Executive Summary

March 29, 2016

Dear Selection Committee:

Johnson Controls, Inc. (Johnson Controls) is pleased to have the opportunity to respond to the National Cooperative Purchasing Alliance RFP for HVAC Equipment, Installation, Service & Related Products, Solicitation Number 05-16. We view this as an opportunity to bring to bear Johnson Controls’ world-class technology and unparalleled services to what we hope is a long-lasting partnership. As a Manufacturer and Mechanical and Controls Services Company, Johnson Controls is uniquely qualified to provide National Cooperative Purchasing Alliance with the best in HVAC Services for several compelling reasons. Most notably, we have an outstanding record of service globally, nationally, and locally. In addition, we have staffs in the Houston, Dallas, San Antonio, and Austin offices that are familiar with the process and procedures of working with a Purchasing Cooperative. Finally, because we strongly feel that we share common core values, in that we strive to exceed our customer’s increasing expectations just as National Cooperative Purchasing Alliance is dedicated to outstanding customer service for a better community.

We understand the high expectations of schools and governments and, in particular, the increased need for an upgraded, more efficient infrastructure as well as the need for quality and trustworthy partners in fast track projects. As a result, we are confident in our ability to perform in a manner that meets your client’s service and renovation requirements. Specifically, we feel that the qualifications highlighted below, among others detailed in the body of this document, distinctly define why we are the best Mechanical Services Company to partner with National Cooperative Purchasing Alliance and Region 14 ESC:

• Over the past 125 years Johnson Controls has been the leader in high-quality building environments and we have been a leader in Mechanical Services and Contracting for decades.
• We have over 170,000 employees globally, 25 branch offices in Texas and an excellent team of mechanical and technical professionals in our many office across the US. These resources will allow Johnson Controls to quickly respond to your client’s needs while benefiting from the knowledge of worldwide best practices.
• Johnson Controls is one of the largest Mechanical and Controls Service Companies in the world. We are the manufacturer of York HVAC equipment and Metasys® Controls systems; both of which have been in existence since the 1880’s.
• Johnson Controls’ partnership atmosphere with its employees has enabled us to build one of the most experienced team of service technicians and field hands. With our diverse portfolio of projects we have gained extensive experience in selecting and managing
qualified consultants and subcontractors and have developed a network of proven partners in all of our Branch Office cities.

- The Johnson Controls Institute has long been praised as one of the top training institutions in the corporate sector.

- Our Structured Finance team is responsible for the development of new and creative financing structures that address the financial needs of Johnson Controls customers. The team will match the right financing structure with what is best for each customer and most appropriate for the project. In addition, we have relationships with over 20 financial partners who are experienced in the arena of Lease and Capital Lending Programs. We will work with our partners and your client’s to ensure that any and all incentives are identified and utilized to their full potential.

- We have many decades of experience in working in the schools and government markets. Our national Vertical Market Directors responsible for K-12, Higher Education, Healthcare, Local Government, State Government, Public Housing, and Federal Government will be instrumental to ensure Johnson Controls maximizes the use of this agreement with our customer base. They will assist with the training of our field sales teams about the benefits of the National Cooperative Purchasing Alliance and how to leverage this agreement to the benefit of new and existing Johnson Controls customers. Plus the Vertical Market Directors will work directly with the leaders of each of our internal businesses to continually identify new opportunities for cooperation with National Cooperative Purchasing Alliance.

On Monday, January 25, we announced the merger of Johnson Controls and Tyco. We are excited about this combination, because we are bringing together the complementary strengths of two great companies – Tyco’s world-class fire and security business with Johnson Controls, a global multi-industrial company. Additional information is provided in the Appendix of this response.

As our company moves forward as a leader in our industry, Johnson Controls will continue to implement key initiatives and actions to ensure we offer the best-in-class products, installation and service capabilities across power solutions, fire, security, sensors, controls and HVAC to our customers. We will be expanding our presence in the K-12, Higher Education and Government markets through products, services and programs that are driven by our customers.

We recognize that Purchasing Cooperatives face the constant challenge of reducing costs while improving services in an environment of continuous change. Cooperatives have become a widely used tool that helps schools and governments decrease downtime, improve efficiencies, increase productivity and deliver quality built projects. A Mechanical Services contract that correctly addresses these very important issues will bring your client quality projects within budget and on time. We feel that we have much to bring to ensure the success of such projects and ultimately the success of National Cooperative Purchasing Alliance and Region 14 ESC.

In closing, Johnson Controls views cooperative purchasing and group purchasing organizations as important tools to enable our public sector and/or healthcare customers to quickly and easily purchase from our company. To support this commitment, Johnson Controls is pleased to announce the formation of a dedicated national team to ensure that we meet and exceed our commitments by:
• Aggressively marketing cooperative purchasing agreements like this one to existing and potential public sector customers
• Ensuring all administrative tasks are quickly and efficiently completed to better serve our customers and NCPA and Region 14 ESC
• Setting and achieving challenging revenue goals that demonstrate the success of this program and achieve significant year over year revenue growth attributable to the use of this agreement by Johnson Controls customers

Andrew Pergande is the Manager of this new team and will be collaborating closely with the NCPA and Region 14 ESC Teams to ensure the success of this program. Andy’s business plan for the next three (3) years will be detailed in the Marketing/Sales and Administration sections in this response.

For clarifications on this response, please contact:
Andrew Pergande
Group Purchasing Organizations Manager
Systems and Services North America
Johnson Controls
507 E. Michigan Street
Milwaukee, WI 53202
414-524-6937
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Request for Proposal (RFP) for HVAC Equipment, Installation, Service, & Related Products

Solicitation Number: 05-16__________________________

Publication Date: ________________________________

Notice to Respondent:

Submittal Deadline: Thursday, _____________ 2:00 pm CST

Questions regarding this solicitation must be submitted to questions@ncpa.us no later than _______________. All questions and answers will be posted to http://www.ncpa.us/solicitations.

It is the intention of Region 14 Education Service Center (herein “Region 14 ESC”) to establish a Master Agreement for HVAC Equipment, Installation, Service, & Related Products for use by Region 14 ESC and other public agencies supported under this contract. This Request for Proposal is issued on behalf of the National Cooperative Purchasing Alliance through a public agency clause, which provides that any county, city, special district, local government, school district, private K-12 school, higher education institution, state, other government agency, healthcare organization or nonprofit organization may purchase Products and Services through this contract. Respondents will be required to execute the NCPA Administration Agreement upon award.

This contract will allow agencies to purchase on an “as needed” basis from a competitively awarded contract. Respondents are requested to submit their total line of available products and services. While this solicitation specifically covers HVAC Equipment, Installation, Service, & Related Products, respondents are encouraged to submit an offering on any or and all products and services available that they currently perform in their normal course of business.

Responses shall be received no later than the submittal deadline in the offices of Region 14 ESC at the address below:

Region 14 Education Service Center
1850 Highway 351
Abilene, Texas 79601

Immediately following the deadline, all responses will be publically opened and the respondents recorded. Any response received later than the specified deadline, whether
delivered in person or mailed, will be disqualified. Faxed or electronically submitted responses cannot be accepted.

Responses must be sealed and plainly marked with the company name and the opening date and time. Two (2) bound and signed copies of the proposals and Two (2) electronic copies on CD, DVD, or flash drives (i.e. pin or jump drives) shall be provided.
Competitive Solicitation by
Region 14 Education Service Center
For
HVAC Equipment, Installation, Service, & Related Products
On behalf of itself and other Government Agencies
And made available through the National Cooperative Purchasing Alliance
RFP # 05-16____
Introduction / Scope

Region 14 ESC on behalf of itself and all states, local governments, school districts, and higher education institutions in the United States of America, and other government agencies and non-profit organizations (herein “Public Agency” or collectively “Public Agencies”) is soliciting proposals from qualified vendors to enter into a Master Agreement for a complete line of HVAC Equipment, Installation, Service, & Related Products.

