

## **Statement of Continued Support**

### ***Message from George Oliver, Chairman and Chief Executive Officer***

At Johnson Controls, sustainability is our business. We deliver innovation that improves lives and makes the world a better place. With a global team of 105,000 experts in more than 150 countries and a legacy of innovation stretching back 130 years, our employees create innovative, sustainable, clean products and services that empower customers and communities to consume less energy and conserve resources.

We create intelligent buildings and efficient energy solutions to enable smart cities and communities. We grow our business by providing sustainable products and services, improving operational effectiveness, empowering our people, and reducing the environmental footprint of our operations and supply chain.

We believe that, through leadership in sustainability, Johnson Controls creates long-term benefit for our customers, employees, shareholders, and society. Our employee purpose is to power our customers' success and protect the environment.

Since Johnson Controls first signed the United Nations Global Compact in 2004, we have remained committed to aligning our operations and strategies with the Compact's Ten Principles, which are universally accepted and cover human rights, labor, health and safety, the environment and anti-corruption. In 2019, I joined CEOs around the world in signing the Statement on the Purpose of a Corporation, which includes a commitment to protect the environment by embracing sustainable practices across our business. We signed a sustainable finance agreement, tying sustainability metrics to our finance rates and we announced several ambitious commitments at the 2019 United Nations Climate Action Summit in New York to work to help limit climate change and increase global prosperity.

For more than 130 years, Johnson Controls has made sustainability an integral part of our business through our vision and values. It is the dedication and hard work of our employees around the globe that enable us to achieve our sustainability goals and deliver on our vision of a safe, comfortable and sustainable world. More about Johnson Controls' sustainability initiatives, commitments, and achievements is available at <https://www.johnsoncontrols.com/corporate-sustainability/reporting-and-policies>.



George Oliver  
Chairman and Chief Executive Officer  
Johnson Controls

## UN Global Compact Reporting

Johnson Controls was an early signatory and is a current member of the United Nations Global Compact. We are committed to the Compact's Ten Principles and operate accordingly.

We fully support: the United Nations Global Compact's Ten Principles which 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; The United Nations Convention against Corruption; and the United Nations Framework on Business and Human Rights.

As part of Johnson Controls' commitment to support the Compact's Ten Principles, we have updated our Communication on Progress (COP) Report as well as met each of the 21 criterion required to achieve "Advanced Level" status. Our COP Report provides details on how we are implementing the Ten Principles, addressing the United Nations Sustainable Development Goals and meeting many, if not most, best practices under each criterion relevant to our company.

In addition to posting our COP Report on the [UN Global Compact website](#), we also post it on our [public website](#), along with our most recent [Non-Financial Report](#) and other [Annual Meeting Materials](#), our [2020 Sustainability Report](#), [Values First, the Johnson Controls Code of Ethics](#), and [Human Rights and Sustainability Policy](#).

## Our Progress

Human Rights			
Principle	Commitment	Public Documents that Underscore our Commitments	GRI Index and Sustainability Reporting Supplement (JCISR)
<p><b>Principle 1:</b> Businesses should support and respect the protection of internationally proclaimed human rights.</p> <p><b>Principle 2:</b> Business should make sure they are not complicit in human rights abuses.</p>	<p>In accordance with our Code of Ethics and Human Rights &amp; Sustainability Policy, we are committed to providing safe and healthy workplaces and operating in a manner that protects human health and environmental quality in our communities. To protect our communities and the environment, we set the same high standards for our environmental performance at all our locations around the world. Johnson Controls expects its suppliers to conduct their operations in a socially and environmentally responsible manner. In addition to cost and quality, social and environmental performance is used to select and retain suppliers.</p> <p>We were recently named a <a href="#">World's Most Ethical Company</a>, one of the <a href="#">100 Best Corporate Citizens</a>, and Fortune Magazine named Johnson Controls to its <a href="#">Change the World</a> list.</p>	<p><a href="#">Non-Financial Disclosure Report 2020</a></p> <p><a href="#">2020 Sustainability Report and GRI Index (JCISR)</a></p> <p><a href="#">Conflict Minerals Report</a> demonstrates our commitment to sourcing conflict minerals responsibly and complying with the U.S. Securities and Exchange Commission's rules and regulations surrounding conflict minerals.</p> <p><a href="#">Slavery and Human Trafficking Policy</a> makes explicit our commitment to ensure that slavery and human trafficking is not taking place in any part of our business or supply chain.</p> <p><a href="#">Human Rights &amp; Sustainability Policy</a> specifically states our commitment to the Compact's 10 Principles and how we abide to the principles and related global standards.</p> <p><a href="#">Values First, the Johnson Controls Code of Ethics</a> applies to everyone at Johnson Controls, including the Board of Directors, company officers, employees, agents and contract workers. It is intended to promote a common understanding of right and wrong. It puts our Values First and provides examples of our values in action.</p>	<p><b>Employee Development, Training and Education:</b> GRI 404 (JCISR pages 34, 39 – 49, 83, 118)</p> <p><b>Communication and Training about Human Rights, Anti-Corruption Policies and Procedures:</b> GRI 102-16, 205-2, 412-2 (JCISR pages 58 – 60, 86, 89, 104-105, 124)</p> <p><b>Security Personnel Trained in Human Rights Policies or Procedures:</b> GRI 410-1 (JCISR pages 85, 122)</p> <p><b>Leadership in Human Rights Reporting:</b> (JCISR page 52-55, 86)</p> <p><b>UN Global Compact:</b> (JCISR pages 7 and 53)</p> <p><b>Risk Management and Operations:</b> Assessed for risks related to corruption (JCISR page 57, 104, 105)</p> <p><b>Environmental and Social Oversight Protocols for Suppliers:</b> GRI 102-9, 412-3 and 414-2 (JCISR pages 50 – 51, 84, 87, 114, 125)</p> <p><b>Integrity Helpline:</b> Formal grievance mechanism (JCISR page 59)</p> <p><b>Community Engagement:</b> GRI 203 (JCISR pages 34 - 38)</p>

