non-Financial Disclosure Report 2021		

Disclosure Number	Description	Response	Omission	SDG
Procurement Practices				
GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	JCI Sustainability Report: Supplier Sustainability Supplier Sustainability Rating Survey Letter Supplier Sustainability Rating survey Supply Chain: Supplier Sustainability Supplier Portal Sustainability Materiality Assessment Conflict Minerals Policy Code of Ethics Supplier Diversity Slavery and Human Trafficking Policy JCI Sustainability Report: Explanation of the Material Topic and its Boundary		
GRI 204: Procurement Practices 2016				
204-1	Proportion of spending on local suppliers	JCI Sustainability Report: 204-1 Local Suppliers		
Anti-Corruption				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Explanation of the Material Topic and its Boundary Code of Ethics Sustainability Materiality Assessment		
103-2	The management approach and its components	JCI Sustainability Report: Risk Management Risk Management Process JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Human Rights UN Global Compact fiscal year 2020 Communication on Progress Human Rights & Sustainability Policy		
103-3	Evaluation of the management approach	Integrity Helpline Non-Financial Disclosure Report 2021		
GRI 205: Anti-corruption 2016				
205-1	Operations assessed for risks related to corruption	JCI Sustainability Report: Risk Management Risk Management Process Human Rights & Sustainability Policy Code of Ethics Non-Financial Disclosure Report 2021		

Disclosure Number	Description	Response	Omission	SDG
GRI 205: Anti-corruption 2016				
205-2	Communication and training about anti-corruption policies and procedures	JCI Sustainability Report: 205-2 Communication on anti-corruption policies and procedures		
205-3	Confirmed incidents of corruption and actions taken	JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: 205 -3 Anti-Corruption Supplier Portal Code of Ethics Supplier Sustainability Rating survey Johnson Controls named to 2020 World's Most Ethical Companies		
Anti-Competitive Behavior GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Human Rights JCI Sustainability Report: Governance Structure Sustainability Materiality Assessment UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics Human Rights & Sustainability Policy Integrity Helpline JCI Sustainability Report: Explanation of the Material Topic and its Boundary		
GRI 206: Anti-competitive Behaviour 2016				
206-1	Legal actions for anti-competitive behavior, anti-trust, and monopoly practices	2020 Form 10-K, Legal Proceedings, Page 22-23		

Tax

GRI 103: Management Approach 2016		
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	Johnson Controls Tax Strategy Sustainability Materiality Assessment Code of Ethics JCI Sustainability Report: Explanation of the Material Topic and its Boundary

GRI 207: TAX 2019		
207-1	Approach to tax	Johnson Controls Tax Strategy Corporate Governance 2021 Proxy Statement, page 40, Audit Committee
207-2	Tax governance, control and risk management	Johnson Controls Tax Strategy Corporate Governance 2021 Proxy Statement page 40, Audit Committee
207-3	Stakeholder engagement and management of concerns related to tax	Johnson Controls Tax Strategy Sustainability Materiality Assessment 2021 Proxy Statement page 40, Audit Committee
207-4	Country-by-country reporting	Johnson Controls Tax Strategy

Material Topics

Environmental

Disclosure Number	Description	Response	Omission	SDG
Materials				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Materials Sustainability Materiality Assessment		
103-2	The management approach and its components_	JCI Sustainability Report: Explanation of the Material Topic and its Boundary Non-Financial Disclosure Report 2021		
103-3	Evaluation of the management approach			
GRI 301: MATERIALS 2016				
301-1	Materials used by weight or volume	JCI Sustainability Report: 301-1 Materials		
301-2	Recycled input materials used	JCI Sustainability Report: 301-2 Materials Sustaining a Sustainability Company First 100% Renewable Energy College Campus in the US		
301-3	Reclaimed products and their packaging materials	JCI Sustainability Report: 301-3 Materials Code of Ethics Human Rights & Sustainability Policy		
Energy				
GRI 103: Management approach 2016				
103-1	Explanation of the material topic and its Boundary	2020 Awards Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Energy Energy and Efficiency Services Sustainability Reporting, Policies & Commitments		
103-2	The management approach and its components	JCI Sustainability Report: Energy Advanced Energy Storage Technology Non-Financial Disclosure Report 2021 2020 Awards: Johnson Controls among Top 100 Global Innovators, 5 time winner		