Region 14 ESC, as the lead public agency, has partnered with NCPA to make the resultant contract available to all participating agencies in the United States. NCPA provides marketing and administrative support for the awarded vendor that promotes the successful vendor’s products and services to Public Agencies nationwide. The Vendor will execute the NCPA Administration Agreement (Tab 2) upon award. Vendor should thoroughly review all documents and note any exceptions to NCPA terms and conditions in their proposal.

Awarded vendor(s) shall perform covered services under the terms of this agreement. Respondents shall provide pricing based on a discount from their standard pricing schedules for products and/or services offered. Respondents must provide explanation on how they will provide either Catalog and/or price lists in their accompanying proposal. Please specify where different percentage discounts apply. Additional pricing and/or discounts may be included.
Each service proposed is to be priced separately with all ineligible items identified. Services may be awarded to multiple vendors. Respondents may elect to limit their proposals to a single service within any category, or multiple services within any and all categories.

National Cooperative Purchasing Alliance (NCPA)

The National Cooperative Purchasing Alliance (herein “NCPA”) assists public agencies to increase their efficiency and reduce their costs when procuring goods and services. This is accomplished by awarding competitively solicited contracts that are leveraged nationally by combining the volumes and purchasing power of entities nationwide. Our contracts are available for use by any entity that must comply with procurement laws and regulations.

It is the intention of Region 14 ESC and NCPA to achieve the following objectives through this RFP.

Provide a comprehensive competitively solicited Master Agreement offering Products and Services to Public Agencies;

Achieve cost savings of Vendors and Public Agencies through a single competitive solicitation process that eliminates the need for multiple proposals;

Combine the purchasing power of Public Agencies to achieve cost effective pricing;

Reduce the administrative and overhead costs of Vendors and Public Agencies through state of the art purchasing procedures.

Vendor Scope

It is the intention of Region 14 ESC to establish a contract with vendor(s) for HVAC Equipment, Installation, Service, & Related Products. Awarded vendor(s) shall provide products and perform covered services under the terms of this agreement. Offerors shall provide pricing based on a discount from a manufacturer’s price list or catalog, or fixed price, or a combination of both with indefinite quantities. Additional pricing and/or discounts may be included. If Offeror has existing cooperative contracts in place, Offeror is requested to submit pricing equal or better than those that are in place. Multiple percentage discount structure is also acceptable. Please specify where different percentage discounts apply.

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Each service proposed is to be priced separately with all ineligible items identified. Services may be awarded to multiple vendors. Offerors may elect to limit their proposals to a single service within any category, or multiple services within any or all categories.

Region 14 ESC is seeking a service provider that has the depth, breadth and quality of resources necessary to complete all phases of this contract. In addition, TCPN also requests any value add product or service that could be provided under this contract.

While this solicitation specifically covers HVAC Equipment, Installation, Service, & Related Products, respondents are encouraged to submit an offering on any and all products or services available that they currently perform in their normal course of business. The scope of this RFP shall include but not be limited to the following products and services:

**HVAC Refrigeration** Type- Rotary, Centrifugal, Scroll, Reciprocating, Absorption

**Indoor Air Quality Products and Devices** Type- Active polarization, non-ionizing, electronic air cleaning systems intended to replace passive filtration, any other.

**Unitary** Type-rooftops, split systems, VRFs, Heat Pumps, PTACs, water-source, mini-splits

**Air handling** Type- central station-manufactured or custom makeup air, fan, filter, coil sections

**Air Terminal Devices and Heating Products** Type-VAV, Fan Coils, Unit Ventilators, Unit Heaters, Fin Tube Radiation/Convector

**DDC Controls** Type-core components, end devices, lighting, panels
Cooling Towers Type- open, closed, evaporative, other

Pumps Type- single stage, split case, end suction, inline, circulator, turbines

Invertors

Boilers & Water Heaters Type- modulating, condensing, cast iron, water tube, packaged and other

HVAC Specialty Products Type (e.g., modular, outside/inside, Steam & Thermal Heat Recovery, Humidity Control, Heat Wheel, Heat Pipe, Heat Exchangers, Geothermal)

Equipment Parts and Supplies Type- manufactured parts, emergency parts service, miscellaneous material and supplies and other

Startup & Commissioning Services Type - equipment startups, system checkouts, control verification, retro commissioning, M & V verifications, rebate auditing, other

Service & Maintenance Type- preventative and full maintenance contracts, man-at attendance, remote monitoring, annuals, emergency services, regulatory compliance, cleaning (e.g., duct, coils and filters), scheduled maintenance (e.g., oil, chemical and vibration analysis) and other

Installation and Turnkey Contracting Type- retrofit, new construction, energy retrofit, controls new- and upgrade and other

Warranty Services Type- Extended parts & labor (define maximum number of years available), delayed start-up and other
**Energy Services** Type-Energy Tracking, Energy Analysis, Evaluation of Potential Upgrades, demand response, rebates and other

**Equipment Rentals** Type-chillers, pumps, transformers, terminal units, generators, cooling towers, packaged unitary and other

**Financial Services** Type- leasing, prompt and pre-payment discounts, guaranteed savings and other

**Professional Services** Type- Engineering, Design, Drafting, Architectural, Project Management and other

**Site Surveys** Type- Equipment, system analysis, operational, architectural and other

Instructions to Respondents

Submission of Response

Only sealed responses will be accepted. Faxed or electronically transmitted responses will not be accepted.

Sealed responses may be submitted on any or all items, unless stated otherwise. Region 14 ESC reserves the right to reject or accept any response.

Deviations to the terms, conditions and/or specifications shall be conspicuously noted in writing by the respondent and shall be included with the response.

Withdrawal of response will not be allowed for a period of 120 days following the opening. Pricing will remain firm for 120 days from submittal.

Required Proposal Format

Responses shall be provided in a three-ring binder or report cover using 8.5 x 11 paper clearly identified with the name of Respondents company and solicitation responding to on the outside front cover and vertical spine. Two (2) bound and signed copies of the
proposals and Two (2) electronic copies on CD, DVD, or flash drives (i.e. pin or jump drives) shall be provided. Tabs should be used to separate the proposal into sections, as identified below. Respondents failing to organize in the manner listed may be considered non-responsive and may not be evaluated.

Binder Tabs
Tab 1 – Signature Form
Tab 2 – NCPA Administration Agreement
Tab 3 – Vendor Questionnaire
Tab 4 – Vendor Profile
Tab 5 – Products and Services / Scope
Tab 6 - References
Tab 7 - Pricing
Tab 8 – Value Added Products and Services
Tab 9 – Required Documents

Shipping Label
The package must be clearly identified as listed below with the solicitation number and name of the company responding. All packages must be sealed and delivered to the Region 14 ESC offices no later than the submittal deadline assigned for this solicitation.

From: ________________________________
Company: ________________________________
Address: ________________________________
City, State, Zip: ________________________________
Solicitation Name and Number: ________________________________
Due Date and Time: ________________________________
Master Agreement

General Terms and Conditions

Customer Support

The vendor shall provide timely and accurate technical advice and sales support. The vendor shall respond to such requests within one (1) working day after receipt of the request.

Assignment of Contract

No assignment of contract may be made without the prior written approval of Region 14 ESC. Purchase orders and payment can only be made to awarded vendor. Awarded vendor is required to notify Region 14 ESC when any material change in operation is made.

Disclosures

Respondent affirms that he/she has not given, offered to give, nor intends to give at any time hereafter any economic opportunity, future employment, gift, loan, gratuity, special discount, trip, favor or service to a public servant in connection with this contract.

The respondent affirms that, to the best of his/her knowledge, the offer has been arrived at independently, and is submitted without collusion with anyone to obtain information or gain any favoritism that would in any way limit competition or give an unfair advantage over other vendors in the award of this contract.

Renewal of Contract

Unless otherwise stated, all contracts are for a period of one (1) year with an option to renew annually for an additional four (4) years if agreed to by Region 14 ESC and the vendor.