Labor			
Principle	Commitment	Public Documents that Underscore our commitment	GRI Index and Sustainability Reporting Supplement (JCISR)
<p><b>Principle 3:</b> Businesses should uphold the freedom of association and the effective recognition of the right to <i>collective bargaining</i>.</p> <p><b>Principle 4:</b> Businesses should uphold the elimination of all forms of <i>forced and compulsory labor</i>.</p> <p><b>Principle 5:</b> Businesses should uphold the effective abolition of <i>child labor</i>.</p>	<p><i>Collective Bargaining:</i> We respect voluntary freedom of association, including the right to organize and bargain collectively in a manner that is legally compliant. Overall, the compensation and benefits provided by Johnson Controls are designed to enable our employees to meet their basic needs, and provide the opportunity to improve their skills and capabilities for raising their social and economic opportunities.</p> <p><i>Prevention Of Forced And Compulsory Labor:</i> These types of practices are explicitly forbidden within Johnson Controls per our policies. Human Resources personnel ensure that slave labor or labor from penal institutions are not used, no matter the host country.</p>	<p>Our <a href="#">Human Rights &amp; Sustainability Policy</a> and our <a href="#">Code of Ethics</a> define our overall management approach as relates to human rights, anticorruption, environmental, governance, social and related matters.</p> <p><a href="#">Non-Financial Disclosure Report 2020</a></p> <p><a href="#">2020 Sustainability Report and GRI Index (JCISR)</a></p> <p>Our <a href="#">Slavery and Human Trafficking Policy</a> makes explicit our commitment to ensure that slavery and human trafficking is not taking place in any part of our business or supply chain.</p> <p>Our <a href="#">Conflict Minerals Policy</a> defines the responsible sourcing of conflict minerals throughout our supply chain.</p> <p><a href="#">Equal Opportunity Employer</a></p>	<p><b>Collective Bargaining Agreements:</b> GRI 102-41 (JCISR pages 85, 98)</p> <p><b>Freedom of Association and Collective Bargaining:</b> GRI 407-1 (JCISR pages 85, 120)</p> <p><b>Labor/Management Relations:</b> 402-1 (JCISR pages 49, 39 – 49, 64, 116)</p> <p><b>Workers representation in formal joint management-worker health &amp; safety committees:</b> GRI 403-4 (JCISR pages 41, 83, 117)</p> <p><b>Information on Employees and Other Workers:</b> GRI 102-8 (JCISR page 82)</p> <p><b>Compensation and Benefits:</b> GRI 201-3, 202-1 (JCISR pages 79 – 81, 101 - 102)</p> <p><b>Senior Management Hired From The Local Community:</b> GRI 202-2 (JCISR page 102)</p> <p><b>Forced or Compulsory Labor:</b> GRI 409 (JCISR pages 53, 122)</p> <p><b>Child Labor:</b> GRI 408 (JCISR page 53, 121)</p> <p><b>New Employee Hires and Employee Turnover:</b> GRI 401-1 (JCISR page 81)</p>