Energy			
GRI 103: Management approach 2016			
103-3	Evaluation of the management approach	JCI Sustainability Report: Energy 2020 Awards Johnson Controls named to Carbon Clean 200: Leading the transition to a clean energy future Corporate Responsibility Magazine names Johnson Controls to Best Corporate Citizens List. Johnson Controls named to 2020 World's Most Ethical Companies DOE Better Buildings Better Plants Challenge Non-Financial Disclosure Report 2021	
GRI 302: Energy			
302-1	Energy consumption within the organization	JCI Sustainability Report: 302-1 Energy 2020 Verification Statement for JCI-GHG Emissions	
302-2	Energy consumption outside of the organization	JCI Sustainability Report: 302-2 Energy 2020 Verification Statement for JCI-GHG Emissions	
302-3	Energy intensity	JCI Sustainability Report: 302-3 Energy 2020 Verification Statement for JCI-GHG Emissions Non-Financial Disclosure Report 2021	
302-4	Reduction of energy consumption	JCI Sustainability Report: 302-4 Energy DOE Better Buildings Better Plants Challenge	
302-5	Reductions in energy requirements of products and services	JCI Sustainability Report: 302-5 Energy BE Energy Performance Contracting Buildings - HVAC Equipment Project - Johnson Controls partners with the Town of Walden on floating solar photovoltaic (PV) array Project – University of North Dakota partners with Johnson Controls to build new steam plant Non-Financial Disclosure Report 2021	

Water and Effluents				
Disclosure Number	**Description**	**Response**	**Omission**	**SDG**
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary Energy and Efficiency Services - Water JCI Sustainability Report: Water		
103-2	The management approach and its components	JCI Sustainability Report: Water EPRI Technology Abstract on Thermosyphon Cooling Case Study - Glendale Corporate Headquarters Energy and Efficiency Services - Water 2020 Form 10-K, Environmental Matters, Page 106, AFFF Matters, page 109-111		
103-3	Evaluation of the management approach	JCI Sustainability Report: Water Non-Financial Disclosure Report 2021 BlueStream Hybrid Cooling System		
GRI 303: Water and Effluents 2018				
303-1	Interactions with water as a shared resource	2020 Verification Statement for JCI-Water Non-Financial Disclosure Report 2021 Energy and Efficiency Services - Water		
303-2	Management of water discharge-related impacts	2020 Verification Statement for JCI-Water Non-Financial Disclosure Report 2021 Energy and Efficiency Services - Water		
303-3	Water withdrawal by source	JCI Sustainability Report: 303-3 Water 2020 Verification Statement for JCI-Water Non-Financial Disclosure Report 2021		
303-4	Water discharge	JCI Sustainability Report: 303-4 Water 2020 Verification Statement for JCI-Water Human Rights & Sustainability Policy		
303-5	Water consumption	2020 Verification Statement for JCI-Water Case Study - Glendale Corporate Headquarters Energy and Efficiency Services - Water Consumption is excluded due to incomplete discharge data that skews the result.	Unavailable	

Disclosure Number	Description	Response	Omission	SDG
Biodiversity				
GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	Human Rights & Sustainability Policy Code of Ethics Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary		
GRI 304: Biodiversity 2016				
304-1	Operational sites owned, leased, managed in, or adjacent to, protected areas and areas of high biodiversity value outside protected areas	Code of Ethics UN Global Compact fiscal year 2020 Communication on Progress	Unavailable	
304-2	Significant impacts of activities, products, and services on biodiversity		Unavailable	
304-3	Habitats protected or restored		Unavailable	
304-4	IUCN Red List species and national conservation list species with habitats in areas affected by operations		Unavailable	