Funding Out Clause

Any/all contracts exceeding one (1) year shall include a standard “funding out” clause. A contract for the acquisition, including lease, of real or personal property is a commitment of
the entity’s current revenue only, provided the contract contains either or both of the following provisions:

Retains to the entity the continuing right to terminate the contract at the expiration of each budget period during the term of the contract and is conditioned on a best efforts attempt by the entity to obtain appropriate funds for payment of the contract.

Shipments (if applicable)

The awarded vendor shall ship ordered products within the written estimate of delivery time by the vendor to the entity after the receipt of the order unless modified. If a product cannot be shipped within that time, the awarded vendor shall notify the entity placing the order as to why the product has not shipped and shall provide an estimated shipping date. At this point the participating entity may cancel the order if estimated shipping time is not acceptable. All deliveries shall be freight prepaid, F.O.B. destination.

Tax Exempt Status

Since this is a national contract, knowing the tax laws in each state is the sole responsibility of the vendor.

Payments

The entity using the contract will make payments directly to the awarded vendor or their affiliates as long as written request and approval by NCPA is provided to the awarded vendor.

Adding authorized distributors/dealers

Awarded vendors are prohibited from authorizing additional distributors or dealers, other than those identified at the time of submitting their proposal, to sell under their contract award without notification and prior written approval from NCPA.

Awarded vendors must notify NCPA each time it wishes to add an authorized distributor or dealer.
Purchase orders and payment can only be made to awarded vendor unless otherwise approved by NCPA.

Pricing provided to members by added distributors or dealers must also be less than or equal to the pricing offered by the awarded contract holder, unless otherwise approved by NCPA.

Pricing

All pricing submitted to shall include, as a cost of sale to the awarded vendor, the administrative fee to be remitted to NCPA by the awarded vendor. It is the awarded vendor’s responsibility to keep all pricing up to date and on file with NCPA. For those pricing requiring annual or periodic pricing updates, awarded vendors are expected to provide these changes as submitted.

All deliveries shall be freight prepaid, F.O.B. destination and shall be included in all pricing offered unless otherwise clearly stated in writing.

All supplies, equipment and services shall include manufacturer’s minimum standard warranty and one (1) year labor warranty unless otherwise agreed to in writing.

Best Price Guarantee

The awarded vendor agrees to provide pricing to Region 14 ESC and its participating entities that are the lowest pricing available and the pricing shall remain so throughout the duration of the contract.

The awarded vendor agrees to lower the cost of any product purchased through NCPA following a reduction in the manufacturer or publisher’s direct cost.

The awarded vendor agrees all prices, terms, warranties, and benefits granted by the vendor to Members through this contract are comparable to or better than the equivalent terms offered by vendor to any present customer meeting the same qualifications or requirements.

Warranty

Proposals should address each of the following:

Applicable warranty and/or guarantees of equipment and installations including any conditions and response time for repair and/or replacement of any components during the warranty period.

Availability of replacement parts

Life expectancy of equipment under normal use
Detailed information as to proposed return policy on all equipment

Administrative Fee

All pricing submitted to Region 14 ESC shall include the administrative fee to be remitted to NCPA by the awarded vendor.

The awarded vendor agrees to pay administrative fees to NCPA of three percent (3%). (Sales will be calculated for fiscal year of January 1st through December 31st and reset each year)

Audit rights

Vendor shall, at Vendor’s sole expense, maintain appropriate due diligence of all purchases made by any entity that utilizes this Agreement. NCPA and Region 14 ESC each reserve the right to audit the accounting for a period of three (3) years from the time such purchases are made. This audit right shall survive termination of this Agreement for a period of one (1) year from the effective date of termination. In the State of New Jersey, this audit right shall survive termination of this Agreement for a period of five (5) years from the date of final payment. Such records shall be made available to the New Jersey Office of the State Comptroller upon request.

Region 14 ESC shall have the authority to conduct random audits of Vendor’s pricing that is offered to eligible entities at Region 14 ESC’s sole cost and expense. Notwithstanding the foregoing, in the event that Region 14 ESC is made aware of any pricing being offered to eligible agencies that is materially inconsistent with the pricing under this agreement, Region 4 ESC shall have the ability to conduct an extensive audit of Vendor’s pricing at Vendor’s sole cost and expense. Region 14 ESC may conduct the audit internally or may engage a third-party auditing firm. In the event of an audit, the requested materials shall be provided in the format and at the location designated by Region 14 ESC or NCPA.

Indemnity

The awarded vendor shall protect, indemnify, and hold harmless Region 14 ESC and its participants, administrators, employees and agents against all claims, damages, losses and expenses arising out of or resulting from the actions negligence of the vendor, vendor employees or vendor subcontractors in the preparation of the solicitation and the later execution of the contract.

Licenses and Duty to keep current licenses

Vendor shall maintain in current status all federal, state and local licenses, bonds and permits required for the operation of the business conducted by vendor. Vendor shall
remain fully informed of and in compliance with all ordinances and regulations pertaining to the lawful provision of services under the contract. Region 14 ESC reserves the right to stop work and/or cancel the contract of any vendor whose license(s) expire, lapse, are suspended or terminated. Vendor is expected to provide all required license(s) with this RFP response.

Franchise Tax
The respondent hereby certifies that he/she is not currently delinquent in the payment of any franchise taxes.

Supplemental Agreements
The entity participating in this contract and awarded vendor may enter into a separate supplemental agreement to further define the level of service requirements over and above the minimum defined in this contract i.e. invoice requirements, ordering requirements, specialized delivery, etc. Any supplemental agreement developed as a result of this contract is exclusively between the participating entity and awarded vendor.

Certificates of Insurance
Certificates of insurance shall be delivered to the Public Agency prior to commencement of work. The insurance company shall be licensed in the applicable state in which work is being conducted. The awarded vendor shall give the participating entity a minimum of ten (10) days notice prior to any modifications or cancellation of policies. The awarded vendor shall require all subcontractors performing any work to maintain coverage as specified.

Legal Obligations
It is the Respondent’s responsibility to be aware of and comply with all local, state, and federal laws governing the sale of products/services identified in this RFP and any awarded contract and shall comply with all while fulfilling the RFP. Applicable laws and regulation must be followed even if not specifically identified herein.

Protest
A protest of an award or proposed award must be filed in writing within ten (10) days from the date of the official award notification and must be received by 5:00 pm CST. No protest shall lie for a claim that the selected Vendor is not a responsible Bidder. Protests shall be filed with Region 14 ESC and shall include the following:

- Name, address and telephone number of protester
- Original signature of protester or its representative
- Identification of the solicitation by RFP number
- Detailed statement of legal and factual grounds including copies of relevant documents and the form of relief requested

Any protest review and action shall be considered final with no further formalities being considered.

Force Majeure

If by reason of Force Majeure, either party hereto shall be rendered unable wholly or in part to carry out its obligations under this Agreement then such party shall give notice and full particulars of Force Majeure in writing to the other party within a reasonable time after occurrence of the event or cause relied upon, and the obligation of the party giving such notice, so far as it is affected by such Force Majeure, shall be suspended during the continuance of the inability then claimed, except as hereinafter provided, but for no longer period, and such party shall endeavor to remove or overcome such inability with all reasonable dispatch.

The term Force Majeure as employed herein, shall mean acts of God, strikes, lockouts, or other industrial disturbances, act of public enemy, orders of any kind of government of the United States or any civil or military authority; insurrections; riots; epidemics; landslides; lighting; earthquake; fires; hurricanes; storms; floods; washouts; droughts; arrests; restraint of government and people; civil disturbances; explosions, breakage or accidents to machinery, pipelines or canals, or other causes not reasonably within the control of the party claiming such inability. It is understood and agreed that the settlement of strikes and lockouts shall be entirely within the discretion of the party having the difficulty, and that the above requirement that any Force Majeure shall be remedied with all reasonable dispatch shall not require the settlement of strikes and lockouts by acceding to the demands of the opposing party or parties when such settlement is unfavorable in the judgment of the party having the difficulty.