Labor, continued			
<p><b>Principle 6:</b> Businesses should uphold the elimination of <i>discrimination in respect of employment and occupation.</i></p>	<p><i>Child Labor:</i> Our policies 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.</p> <p><i>Non-Discrimination:</i> We are committed to providing a workplace that is free of harassment or any other behavior that diminishes a person's integrity and self-esteem. Neither physical nor mental harassment nor abuse will be tolerated.</p>		<p><b>Average Hours of Training Per Year Per Employee:</b> GRI 404-1 Employee Development, Training and Education (JCISR pages 46 – 49, 83)</p> <p><b>Percentage of Employees Receiving Regular Performance and Career Development Reviews:</b> GRI 404-3 (JCISR pages 46, 83)</p> <p><b>Diversity of Governance Bodies and Employees, Non-Discrimination:</b> GRI 405; GRI 406; Employment 103-1, 103-2 and 103-3 (JCISR pages 43 – 45, 78, 119 – 120)</p> <p><b>Ratio of Basic Salary and Remuneration of Women to Men:</b> GRI 405-2 (JCISR page 78)</p>

Environment			
Principle	Commitment	Public Documents that Underscore our commitment	GRI Index and Sustainability Reporting Supplement (JCISR)
<p><b>Principle 7:</b> Businesses should support a precautionary approach to environmental challenges.</p> <p><b>Principle 8:</b> Businesses should undertake initiatives to promote greater environmental responsibility.</p> <p><b>Principle 9:</b> Businesses should encourage the development and diffusion of environmentally friendly technologies.</p>	<p>Sustainability is an integral part of our vision and values. Our environmental efforts are conducted with the following objectives in mind:</p> <ul style="list-style-type: none"> <li>Supporting our company's growth and exceeding our customers' increasing expectations for more sustainable products and services.</li> <li>Improving our operational efficiency, including lowering costs and reducing the environmental footprint of our operations and supply chain.</li> <li>Expanding engagement with our stakeholders on environmental issues.</li> </ul>	<p><a href="#">Non-Financial Disclosure Report 2020</a></p> <p><a href="#">2020 Sustainability Report and GRI Index (JCISR)</a></p> <p><a href="#">COP22 Position Statement</a> on the United Nations Framework Convention on Climate Change 22nd Conference of the Parties (COP22).</p> <p><a href="#">Position on Energy and Climate Change</a></p> <p>Our <a href="#">Policy on Energy and Climate Change</a> guides us on how to reduce our carbon footprint both internally and within our supply chain.</p> <p>Our <a href="#">Human Rights &amp; Sustainability Policy</a> specifically states our commitment to the Compact's 10 Principles and how we abide to the principles and related global standards.</p> <p><a href="#">Conflict Minerals Policy</a></p> <p><a href="#">External Recognition for Sustainability Leadership.</a></p> <p><a href="#">Global Environment, Health and Safety Policy</a></p> <p><a href="#">Alignment with the United Nations Sustainable Development Goals</a></p> <p><a href="#">The Copenhagen Communique on Climate Change</a></p> <p><a href="#">Commitment to adopt Science-Based Targets</a></p>	<p><b>Risks and Opportunities Due to Climate Change:</b> GRI 201-2 (JCISR page 19), <a href="#">CDP</a></p> <p><b>Materials:</b> GRI 301 (JCISR pages 29 - 31, 76 and 106 - 107). Includes:</p> <ul style="list-style-type: none"> <li>Materials used by weight or volume. GRI 301-1</li> <li>Percentage of materials used that are recycled input materials. GRI 301-2</li> </ul> <p><b>Energy:</b> GRI 302 (JCISR pages 25 – 26, 65 – 67, 107 - 108) Includes:</p> <ul style="list-style-type: none"> <li>Energy consumption within the organization. GRI 302-1</li> <li>Energy consumption outside of the organization. GRI 302-2</li> <li>Energy intensity. GRI 302-3</li> <li>Reduction of energy consumption. GRI 302-4</li> <li>Reductions in energy requirements of products and services. GRI 302-5</li> </ul> <p><b>Water:</b> GRI 303 (JCISR pages 27 – 28, 72 – 74, 108 – 109) Includes:</p> <ul style="list-style-type: none"> <li>Water withdrawal by source. GRI 303-1</li> <li>Water sources affected by withdrawal of water. GRI 303-2</li> <li>Water recycled and reused. GRI 303-3</li> </ul>