Disclosure Number	Description	Response	Omission	SDG
Emissions				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Emissions DOE Better Buildings Better Plants Challenge		
103-2	The management approach and its components	JCI Sustainability Report: Emissions Non-Financial Disclosure Report 2021 Sustainability homepage for Johnson Controls		
103-3	Evaluation of the management approach	JCI Sustainability Report: Emissions 2020 Awards DOE Better Plants Goal Achievement Award Johnson Controls named to 2020 World's Most Ethical Companies 2020 Awards: Johnson Controls among Top 100 Global Innovators, 5 time winner 2020 Awards: Corporate Responsibility Magazine names Johnson Controls to 100 Best Corporate Citizens List Non-Financial Disclosure Report 2021 2020 Awards: Carbon Clean 200		
GRI 305: Emissions 2016				
305-1	Direct (Scope 1) GHG emissions	JCI Sustainability Report: 305-1 Emissions 2020 Verification Statement for JCI-GHG Emissions 2020 Awards S&P 500 ESG Index		
305-2	Energy indirect (Scope 2) GHG emissions	JCI Sustainability Report: 305-2 Emissions 2020 Verification Statement for JCI-GHG Emissions 2020 Awards S&P 500 ESG Index		

Disclosure Number	Description	Response	Omission	SDG
*Emissions				
305-3	Other indirect (Scope 3) GHG emissions	JCI Sustainability Report: 305-3 Emissions 2020 Verification Statement for JCI-GHG Emissions BE Energy Performance Contracting 2020 Awards S&P 500 ESG Index		
305-4	GHG emissions intensity	JCI Sustainability Report: 305-4 Emissions 2020 Verification Statement for JCI-GHG Emissions 2020 Awards S&P 500 ESG Index Non-Financial Disclosure Report 2021		
305-5	Reduction of GHG emissions	JCI Sustainability Report: 305-5 Emissions DOE Better Buildings Better Plants Challenge Case Study - Glendale Corporate Headquarters Johnson Controls Advances Environmental Sustainability with low GWP refrigerants. 2020 Awards S&P 500 ESG Index		
305-6	Emissions of ozone-depleting substances (ODS)	JCI Sustainability Report: 305-6 Emissions Johnson Controls Advances Environmental Sustainability with chiller platforms compatible with low GWP refrigerants Energy & Climate Position Johnson Controls Refrigerant Guiding Principles Johnson Controls joins White House discussion on reducing use of high global warming potential refrigerants Human Rights & Sustainability Policy		

Disclosure Number	Description	Response	Omission	SDG
*Emissions				
305-7	Nitrogen oxides (NOx), sulfur oxides (SOx), and other significant air emissions	JCI Sustainability Report: 305-7 Emissions 2020 Verification Statement for JCI-GHG Emissions 2020 Stack & Fugitive Emissions		
Waste GRI 103: Management Approach 2016				
103-1 103-2 103-3	Explanation of the material topic and its Boundary The management approach and its components Evaluation of the management approach	JCI Sustainability Report: Waste Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary Non-Financial Disclosure Report 2021		
GRI 306: Waste 2020				
306-1	Waste generation and significant waste-related impacts	JCI Sustainability Report: 306-1 Waste 2020 NOVs, Permit Exceedances and Releases Code of Ethics Human Rights & Sustainability Policy		
306-2	Management of significant waste-related impacts	JCI Sustainability Report: 306-2 Waste 2020 Verification Statement for JCI-Waste Code of Ethics Human Rights & Sustainability Policy Non-Financial Disclosure Report 2021		
306-3	Waste generated	JCI Sustainability Report: 306-3 Waste		

Disclosure Number	Description	Response	Omission	SDG
*GRI 306: Waste 2020				
306-4	Waste diverted from disposal	JCI Sustainability Report: 306-4 Waste		
306-5	Waste directed to disposal	JCI Sustainability Report: 306-5 Waste		
Environmental Compliance				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Code of Ethics Sustainability Materiality Assessment 2021 Proxy Statement, Sustainability, Pages 3, 36, 49 - 52; 2020 Form 10-K, Environmental Reserve, page 106; Environmental, Health & Safety Matters, page 6 and 44; Regulatory Capital Expenditures, page 7; Risks, pages 11–12 and 16 JCI Sustainability Report: Environmental Compliance		
103-2	The management approach and its components	JCI Sustainability Report: Environmental Compliance		
103-3	Evaluation of the management approach	JCI Sustainability Report: Environmental Compliance		
GRI 307: Environmental Compliance 2016				
307-1	Non-compliance with environmental laws and regulations	JCI Sustainability Report: 307-1 Environmental Compliance 2019 NOVs, Permit Exceedances and Releases 2018 NOVs, Permit Exceedances and Releases 2020 NOVs, Permit Exceedances and Releases 2020 Form 10-K, Environmental Matters, Page 106		