Prevailing Wage

It shall be the responsibility of the Vendor to comply, when applicable, with the prevailing wage legislation in effect in the jurisdiction of the purchaser. It shall further be the
responsibility of the Vendor to monitor the prevailing wage rates as established by the appropriate department of labor for any increase in rates during the term of this contract and adjust wage rates accordingly.

Miscellaneous

Either party may cancel this contract in whole or in part by providing written notice. The cancellation will take effect 30 business days after the other party receives the notice of cancellation. After the 30th business day all work will cease following completion of final purchase order.

Cancellation for Non-Performance or Contractor Deficiency

Region 14 ESC may terminate any contract if awarded vendor has not used the contract, or if purchase volume is determined to be low volume in any 12-month period.

Region 14 ESC reserves the right to cancel the whole or any part of this contract due to failure by contractor to carry out any obligation, term or condition of the contract.

Region 14 ESC may issue a written deficiency notice to contractor for acting or failing to act in any of the following:

Providing material that does not meet the specifications of the contract;
Providing work and/or material that was not awarded under the contract;
Failing to adequately perform the services set forth in the scope of work and specifications;
Failing to complete required work or furnish required materials within a reasonable amount of time;
Failing to make progress in performance of the contract and/or giving Region 14 ESC reason to believe that contractor will not or cannot perform the requirements of the contract;

Upon receipt of a written deficiency notice, contractor shall have ten (10) days to provide a satisfactory response to Region 14 ESC. Failure to adequately address all issues of concern may result in contract cancellation. Upon cancellation under this paragraph, all goods,
materials, work, documents, data and reports prepared by contractor under the contract shall become the property of Region 14 ESC on demand.

**If awarded vendor is going to do business in the State of Arizona, the following terms and conditions shall apply**

Cancellation for Conflict of Interest

Per A.R.S. 38-511 a School District/public entity may cancel this Contract within three (3) years after Contract execution without penalty or further obligation if any person significantly involved in initiating, negotiating, securing, drafting, or creating the Contract on behalf of the School District/public entity is, or becomes at any time while the Contract or an extension the Contract is in effect, an employee of or a consultant to any other party to this Contract with respect to the subject matter of the Contract. The cancellation shall be effective when the awarded vendor receives written notice of the cancellation unless the notice specifies a later time.

Registered Sex Offender Restriction

Pursuant to this order, the awarded vendor agrees by acceptance of this order that no employee of the awarded vendor or a subcontractor of the awarded vendor, who has been adjudicated to be a registered sex offender, will perform work on any School District’s premises or equipment at any time when District students are, or are reasonably expected to be, present. The awarded vendor further agrees by acceptance of this order that a violation of this condition shall be considered a material breach and may result in a cancellation of the order at the District’s discretion.

Contract’s Employment Eligibility

By entering the contract, awarded vendor warrants compliance with A.R.S. 41-4401, A.R.S. 23-214, the Federal Immigration and Nationality Act (FINA), and all other federal immigration laws and regulations. A School District/public entity may request verification of compliance from any contractor or subcontractor performing work under this contract. A School District/public entity reserves the right to confirm compliance in accordance with
applicable laws. Should the School District/public entity suspect or find that the awarded vendor or any of its subcontractors are not in compliance, the School District/public entity may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the contract for default, and suspension and/or debarment of the awarded vendor. All costs necessary to verify compliance are the responsibility of the awarded vendor.

Terrorism Country Divestments

Per A.R.S. 35-392, a School District/public entity is prohibited from purchasing from a company that is in violation of the Export Administration Act.

Fingerprint Checks

If required to provide services on School District/public entity's property, awarded vendor shall comply with A.R.S. 15-511(h).

Indemnification

Notwithstanding all other provisions of this agreement, School District/public entity does not agree to accept responsibility, waive liability, or indemnify the awarded vendor, in whole or in part, for the errors, negligence, hazards, liabilities, contract breach and/or omissions of the awarded vendor, its employees and/or agents.

Open Records Policy

Because Region 14 ESC is a governmental entity responses submitted are subject to release as public information after contracts are executed. If a vendor believes that its response, or parts of its response, may be exempted from disclosure, the vendor must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, the respondent must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).
The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 14 ESC must provide the OAG sufficient information to render an opinion and therefore, vague and general claims to confidentiality by the respondent are not acceptable. Region 14 ESC must comply with the opinions of the OAG. Region 14 ESC assumes no responsibility for asserting legal arguments on behalf of any vendor. Respondent are advised to consult with their legal counsel concerning disclosure issues resulting from this procurement process and to take precautions to safeguard trade secrets and other proprietary information.
Process

Region 14 ESC will evaluate proposals in accordance with, and subject to, the relevant statutes, ordinances, rules, and regulations that govern its procurement practices. NCPA will assist Region 14 ESC in evaluating proposals. Award(s) will be made to the prospective vendor(s) whose response is determined to be the most advantageous to Region 14 ESC, NCPA, and its participating agencies. To qualify for evaluation, response must have been submitted on time, and satisfy all mandatory requirements identified in this document.

Contract Administration

The contract will be administered by Region 14 ESC. The National Program will be administered by NCPA on behalf of Region 14 ESC.

Contract Term

The contract term will be for one (1) year starting from the date of the award. The contract may be renewed for up to four (4) additional one-year terms.

Contract Waiver

Any waiver of any provision of this contract shall be in writing and shall be signed by the duly authorized agent of Region 14 ESC. The waiver by either party of any term or condition of this contract shall not be deemed to constitute waiver thereof nor a waiver of any further or additional right that such party may hold under this contract.

Products and Services additions

Products and Services may be added to the resulting contract during the term of the contract by written amendment, to the extent that those products and services are within the scope of this RFP and has written approval of NCPA and Region 14ESC.

Competitive Range

It may be necessary for Region 14 ESC to establish a competitive range. Responses not in the competitive range are unacceptable and do not receive further award consideration.

Deviations and Exceptions

Deviations or exceptions stipulated in response may result in disqualification. It is the intent of Region 14 ESC to award a vendor’s complete line of products and/or services, when possible.

Estimated Quantities
The estimated dollar volume of Products and Services purchased under the proposed Master Agreement is $10M dollars annually. This estimate is based on the anticipated volume of Region 14 ESC and current sales within the NCPA program. There is no guarantee or commitment of any kind regarding usage of any contracts resulting from this solicitation.

Evaluation

Region 14 ESC will review and evaluate all responses in accordance with, and subject to, the relevant statutes, ordinances, rules and regulations that govern its procurement practices. NCPA will assist the lead agency in evaluating proposals. Recommendations for contract awards will be based on multiple factors, each factor being assigned a point value based on its importance.

Formation of Contract

A response to this solicitation is an offer to contract with Region 14 ESC based upon the terms, conditions, scope of work, and specifications contained in this request. A solicitation does not become a contract until it is accepted by Region 14 ESC. The prospective vendor must submit a signed Signature Form with the response thus, eliminating the need for a formal signing process.

NCPA Administrative Agreement

The vendor will be required to enter and execute the National Cooperative Purchasing Alliance Administration Agreement with NCPA upon award with Region 14 ESC. The agreement establishes the requirements of the vendor with respect to a nationwide contract effort.

Clarifications / Discussions

Region 14 ESC may request additional information or clarification from any of the respondents after review of the proposals received for the sole purpose of elimination minor irregularities, informalities, or apparent clerical mistakes in the proposal. Clarification does not give respondent an opportunity to revise or modify its proposal, except to the extent that correction of apparent clerical mistakes results in a revision. After the initial receipt of proposals, Region 14 ESC reserves the right to conduct discussions with those respondent’s whose proposals are determined to be reasonably susceptible of being selected for award. Discussions occur when oral or written communications between Region 14 ESC and respondent’s are conducted for the purpose clarifications involving information essential for determining the acceptability of a proposal or that provides respondent an opportunity to revise or modify its proposal. Region 14 ESC will not assist respondent bring its proposal up to the level of other proposals through discussions. Region 14 ESC will not indicate to respondent a cost or price that it must meet to neither obtain further consideration nor will it provide any information about other respondents’ proposals or prices.