Environment, continued		
	<p><i>Initiatives and Achievements:</i> Our achievements in sustainability are the result of committed and innovative leadership. The following groups, policies and more ensure we continue improving and evolving our sustainability initiatives:</p> <ul style="list-style-type: none"> <li>• <b>Our Global Sustainability Council (GSC)</b> leads our company sustainability strategy, coordination, and governance.</li> <li>• <b>Our Johnson Controls Manufacturing System</b> provides a forum for best-practice sharing and consistent excellence in our manufacturing and operations.</li> <li>• Our <b>public reporting policies</b> of integrity, transparency, and disclosure of sustainability data ensure our stakeholders and the public are fully informed of our efforts and the results.</li> <li>• Our <b>sustainable supply chain activities</b> help our suppliers reduce their environmental footprint.</li> <li>• Our <b>official policies</b> on energy and climate change, conflict minerals, and more ensure that our employees understand our positions on a variety of sustainability and human rights issues.</li> </ul>	<p><a href="#">Three Percent Club global coalition targeting 3% annual increase in energy efficiency</a></p> <p><a href="#">High-Level Commission on Carbon Pricing and Competitiveness</a></p> <p><a href="#">EP100 Cooling Challenge</a></p> <p>Johnson Controls joined other industry leaders at the 2019 United Nations Climate Action Summit in the <a href="#">Cool Coalition</a></p> <p><a href="#">Johnson Controls Climate Change Risks and Opportunities</a></p>
		<p><b>Emissions:</b> GRI 305 (JCISR pages 25 – 26, 68 – 72, 110 – 111) Includes:</p> <ul style="list-style-type: none"> <li>• Direct GHG emissions. GRI 305-1</li> <li>• Indirect GHG emissions. GRI 305-2</li> <li>• Other indirect GHG emissions. GRI 305-3</li> <li>• GHG emissions intensity. GRI 305-4</li> <li>• Reduction of GHG emissions. GRI 305-5</li> <li>• Emissions of ODS. GRI 305-6</li> <li>• NOX, SOX, and other significant air emissions. GRI 305-7</li> </ul> <p><b>Effluents and Waste:</b> GRI 306 (JCISR pages 28 – 31, 74 – 76, 112 - 113) Includes:</p> <ul style="list-style-type: none"> <li>• Water discharge. GRI 306-1</li> <li>• Waste. GRI 306-2</li> <li>• Significant spills. GRI 306-3</li> <li>• Hazardous waste. GRI 306-4</li> <li>• Water bodies affected. GRI 306-5</li> </ul> <p><b>Products and Services:</b></p> <ul style="list-style-type: none"> <li>• Health and Safety impacts of products and services. GRI 416 (JCISR pages 54 - 55)</li> <li>• Supplier Sustainability. (JCISR pages 50 – 51, 84, 94, 104, 114, 125)</li> <li>• Percent of reclaimed products and their packaging materials. GRI 301-3 (JCISR pages 29 - 31, 76, 106-107)</li> </ul> <p><b>Investments:</b> Environmental Protection Investments (JCISR pages 17 – 18, 33 – 38, 77)</p> <p><b>Environmental Compliance:</b> GRI 307 (JCISR pages 58 - 61, 91, 113 and linked attachments)</p> <p><b>Transport:</b> Transportation Initiatives (JCISR pages 26, 66)</p> <p><b>Environmental Grievance Mechanisms:</b> (JCISR page 59)</p>

Anti-Corruption			
Principle	Commitment	Public Documents that Underscore our commitment	GRI Index and Sustainability Reporting Supplement (JCISR)
<p><b>Principle 10:</b> Businesses should work against corruption in all its forms, including extortion and bribery.</p>	<p>Integrity is at the center of all we do, and it drives our continued success. No matter where we operate, we hold ourselves accountable. Johnson Controls conducts its business in ways that respect the environment and our communities and ensure safe, healthy workplaces for our people.</p> <p>Throughout the decades, the employees of Johnson Controls, have stood firm when our beliefs and values have been tested. Today, each one of us is charged with the responsibility to uphold and extend our standards for ethical behavior.</p>	<p><a href="#">Non-Financial Disclosure Report 2020</a></p> <p><a href="#">2020 Sustainability Report and GRI Index (JCISR)</a></p> <p><a href="#">Values First, the Johnson Controls Code of Ethics</a></p> <p><a href="#">Political Contributions Policy</a></p> <p>This policy guides our political contributions and activities to ensure compliance with applicable federal and state laws.</p> <p><a href="#">Conflict Minerals Policy</a></p> <p><a href="#">Integrity Helpline</a></p>	<p><b>Ethics and Integrity:</b> GRI 102-16 (JCISR pages 58 – 61, 95)</p> <p><b>Integrity Helpline:</b> Mechanisms for reporting concerns about unethical behavior (JCISR pages 59, 116)</p> <p><b>Anti-Corruption:</b> GRI 205 (JCISR pages 52 – 55, 61, 89, 104 – 105)</p> <p><b>Public Policy:</b> GRI 415 (JCISR pages 60, 91, 126)</p>