Disclosure Number	Description	Response	Omission	SDG
Supplier Environmental Assessment				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Supplier Sustainability		
103-2	The management approach and its components	JCI Sustainability Report: Supplier Sustainability Code of Ethics Conflict Minerals Policy Slavery and Human Trafficking Policy Supplier Portal		
103-3	Evaluation of the management approach	JCI Sustainability Report: Supplier Sustainability Supplier Sustainability Rating Supplier Sustainability Rating survey – Johnson Controls Supplier Sustainability Rating Survey Letter		
GRI 308: Supplier Environmental Assessment 2016				
308-1	New suppliers that were screened using environmental criteria	JCI Sustainability Report: 308-1 Supplier Environmental Assessment		
308-2	Negative environmental impacts in the supply chain and actions taken	JCI Sustainability Report: 308-2 Supplier Environmental Assessment Supplier Sustainability Rating survey Supplier Diversity Code of Ethics Supplier Portal		

Material Topics

Social

Disclosure Number	Description	Response	Omission	SDG
Employment				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	2020 Form 10-K Sustainability Materiality Assessment JCI Sustainability Report: Social JCI Sustainability Report: Our Employees Non-Financial Disclosure Report 2021 EEO Employer		
103-2	The management approach and its components	Johnson Controls Careers UN Global Compact fiscal year 2020 Communication on Progress Human Rights & Sustainability Policy Code of Ethics JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Social Careers: Women and Military		
103-3	Evaluation of the management approach	2020 Awards – DiversityInc listed Johnson Controls as Noteworthy 2020 Awards – Best of the Best for U.S. Veterans 2020 Awards – Top Employer in China 2020 Awards: Corporate Responsibility Magazine names Johnson Controls to 100 Best Corporate Citizens List Johnson Controls named to 2020 World's Most Ethical Companies Integrity Helpline		
GRI 401: Employment 2016				
401-1	New employee hires and employee turnover	JCI Sustainability Report: 401-1 Our Employees		
401-2	Benefits provided to full-time employees that are not provided to temporary or part-time employees	JCI Sustainability Report: 401-2 Our Employees		
401-3	Parental leave	JCI Sustainability Report: 401-3 Parental leave		

Disclosure Number	Description	Response	Omission	SDG
Labor/Management Relations				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	EEO Employer Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Social		
103-2	The management approach and its components	Human Rights & Sustainability Policy JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Social		
103-3	Evaluation of the management approach	UN Global Compact fiscal year 2020 Communication on Progress		
GRI 402:Labor/Management Relations 2016				
402-1	Minimum notice periods regarding operational changes	JCI Sustainability Report: 402-1 Continued Employability		
Occupational Health and Safety				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Our Employees – Health and Safety Global Environment, Health & Safety (EHS) Policy		
103-2	The management approach and its components	JCI Sustainability Report: Our Employees – Health and Safety JCI Sustainability Report: Ethics and Integrity		
103-3	Evaluation of the management approach	Integrity Helpline JCI Sustainability Report: Our Employees – Health and Safety Global Environment, Health & Safety (EHS) Policy		

Disclosure Number	Description	Response	Omission	SDG
GRI 403: Occupational Health and Safety 2018				
403-1	Occupational health and safety management system	JCI Sustainability Report: 403-1 Health and Safety Global Environment, Health & Safety (EHS) Policy		
403-2	Hazard identification, risk assessment and incident investigation	JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		
403-3	Occupational health services	JCI Sustainability Report: Occupational health services Global Environment, Health & Safety (EHS) Policy		
403-4	Worker participation, consultation and communication on occupational health and safety	JCI Sustainability Report: 403-4 Health and Safety Code of Ethics Global Environment, Health & Safety (EHS) Policy		
403-5	Worker training on occupational health and safety	JCI Sustainability Report: Health and Safety - Overview JCI Sustainability Report: Health and Safety – training JCI Sustainability Report: Employee Development Training and Education Global Environment, Health & Safety (EHS) Policy		
403-6	Promotion of worker health	JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		
403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		
403-8	Workers covered by an occupational health and safety management system	JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		
403-9	Work-related injuries	JCI Sustainability Report: 403-9 Health and Safety JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		