Multiple Awards

Multiple Contracts may be awarded as a result of the solicitation. Multiple Awards will ensure that any ensuing contracts fulfill current and future requirements of the diverse and large number of participating public agencies.

Past Performance

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Past performance is relevant information regarding a vendor’s actions under previously awarded contracts; including the administrative aspects of performance; the vendor’s history of reasonable and cooperative behavior and commitment to customer satisfaction; and generally, the vendor’s businesslike concern for the interests of the customer.

Evaluation Criteria

Product & Services/Pricing (40 points)

Respondent(s)’ products and services (e.g.; quality and breadth of product(s)/service(s), description(s) quality, reputation in the marketplace, average on time delivery rate and historical shipping timelines, return and restocking policies and applicable fees, average Fill Rate, shipping charges and other)

Competitive Level of Pricing for vendor’s available products and services

Warranties on Respondent(s)’ products and services (e.g.; availability of standard/extended warranties, pricing, detailed descriptions, ease of process and others)

Evidence of the ability of Respondent(s)’ products and services to save members time and money (e.g.; breadth of service departments, technological advances, personnel experience, product(s) efficiencies, and others)

Other factors relevant to this section as submitted by the responder(s)

Ability to Provide and Perform the Required Services for the Contract (25 points)

Response to emergency orders & service (e.g.; response time, breadth of service coverage, strength of meeting service and warranty needs of members)

Customer service/problem resolution (e.g.; technical abilities of service personnel; quality of processes,)

Invoicing process (e.g.; ease of use; transparency, billing resolutions)

Respondent(s)’ processes, and quality of organizational structure

Contract implementation/Customer transition

Financial condition of vendor
Offeror’s safety record (e.g.; benchmarks, lost hours, reporting)

Instructional materials and training (e.g.; administrative documentation, internal technical training, training of agencies)

Other factors relevant to this section as submitted by the proposer

References (10 points)
A minimum of ten (10) customer references for product and/or services of similar scope dating within past 3 years

Qualification and Experience (15 points)
Respondent(s)’ reputation in the marketplace
Past relationship with Region 14 ESC and/or NCPA members
Experience with cooperative selling (e.g.; number of other cooperatives, Exhibited understanding of cooperative purchasing)
Experience and qualification of key employees
Location and number of sales persons who will work on this contract
Marketing plan and capability
Past experience working with the government sector
Past litigation, bankruptcy, reorganization, state investigations of entity or current officers and directors
Completeness of response (e.g.; filled out all sections, answered all questions, provided pricing)
Other factors relevant to this section as submitted by the proposer

Value Added Services Description, Products and/or Services (10 points)
Marketing and agency Training
Customer Service
Sales force training (e.g.; internal training plan, corporate officer involvement, orientation commitment)

Marketing plan and capability (e.g.; contract rollout plan, benchmarks, goals)

Green initiative(s) (e.g.; philosophy, certificates, awards)

Quality and breadth of value add(s)

Other factors relevant to this section as submitted by the proposer
Signature Form

The undersigned hereby proposes and agrees to furnish goods and/or services in strict compliance with the terms, specifications and conditions at the prices proposed within response unless noted in writing. The undersigned further certifies that he/she is an officer of the company and has authority to negotiate and bind the company named below and has not prepared this bid in collusion with any other Respondent and that the contents of this proposal as to prices, terms or conditions of said bid have not been communicated by the undersigned nor by any employee or agent to any person engaged in this type of business prior to the official opening of this proposal.

Prices are guaranteed: **120 days**

<table>
<thead>
<tr>
<th>Company name</th>
<th>Johnson Controls, INC.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>5757 N. Green Bay Avenue</td>
</tr>
<tr>
<td>City/State/Zip</td>
<td>Milwaukee, WI 53209-0591</td>
</tr>
<tr>
<td>Telephone No.</td>
<td>414 524 5498</td>
</tr>
<tr>
<td>Fax No.</td>
<td>N/A</td>
</tr>
<tr>
<td>Email address</td>
<td><a href="mailto:David.R.Clark@jci.com">David.R.Clark@jci.com</a></td>
</tr>
<tr>
<td>Printed name</td>
<td>David Clark</td>
</tr>
<tr>
<td>Position with company</td>
<td>VP of Sales for Systems &amp; Services North America</td>
</tr>
<tr>
<td>Authorized signature</td>
<td>[Signature] 3-25-16</td>
</tr>
</tbody>
</table>
Tab 2 – NCPA Administration Agreement

This Administration Agreement is made as of ____________April 11, 2016________, by and between National Cooperative Purchasing Alliance (“NCPA”) and ____Johnson Controls, INC.____ (“Vendor”).

Recitals

WHEREAS, Region 14 ESC has entered into a certain Master Agreement dated ____________April 11, 2016________, referenced as Contract Number _______02-32_____, by and between Region 14 ESC and Vendor, as may be amended from time to time in accordance with the terms thereof (the “Master Agreement”), for the purchase of HVAC Equipment, Installation, Service, & Related Products;

WHEREAS, said Master Agreement provides that any state, city, special district, local government, school district, private K-12 school, technical or vocational school, higher education institution, other government agency or nonprofit organization (hereinafter referred to as “public agency” or collectively, “public agencies”) may purchase products and services at the prices indicated in the Master Agreement;

WHEREAS, NCPA has the administrative and legal capacity to administer purchases under the Master Agreement to public agencies;

WHEREAS, NCPA serves as the administrative agent for Region 14 ESC in connection with other master agreements offered by NCPA;

WHEREAS, Region 14 ESC desires NCPA to proceed with administration of the Master Agreement;

WHEREAS, NCPA and Vendor desire to enter into this Agreement to make available the Master Agreement to public agencies on a national basis;

NOW, THEREFORE, in consideration of the payments to be made hereunder and the mutual covenants contained in this Agreement, NCPA and Vendor hereby agree as follows:

♦ General Terms and Conditions

- The Master Agreement, attached hereto as Tab 1 and incorporated herein by reference as though fully set forth herein, and the terms and conditions contained therein shall apply to this Agreement except as expressly changed or modified by this Agreement.
- NCPA shall be afforded all of the rights, privileges and indemnifications afforded to Region 14 ESC under the Master Agreement, and such rights, privileges and indemnifications shall accrue and apply with equal effect to NCPA under this Agreement including, but not limited to, the Vendor’s obligation to provide appropriate insurance and certain indemnifications to Region 14 ESC.
- Vendor shall perform all duties, responsibilities and obligations required under the Master Agreement in the time and manner specified by the Master Agreement.
- NCPA shall perform all of its duties, responsibilities, and obligations as administrator of purchases under the Master Agreement as set forth herein, and Vendor acknowledges that NCPA shall act in the capacity of administrator of purchases under the Master Agreement.
- With respect to any purchases made by Region 14 ESC or any Public Agency pursuant to the Master Agreement, NCPA (a) shall not be construed as a dealer, re-marketer, representative, partner, or agent of any type of Vendor, Region 14 ESC, or such Public
Agency, (b) shall not be obligated, liable or responsible (i) for any orders made by Region 14 ESC, any Public Agency or any employee of Region 14 ESC or Public Agency under the Master Agreement, or (ii) for any payments required to be made with respect to such order, and (c) shall not be obligated, liable or responsible for any failure by the Public Agency to (i) comply with procedures or requirements of applicable law, or (ii) obtain the due authorization and approval necessary to purchase under the Master Agreement. NCPA makes no representations or guaranties with respect to any minimum purchases required to be made by Region 14 ESC, any Public Agency, or any employee of Region 14 ESC or Public Agency under this Agreement or the Master Agreement.

- The Public Agency participating in the NCPA contract and Vendor may enter into a separate supplemental agreement to further define the level of service requirements over and above the minimum defined in this contract i.e. invoice requirements, ordering requirements, specialized delivery, etc. Any supplemental agreement developed as a result of this contract is exclusively between the Public Agency and Vendor. NCPA, its agents, members and employees shall not be made party to any claim for breach of such agreement.

- Term of Agreement
  - This Agreement shall be in effect so long as the Master Agreement remains in effect, provided, however, that the obligation to pay all amounts owed by Vendor to NCPA through the termination of this Agreement and all indemnifications afforded by Vendor to NCPA shall survive the term of this Agreement.

- Fees and Reporting
  - The awarded vendor shall electronically provide NCPA with a detailed monthly or quarterly report showing the dollar volume of all sales under the contract for the previous month or quarter. Reports shall be sent via e-mail to NCPA offices at facilities.reporting@ncpa.us. Reports are due on the fifteenth (15th) day after the close of the previous month or quarter. It is the responsibility of the awarded vendor to collect and compile all sales under the contract from participating members and submit one (1) report. The report shall include at least the following information as listed in the example below:

<table>
<thead>
<tr>
<th>Entity Name</th>
<th>Zip Code</th>
<th>State</th>
<th>PO or Job #</th>
<th>Sale Amount</th>
<th>Registered Vendor Quotation #</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

- Each month NCPA will invoice the vendor based on the total of sale amount(s) reported. From the invoice the vendor shall pay to NCPA three (3%) administrative fee on the amount of the agency’s purchase order less any applicable sales tax and Performance and/or Payment bond cost. Vendor’s annual sales shall be measured on a calendar year basis. Deadline for term of payment will be included in the invoice NCPA provides.

- Supplier shall maintain an accounting of all purchases made by Public Agencies under the Master Agreement. NCPA and Region 14 ESC reserve the right to audit the accounting for a period of four (4) years from the date NCPA receives the accounting. In the event of such an audit, the requested materials shall be provided at the location designated by Region 14
ESC or NCPA. In the event such audit reveals an underreporting of Contract Sales and a resulting underpayment of administrative fees, Vendor shall promptly pay NCPA the amount of such underpayment, together with interest on such amount and shall be obligated to reimburse NCPA's costs and expenses for such audit.

♦ General Provisions

- This Agreement supersedes any and all other agreements, either oral or in writing, between the parties hereto with respect to the subject matter hereof, and no other agreement, statement, or promise relating to the subject matter of this Agreement which is not contained herein shall be valid or binding.
- Awarded vendor agrees to allow NCPA to use their name and logo within website, marketing materials and advertisement. Any use of NCPA name and logo or any form of publicity regarding this contract by awarded vendor must have prior approval from NCPA.
- If any action at law or in equity is brought to enforce or interpret the provisions of this Agreement or to recover any administrative fee and accrued interest, the prevailing party shall be entitled to reasonable attorney's fees and costs in addition to any other relief to which such party may be entitled.
- Neither this Agreement nor any rights or obligations hereunder shall be assignable by Vendor without prior written consent of NCPA. Any assignment without such consent will be void.
- This Agreement and NCPA's rights and obligations hereunder may be assigned at NCPA's sole discretion, to an existing or newly established legal entity that has the authority and capacity to perform NCPA's obligations hereunder.
- All written communications given hereunder shall be delivered to the addresses as set forth below.
National Cooperative Purchasing Alliance: Vendor: Johnson Controls, INC.

Name: Matthew Mackel Name: David Clark
Title: Director, Business Development Title: VP of Sales for SSNA
Address: PO Box 701273 Address: 5757 N. Green Bay Avenue
Houston, TX 77270 Milwaukee, WI 53209-0591

Signature: [Signature] Signature: [Signature]
Date: April 11, 2016 Date: March 29, 2016

NCPA Registered Vendor Quotation Number

RFP responders are requested to agree to a quotation number registration program to provide consistency and faster service for our facility awarded vendors, agency members and participants. The process will require Facility Contract holders to register and receive a NCPA Vendor Registered Quotation Number that must be prominently displayed on each proposal(s) that you present to the agencies. The system will track Facility transactions from the initial proposal stage to the completion of each project. NCPA has assembled an experienced Facilities Management Team that stands ready and willing to assist its vendors in providing quality services to the awarded vendor’s organization. Failure to receive the Vendor Registered Quotation Number can result in potential delays to your services and the only acceptable proposals need to have a NCPA Vendor Registered Quotation Number.

NCPA Registered Vendor Quotation Number Process

Fill out the form on the Facilities page at www.NCPA.us

(Direct link is http://www.ncpa.us/Facilities/Register)

*Click on NCPA Logo in center of page and a form will pop up.
*Fill out and submit.

- All registered vendor quotation number requests must be submitted and a proposal number received before you present it to your potential customer.
- You will have a response with a NCPA Vendor Registered Quotation Number within 4 hours.
- If you have an emergency and need a quotation number sooner, call any member of the Facility Management team and we will help you.
- Include the quotation number on all proposals.
This document acknowledges that you have received and agree to the details, directions and expectations of the NCPA Vendor Registered Quotation Number process.

Date: __________________________ March 29, 2016

RFP Number: __________________________

Company Name: Johnson Controls, INC

Printed Name: David Clark

Signature: __________________________ 3-25-14
Tab 3 – Vendor Questionnaire

Please provide responses to the following questions that address your company’s operations, organization, structure, and processes for providing products and services.

♦ States Covered
  ➢ Bidder must indicate any and all states where products and services can be offered.
  ➢ Please indicate the price co-efficient for each state if it varies.

☑ 50 States & District of Columbia (Selecting this box is equal to checking all boxes below)

<table>
<thead>
<tr>
<th>Alabama</th>
<th>Maryland</th>
<th>South Carolina</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alaska</td>
<td>Massachusetts</td>
<td>South Dakota</td>
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<tr>
<td>Arizona</td>
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<td>California</td>
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<td>Connecticut</td>
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<td>Washington</td>
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<td>Delaware</td>
<td>Nevada</td>
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<td>District of Columbia</td>
<td>New Hampshire</td>
<td>Wisconsin</td>
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<tr>
<td>Florida</td>
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<td>Wyoming</td>
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<tr>
<td>Georgia</td>
<td>New Mexico</td>
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<tr>
<td>Hawaii</td>
<td>New York</td>
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<tr>
<td>Idaho</td>
<td>North Carolina</td>
<td></td>
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<tr>
<td>Illinois</td>
<td>North Dakota</td>
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<tr>
<td>Indiana</td>
<td>Ohio</td>
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<tr>
<td>Iowa</td>
<td>Oklahoma</td>
<td></td>
</tr>
<tr>
<td>Kansas</td>
<td>Oregon</td>
<td></td>
</tr>
<tr>
<td>Kentucky</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
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☐ Louisiana  ☐ Pennsylvania
☐ Maine    ☐ Rhode Island

☐ All US Territories and Outlying Areas (Selecting this box is equal to checking all boxes below)
  ☐ American Somoa  ☐ Northern Marina Islands
  ☐ Federated States of Micronesia  ☐ Puerto Rico
  ☐ Guam  ☐ U.S. Virgin Islands
  ☐ Midway Islands

♦ Minority and Women Business Enterprise (MWBE) and (HUB) Participation
  ➢ It is the policy of some entities participating in NCPA to involve minority and women business enterprises (MWBE) and historically underutilized businesses (HUB) in the purchase of goods and services. Respondents shall indicate below whether or not they are an M/WBE or HUB certified.
    ▪ Minority / Women Business Enterprise
      • Respondent Certifies that this firm is a M/WBE ☐
    ▪ Historically Underutilized Business
      • Respondent Certifies that this firm is a HUB ☐

♦ Residency
  ➢ Responding Company’s principal place of business is in the city of ___Milwaukee____________, State of ___Wisconsin____

♦ Felony Conviction Notice
  ➢ Please Check Applicable Box;
    ☒ A publically held corporation; therefore, this reporting requirement is not applicable.
☐ Is not owned or operated by anyone who has been convicted of a felony.
☐ Is owned or operated by the following individual(s) who has/have been convicted of a felony
   ➢ If the 3rd box is checked, a detailed explanation of the names and convictions must be attached.