Disclosure Number	Description	Response	Omission	SDG
403-10	Work-related ill health	JCI Sustainability Report: 403-10 Health and Safety JCI Sustainability Report: Health and Safety - Overview Global Environment, Health & Safety (EHS) Policy		
Training and Education				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary JCI Sustainability Report: Our Employees - Employee Development		
103-2	The management approach and its components	JCI Sustainability Report: Our Employees - Employee Development Johnson Controls Careers Non-Financial Disclosure Report 2021		
103-3	Evaluation of the management approach	JCI Sustainability Report: Our Employees - Employee Development EEO Employer		
GRI 404: Training and Education 2016				
404-1	Average hours of training per year per employee	JCI Sustainability Report: 404-1 Our Employees - Employee Development		
404-2	Programs for upgrading employee skills and transition assistance programs	JCI Sustainability Report: 404-2 Our Employees - Employee Development JCI Sustainability Report: Employee Development Training and Education		
404-3	Percentage of employees receiving regular performance and career development reviews	JCI Sustainability Report: 404-3 Our Employees - Employee Development Johnson Controls Careers		
Diversity and Equal Opportunity				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Management approach includes Diversity, Equal Opportunity and Non Discrimination. JCI Sustainability Report: Diversity and Inclusion Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the Material Topic and its Boundary About Us – Diversity & Inclusion		

Disclosure Number	Description	Response	Omission	SDG
103-2	The management approach and its components	JCI Sustainability Report: Diversity and Inclusion Code of Ethics EEO Employer Human Rights & Sustainability Policy UN Global Compact fiscal year 2020 Communication on Progress Non-Financial Disclosure Report 2021 Careers: Women and Military Johnson Controls partners with Urban League to enhance mission of racial equity		
103-3	Evaluation of the management approach	2020 Awards 2020 Awards - DiversityInc listed Johnson Controls as Noteworthy 2020 Awards – Top Employer in China 2020 Awards - Best of the Best for U.S. Veterans 2020 Awards – Top Employer in China Johnson Controls named to 2020 World's Most Ethical Companies JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Diversity and Inclusion Integrity Helpline Non-Financial Disclosure Report 2021		
GRI 405: Diversity and Equal Opportunity 2016				
405-1	Diversity of governance bodies and employees	JCI Sustainability Report: 405-1 Our Employees 2021 Proxy Statement, Pages 41, 45-47		
405-2	Ratio of basic salary and remuneration of women to men	JCI Sustainability Report: 405-2 Our Employees 2020 Awards Code of Ethics 2020 Awards - DiversityInc listed Johnson Controls as Noteworthy 2020 Awards - Best of the Best for U.S. Veterans 2020 Awards – Top Employer in China		

Disclosure Number	Description	Response	Omission	SDG
GRI 406: Non-Discrimination 2016				
406-1	Incidents of discrimination and corrective actions taken	JCI Sustainability Report: 406-1 Our Employees JCI Sustainability Report: Our Employees – Diversity and Inclusion EEO Employer Code of Ethics Integrity Helpline		
Freedom of Association and Collective Bargaining				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment		
103-2	The management approach and its components	JCI Sustainability Report: Ethics and Integrity Human Rights & Sustainability Policy UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics Ethics and Human Rights section of the Non-Financial Disclosure Report 2021		
103-3	Evaluation of the management approach	UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics Integrity Helpline		
GRI 407: Freedom of Association and Collective Bargaining 2016				
407-1	Operations and suppliers in which the right to freedom of association and collective bargaining may be at risk	JCI Sustainability Report: 407-1 Human Rights Human Rights & Sustainability Policy Code of Ethics Integrity Helpline		