♦ Distribution Channel
   ➢ Which best describes your company’s position in the distribution channel:
     ☑ Manufacturer Direct  ☐ Certified education/government reseller
     ☑ Authorized Distributor  ☐ Manufacturer marketing through reseller
     ☑ Value-added reseller  ☐ Other: _________________________________

♦ Processing Information
   ➢ Provide company contact information for the following:
     ▪ Sales Reports / Accounts Payable
       Contact Person: Andrew Pergande
       Title: GPO Manager
       Company: Johnson Controls
       Address: 5757 N. Green Bay Avenue
       City: Milwaukee State: WI
       Zip: 53209
       Phone: (414) 524-6937
       Email: Andrew.Pergande@jci.com

     ▪ Purchase Orders
       Contact Person: Andrew Pergande
       Title: GPO Manager
       Company: Johnson Controls
       Address: 5757 N. Green Bay Avenue
       City: Milwaukee State: WI
       Zip: 53209
Phone: (414) 524-6937

Email: Andrew.Pergande@jci.com

- Sales and Marketing
  
  Contact Person: Andrew Pergande
  Title: GPO Manager
  Company: Johnson Controls
  Address: 5757 N. Green Bay Avenue
  
  City: Milwaukee State: WI
  Zip: 53209

  Phone: (414) 524-6937
  Email: Andrew.Pergande@jci.com

♦ Pricing Information
  - In addition to the current typical unit pricing furnished herein, the Vendor agrees to offer all future product introductions at prices that are proportionate to Contract Pricing.
    - If answer is no, attach a statement detailing how pricing for NCPA participants would be calculated for future product introductions.
      - Yes ☑ No ❌
  - Pricing submitted includes the required NCPA administrative fee. The NCPA fee is calculated based on the invoice price to the customer less any applicable sales tax and Performance and/or Payment bond cost.
    - Yes ☑ No ❌
  - Vendor will provide additional discounts for purchase of a guaranteed quantity.
    - Yes ☑ No ❌

♦ Cooperatives
  - List any other cooperative or state contracts currently held or in the process of securing.
<table>
<thead>
<tr>
<th>Cooperative/State Agency</th>
<th>Discount Offered</th>
<th>Expires</th>
<th>Annual Sales Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>No other national cooperative agreements</td>
<td></td>
<td></td>
<td></td>
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</tbody>
</table>
TAB 4 - VENDOR PROFILE
Please provide the following information about your company:

GENERAL

1. Company’s official registered name.

Johnson Controls, Inc.

2. Brief history of your company, including the year it was established.

Johnson Controls, Inc. is a global diversified technology and industrial leader serving customers in more than 150 countries with approximately 170,000 employees. The Company creates quality products, services and solutions to optimize energy and operational efficiencies of buildings; lead-acid batteries and advanced batteries for hybrid and electric vehicles; and interior systems for automobiles. Johnson Controls, Inc. (NYSE: JCI), was founded in 1885, and is headquartered in Milwaukee, Wisconsin. Its sales for fiscal year 2014 totaled $42.8 billion. For additional information, please visit our website: www.johnsoncontrols.com. HVAC Equipment, Installation and Services & Related Products are the core offerings of the Building Efficiency business unit of Johnson Controls.

Description of Building Efficiency

The Building Efficiency business unit of Johnson Controls (“Building Efficiency”) is a global leader in delivering integrated control systems, mechanical equipment, services and solutions designed to improve the comfort safety and energy efficiency of nonresidential buildings and residential properties, and has operations in more than 150 countries. Building Efficiency’s customer relationships often span entire building lifecycles. Building Efficiency, through its own forces or through subcontractors, designs, manufactures, installs, services, operated and maintains mechanical and electrical systems (both those made by Johnson Controls and its competitors) that control energy use, heating, ventilating, air conditioning, lighting and security and fire management for non-residential buildings. Building Efficiency also provides, through its own forces or that of subcontractors, complete on-site management and technical services for our customers in a wide range of facilities, which include manufacturing, commercial buildings, hospitals, schools, government buildings, libraries, museums, sports complexes and more. Building Efficiency also offers performance contracting pursuant to which the customer uses guaranteed energy savings to fund project costs over a number of years.

Pursuant to this proposed agreement with the National Cooperative Purchasing Alliance, Johnson Controls products and services as outlined in this response will be available to all 50 states and the District of Columbia. The 50 states and the District of Columbia are the responsibility of Systems and Services North America (SSNA), which is part of Building Efficiency serving the United States and Canada. Information provided as part of this response will be relevant to SSNA unless otherwise specified.
3. Company’s Dun & Bradstreet (D&B) number.

00-609-2860

4. Corporate Office Location.

Principal Corporate Address:
Johnson Controls, Inc.
5757 North Green Bay Avenue
P. O. Box 591
Milwaukee, Wisconsin 53201-0591
Phone: (414) 524-1200
Fax: (414) 524-2007

Systems and Services North America principal address:
507 E. Michigan Street
Milwaukee, WI 53202
Attn: Andrew Pergande, Group Purchasing Organizations Manager, Systems & Services North America
Phone: (414) 524-6937

5. List number of employees either nationally or regionally (if your response is not all states) with breakdown of sales, sales support, service technicians, engineering support, and administration.

<table>
<thead>
<tr>
<th>Systems &amp; Services North America Employees</th>
<th>#</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor Category</td>
<td></td>
</tr>
<tr>
<td>Sales</td>
<td>1061</td>
</tr>
<tr>
<td>Sales Support</td>
<td>55</td>
</tr>
<tr>
<td>Service Technicians</td>
<td>6634</td>
</tr>
<tr>
<td>Engineering Support</td>
<td>693</td>
</tr>
<tr>
<td>Administration</td>
<td>309</td>
</tr>
<tr>
<td>Other</td>
<td>2899</td>
</tr>
</tbody>
</table>

6. List the number and location of offices, or service centers for all states being offered in solicitation. Additionally, list the names of key contacts at each location with title, address, phone and email addresses.
All office locations across the United States are potentially involved in this bid. A complete list of office locations can be found in the Appendix. In addition, the Johnson Controls website has a tool readily available to all customers to locate the Johnson Controls branch office closest to them. The tool includes a primary phone number for each branch (http://www.johnsoncontrols.com/location-finder). When customers contact the branch, they will be directed to the Branch General Manager, the Branch Sales Manager or the Branch Service Manager who will be able to assist them. Plus all customers can contact Andy Pergande who will direct them to the appropriate contact within Johnson Controls for assistance. Andy will be listed as the primary contact for Johnson Controls on the NCPA website and is easily reachable by phone or email. Andy has direct access to the local branch management and sales personnel and can quickly connect customers to local Johnson Controls personnel who can handle any customer request with respect to the National Cooperative Purchasing Alliance agreement. After execution of this agreement, Johnson Controls and NCPA will immediately want to launch an outreach campaign to educate all of our branches about the NCPA and Region 14 ESC Agreement. Because of the close proximity of our Texas branches to NCPA personnel, we will begin this outreach with our Texas branches. Together Johnson Controls and NCPA will provide education about the benefits of NCPA and how to use the agreement successfully to help our customers address their HVAC needs. Below is a list of all branches in Texas. Our Headquarters team led by Andy will leverage the successes realized in Texas to excite and engage all branches in the US. We will use our internal newswire and also our SalesForce.Com tool to reach sales people who serve the public vertical markets.