Disclosure Number	Description	Response	Omission	SDG
Child Labor				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	JCI Sustainability Report: Human Rights Human Rights & Sustainability Policy JCI Sustainability Report: Ethics and Integrity Code of Ethics UN Global Compact fiscal year 2020 Communication on Progress Slavery and Human Trafficking Policy Slavery and Human Trafficking Statement Ethics and Human Rights section of the Non-Financial Disclosure Report 2021		
103-3	Evaluation of the management approach	Integrity Helpline Johnson Controls named to 2020 World's Most Ethical Companies		
GRI 408: CHILD LABOR 2016				
408-1	Operations and suppliers at significant risk for incidents of child labor	JCI Sustainability Report: 408-1 Human Rights		
Forced or Compulsory Labor				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment UN Global Compact fiscal year 2020 Communication on Progress JCI Sustainability Report: Explanation of the material topic and its boundary Non-Financial Disclosure Report 2021		

Disclosure Number	Description	Response	Omission	SDG
103-2	The management approach and its components	UN Global Compact fiscal year 2020 Communication on Progress JCI Sustainability Report: Ethics and Integrity Conflict Minerals Policy Slavery and Human Trafficking Policy Slavery and Human Trafficking Statement Human Rights & Sustainability Policy Code of Ethics		
103-3	Evaluation of the management approach	Integrity Helpline Johnson Controls named to 2020 World's Most Ethical Companies		
409-1	Operations and suppliers at significant risk for incidents of forced or compulsory labor	JCI Sustainability Report: 409-1 Human Rights JCI Sustainability Report: Ethics and Integrity UN Global Compact fiscal year 2020 Communication on Progress Slavery and Human Trafficking Policy Human Rights & Sustainability Policy Code of Ethics		
Security Practices				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	JCI Sustainability Report: Ethics and Integrity UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics		
103-3	Evaluation of the management approach	Integrity Helpline		
410-1	Security Personnel Trained in Human Rights Policies or Procedures	JCI Sustainability Report:: 410-1 Human Rights Integrity Helpline Code of Ethics		

Disclosure Number	Description	Response	Omission	SDG
Rights of Indigenous Peoples				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	UN Global Compact fiscal year 2020 Communication on Progress Human Rights & Sustainability Policy Code of Ethics JCI Sustainability Report: Ethics and Integrity Slavery and Human Trafficking Policy		
103-3	Evaluation of the management approach	EEO Employer Integrity Helpline		
411-1	Incidents of Violations Involving Rights of Indigenous Peoples	JCI Sustainability Report: 411-1 Human Rights JCI Sustainability Report: Ethics and Integrity		
Human Rights Assessment GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Human Rights Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	UN Global Compact fiscal year 2020 Communication on Progress Slavery and Human Trafficking Policy Human Rights & Sustainability Policy Code of Ethics JCI Sustainability Report: Human Rights JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Our Employees – Health and Safety		

Disclosure Number	Description	Response	Omission	SDG
103-3	Evaluation of the management approach	Integrity Helpline Supplier Sustainability Rating Survey 2020 Awards Johnson Controls named to 2020 World's Most Ethical Companies Non-Financial Disclosure Report 2021 Ecovadis Gold Sustainability Rating, 2020		
GRI 412: Human Rights Assessment 2016				
412-1	Operations that have been subject to human rights reviews or impact assessments	JCI Sustainability Report:: 412-1 Human Rights JCI Sustainability Report: Ethics and Integrity JCI Sustainability Report: Health and Safety		
412-2	Employee training on human rights policies or procedures	JCI Sustainability Report: 412-2 Human Rights Code of Ethics		
412-3	Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening	JCI Sustainability Report: 412-3 Human Rights Supplier Portal Human Rights & Sustainability Policy Code of Ethics Supplier Sustainability Ratings Slavery and Human Trafficking Policy		
Local Communities GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Corporate Social Responsibility Program Overviews Non-Financial Disclosure Report 2021 JCI Sustainability Report: Explanation of the material topic and its boundary JCI Sustainability Report: Community Engagement		
103-2	The management approach and its components	JCI Sustainability Report: Community Engagement Corporate Social Responsibility Program Overviews		
103-3	Evaluation of the management approach	Sustainability Awards and Recognition Non-Financial Disclosure Report 2021		

Disclosure Number	Description	Response	Omission	SDG
GRI 413: Local Communities 2016				
413-1	Operations with local community engagement, impact assessments, and development programs	JCI Sustainability Report: 413-1 Community Engagement Corporate Social Responsibility Program Overviews		
413-2	Operations with significant actual and potential negative impacts on local communities	JCI Sustainability Report: 413-2 Community Engagement Corporate Social Responsibility Program Overviews		
Supplier Social Assessment GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Supplier Portal Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary JCI Sustainability Report: Supplier Sustainability		
103-2	The management approach and its components	JCI Sustainability Report: Supplier Sustainability Assessment Supplier Sustainability Conflict Minerals Policy Code of Ethics Slavery and Human Trafficking Policy		
103-3	Evaluation of the management approach	JCI Sustainability Report: Supplier Sustainability Assessment Non-Financial Disclosure Report 2021		
GRI 414: Supplier Social Assessment 2016				
414-1	New suppliers that were screened using social criteria	JCI Sustainability Report: 414-1 Supplier Sustainability Assessment Supplier Portal Supplier Sustainability Rating		
414-2	Negative social impacts in the supply chain and actions taken	JCI Sustainability Report: 414-2 Supplier Sustainability Assessment		

Disclosure Number	Description	Response	Omission	SDG
Public Policy				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Public Reporting Policies JCI Sustainability Report: Public Policy Code of Ethics Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	JCI Sustainability Report: Public Policy 2020 Sustainability Memberships Public Reporting Policies Political Contributions Policy Code of Ethics		
103-3	Evaluation of the management approach	Public Reporting Policies		
GRI 415: Public Policy 2016				
415-1	Political contributions	2018 PAC Contributions 2019 PAC Contributions 2020 PAC Contributions Political Contributions Policy Public Reporting Policies JCI Sustainability Report: 415-1 Political Contributions		
Customer Health and Safety, Marketing & Labeling				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	JCI Sustainability Report: Customer Health and Safety Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary Management approach includes Customer Health and Safety, Marketing & Labeling		
103-2	The management approach and its components	JCI Sustainability Report: Customer Health and Safety Global Environment, Health & Safety (EHS) Policy		
103-3	Evaluation of the management approach	JCI Sustainability Report: Customer Health and Safety		

Disclosure Number	Description	Response	Omission	SDG
GRI 416: Customer Health and Safety 2016				
416-1	Assessment of the health and safety impacts of product and service categories	JCI Sustainability Report: 416-1 Customer Health and Safety		
416-2	Incidents of non-compliance concerning the health and safety impacts of products and services	JCI Sustainability Report: 416-2 Customer Health and Safety		
GRI 417: Marketing and Labeling 2016				
417-1	Requirements for product and service information and labeling	JCI Sustainability Report: 417-1 Marketing and labeling		
417-2	Incidents of non-compliance concerning product and service information and labeling	JCI Sustainability Report: 417-2 Marketing and labeling		
417-3	Incidents of non-compliance concerning marketing communications	JCI Sustainability Report: 417-3 Marketing and labeling		
Customer Privacy				
GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	Sustainability Materiality Assessment JCI Sustainability Report: Explanation of the material topic and its boundary Privacy Notice and Binding Corporate Rules JCI Sustainability Report: Customer Privacy		
103-2	The management approach and its components	JCI Sustainability Report: Customer Privacy Privacy Notice and Binding Corporate Rules		
103-3	Evaluation of the management approach	Privacy Notice and Binding Corporate Rules		

Disclosure Number	Description	Response	Omission	SDG
GRI 418: Customer Privacy 2016				
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	JCI Sustainability Report: 418-1 Customer Privacy Privacy Notice and Binding Corporate Rules		
Socioeconomic Compliance GRI 103: Management Approach 2016				
103-1	Explanation of the material topic and its Boundary	UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics Human Rights & Sustainability Policy JCI Sustainability Report: Explanation of the material topic and its boundary		
103-2	The management approach and its components	UN Global Compact fiscal year 2020 Communication on Progress Code of Ethics 2020 Form 10-K, Pages 6, 22, 44, and 106-112		
103-3	Evaluation of the management approach	Johnson Controls named to 2020 100 Best Corporate Citizens List Johnson Controls named to 2020 World's Most Ethical Companies		
GRI 419: Socioeconomic Compliance 2016				
419-1	Non-compliance with laws and regulations in the social and economic area	JCI Sustainability Report: 419-1 Compliance JCI Sustainability Report: Ethics and Integrity 2020 Form 10-K, Pages 6, 22, 44, and 106-112		

Disclaimer: The information in the Johnson Controls corporate social responsibility and sustainability report, in accordance with the Global Reporting Initiative (GRI) framework, is shared based on the best available data at publication and is subject to change. In some cases, data is estimated. Johnson Controls cautions that our statements with respect to current and future potential implications of corporate social responsibility and sustainability topics are subject to numerous important risks, uncertainties, assumptions and other factors, some of which are beyond Johnson Controls' control, which could cause Johnson Controls' actual results and business implications to differ materially from those expressed or implied by the information in the GRI report. Stakeholders should read the report with these factors in mind.

Johnson Controls International plc Cautionary Statement Regarding Forward-Looking Statements

Johnson Controls International plc has made statements in this report that are forward-looking and therefore are subject to risks and uncertainties. All statements in this document other than statements of historical fact are, or could be, "forward-looking statements" within the meaning of the Private Securities Litigation Reform Act of 1995. In this communication, statements regarding Johnson Controls' future financial position, sales, costs, earnings, cash flows, other measures of results of operations, synergies and integration opportunities, capital expenditures and debt levels are forward-looking statements. Words such as "may," "will," "expect," "intend," "estimate," "anticipate," "believe," "should," "forecast," "project" or "plan" and terms of similar meaning are also generally intended to identify forward-looking statements. However, the absence of these words does not mean that a statement is not forward-looking. Johnson Controls cautions that these statements are subject to numerous important risks, uncertainties, assumptions and other factors, some of which are beyond Johnson Controls' control, that could cause Johnson Controls' actual results to differ materially from those expressed or implied by such forward-looking statements, including, among others, risks related to: Johnson Controls' ability to manage general economic, business, capital market and geopolitical conditions, including the impacts of natural disasters, pandemics and outbreaks of contagious diseases and other adverse public health developments, such as the COVID-19 pandemic; the strength of the U.S. or other economies; changes or uncertainty in laws, regulations, rates, policies or interpretations that impact Johnson Controls' business operations or tax status; the ability to develop or acquire new products and technologies that achieve market acceptance; changes to laws or policies governing foreign trade, including increased tariffs or trade restrictions; maintaining the capacity, reliability and security of our enterprise and product information technology infrastructure; the risk of infringement or expiration of intellectual property rights; any delay or inability of Johnson Controls to realize the expected benefits and synergies of recent portfolio transactions such as its merger with Tyco and the disposition of the Power Solutions business; the outcome of litigation and governmental proceedings; the ability to hire and retain key senior management; the tax treatment of recent portfolio transactions; significant transaction costs and/or unknown liabilities associated with such transactions; the availability of raw materials and component products; fluctuations in currency exchange rates; work stoppages, union negotiations, labor disputes and other matters associated with the labor force; the cancellation of or changes to commercial arrangements. A detailed discussion of risks related to Johnson Controls' business is included in the section entitled "Risk Factors" in Johnson Controls' Annual Report on Form 10-K for the 2020 fiscal year filed with the SEC on November 16, 2020, which is available at www.sec.gov and www.johnsoncontrols.com under the "Investors" tab. Shareholders, potential investors and others should consider these factors in evaluating the forward-looking statements and should not place undue reliance on such statements. The forward-looking statements included in this communication are made only as of the date of this document, unless otherwise specified, and, except as required by law, Johnson Controls assumes no obligation, and disclaims any obligation, to update such statements to reflect events or circumstances occurring after the date of this communication.

About Johnson Controls
At Johnson Controls (NYSE:JCI) we transform the environments where people live, work, learn and play. As the global leader in smart, healthy and sustainable buildings, our mission is to reimagine the performance of buildings to serve people, places and the planet.

With a history of more than 135 years of innovation, Johnson Controls delivers the blueprint of the future for industries such as healthcare, schools, data centers, airports, stadiums, manufacturing and beyond through its comprehensive digital offering OpenBlue. With a global team of 100,000 experts in more than 150 countries, Johnson Controls offers the world`s largest portfolio of building technology, software as well as service solutions with some of the most trusted names in the industry.

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