Texas Primary Branches

**Johnson Controls Austin Office**
*Building Efficiency*
1908 Kramer Lane
Suite 100
Austin, TX 78758 USA
Phone: (512) 973-3555
24-Hour Service: (866) 819-0231
Fax: (512) 973-3576
Primary Contact: Andy Collier

**Johnson Controls Beaumont Office**
*Building Efficiency*
4683 College Street
Beaumont, TX 77707 USA
Phone: (409) 840-5256
24-Hour Service: (866) 862-0455
Fax: (409) 840-5285
Primary Contact: Cynthia Odom
7. Please provide contact information for the person(s) who will be responsible for the following areas, including resumes:

<table>
<thead>
<tr>
<th><strong>Sales, Sales Support, Marketing, Financial Reporting, Executive Support</strong></th>
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| To ensure that our external Group & Cooperative Purchasing partners receive dedicated support across North America, Johnson Controls created a Group Purchasing Organizations department. We are fortunate to have Andy Pergande as the Manager of this important function. Andy’s resume can be found in the Appendix. Johnson Controls is a global company and navigating our large organization can be a challenge at times for external partners. Having a single point of contact for our Group & Cooperative Purchasing partners will make working with Johnson Controls easy and quick…..plus it will ensure that Johnson Controls is always in compliance with the terms and conditions of the National Cooperative Purchasing Alliance agreement. Andy has direct access to our Headquarters, Regional and Branch teams to drive awareness, lead marketing and training efforts and ensure that our customers are aware of the benefits of working with Johnson Controls through the National Cooperative Purchasing Alliance. Andy will also be responsible to ensure that quarterly reporting and all financial and administrative tasks are performed on time per the contract. While Andy as our Headquarters’ leader
will be your first contact, as we develop the partnership between our organizations, Andy will be introducing your team to many Johnson Controls people who will be tremendous contacts for NCPA at our Regional and Branch levels. These contacts will also work directly with your team to educate both our Johnson Controls branch personnel and our external customers about NCPA. With Andy leading our effort, we are confident that going forward we will be able to significantly increase the volume of business Johnson Controls secures using this agreement….providing our customers with an important tool that will enable them to purchase much needed equipment now and at an assured competitive pricing level.

Andrew Pergande, Group Purchasing Organizations Manager, Systems & Services NA
Johnson Controls
507 E. Michigan Street
Milwaukee, WI 53202
414-524-6937

8. Define your standard terms of payment.

Johnson Controls agrees to initiate payment on all undisputed invoices received from National Cooperative Purchasing Alliance on the 1st and 22nd of the month on NET 90 terms from the date of invoice, proof of shipment, or, in case of consignment, sale of Product(s) to BUYER’s customer, whichever is later, (“Payment Terms”) provided the invoice information is consistent with the terms of this Agreement.

9. Who is your competition in the public marketplace?

The Building Efficiency competitors for HVAC equipment and controls in the residential and non-residential marketplace include many regional, national and international providers; larger competitors include Honeywell International, Inc.; Siemens Building Technologies, an operating group of Siemens AG; Schneider Electric SA; Carrier Corporation, a subsidiary of United Technologies Corporation; Trane Incorporated, a subsidiary of Ingersoll-Rand Company Limited; Daikin Industries, Ltd.; Lennox International, Inc.; GC Midea Holding Co, Ltd.; Gree Electric Appliances, Inc. and Greenheck Fan Corporation.


Financial Statements:
As a publicly-owned corporation, Johnson Controls is subject to the full range of regulations by numerous federal and state agencies and other regulatory bodies. All information identified as required to be publicly disclosed (including financial statements) is included in the Company’s Form 10-K annual report, a copy of which is available on the company’s website at: http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html. In addition, we are including the 10k Annual Report for 2015 for your review. The following information is from page

Johnson Controls sales are not published by vertical markets as part of the annual 10K Report. Typically the public vertical markets are between 30-33% of Building Efficiency's overall direct business.

12. What is your strategy to increase market share in the public sector?

In Johnson Controls’ Strategic Review and 2016 Outlook presented December 1, 2015, Alex Molinaroli, Chairman, President and Chief Executive Officer of Johnson Controls, shared the following vision for Johnson Controls:

- Deliver on our commitments by driving value for our shareholders as we execute and exceed our customer’s expectations
- Drive stronger growth than our peers and competitors by being customer-focused, market-driven, account-oriented, service-minded and responsive
- Deliver operational excellence by becoming a benchmark company for multi-industrials through quality, cost and productivity
- Through leadership, disciplined coaching, and diversity, engage employees to be accountable and decisive

Growing our public sector market share and sales are critical to achieving our Chairman’s vision for Johnson Controls. Today 30-33% of our Building Efficiency’s direct sales are with public sector customers.....going forward Johnson Controls is committed to the growth strategy of providing building solutions that will positively affect the desired business outcomes of our public sector customers. The first component of our public sector growth strategy is to implement a campaign to educate our customers about Johnson Controls’ extensive and diverse portfolio of products and services. The second component of our public sector growth strategy is to leverage our technology innovation to ensure that our solutions optimize the balance between the business environments, business outcomes, risk, safety and cost. The third component is to work with valued external partners to ensure that our public sector customers have multiple options and ways to buy from Johnson Controls to address their building needs. The fourth component is the
commitment of our employees to exceed our customers’ expectations every time. We believe in long term relationships with customers, partners and employees.

13. What differentiates your company from your competitors?

The Public Education Market
Today, it takes more than dedicated teachers and an outstanding curriculum to achieve a positive learning experience. The actual building can be an active partner in a successful education. Studies have found that students’ learning is affected by everything from outdated classroom technology to poor air quality, inconsistent temperature and inferior lighting. At Johnson Controls, we differentiate our company by first focusing on each customer's unique educational facilities and technology needs. Then we collaborate with each customer to create building solutions that align to their objectives and deliver the necessary results. Our references validate that Johnson Controls provides solutions that will improve the learning environment, whether it's in local school districts, with community colleges, or on college and university campuses. Education buildings have a huge deferred maintenance problem negatively impacting student achievement. With so much to be done in our school facilities, we help our customers prioritize their building needs based upon the simple test of “what provide the maximum impact on student achievement, teacher retention, and operational efficiency?” To ensure that we are subject matter experts on the building systems in educational facilities, Johnson Controls continually seeks input from our customers on their changing needs and priorities. We utilize our national, regional and local expertise to understand the trends and outlook for the rapidly changing public education market. We also work with schools to secure recognition for them through the federal Energy Star and Green Buildings programs. But in the competitive educational facilities market, just providing building solutions is frequently not enough to win. Therefore, we have invested in energy education, workforce development education, local student internships, and our own Academy of Energy website which provides STEM educational materials to support energy and environmental conservation efforts. Johnson Controls also has a strong commitment to the professional organizations serving the public education market. We have a national presence at Association of School Business Officials, the National School Board Association, National Association of Colleges and Universities Business Officers, and APPA: Leadership in Educational Facilities.

Local & State Government and Public Healthcare
Taxpayers everywhere recognize the benefits of saving energy and money in federal, state and local government facilities. They understand that they do not need to sacrifice safe, comfortable and efficient buildings to reduce public spending, improve productivities and increase services offered to local communities. As with Johnson Controls’ approach to the Educational facilities market, we also focus on combining innovation, our core expertise in building systems and our extensive technology knowledge to provide smart, connected environments to better serve our rapidly changing cities and counties across the United States.

As one of the nation’s largest government contractors with local offices across the country, Johnson Controls is a comprehensive, single-source provider for government solutions. We engineer total building upgrades, including equipment service, training support, facility management and network integration. We're experienced in public-private partnerships that
leverage private-sector funding to meet the financial and environmental goals of our government customers. Our vast experience in various cost-effective, technical government projects results in tremendous customer satisfaction -- from City Hall to the Pentagon.

The Johnson Controls Energy Efficiency Initiative is an excellent example of our commitment to leadership in the public sector market. It is a public information campaign designed to improve energy awareness and education to a variety of audiences. This initiative reinforces the need for energy efficiency in public and private facilities and explains the impact these efforts can have on the environment, budget deficit, global competitiveness, job creation, and national security.

**Summary**

We believe that our commitment to our public sector customers’ business objectives, our extensive portfolio of products and services, our unique value-add services and our local presence across the United States differentiate us from our competitors. We have the local capabilities to partner with our customer throughout the life cycle of their buildings and we are personally invested in the success of our customers.


“We, individually and as a team, will deliver products and services that consistently conform to our customer’s requirements and exceed their increasing expectations.”

*Johnson Controls’ Quality Policy*

JCI is a global diversified company in the building systems control and automotive industries and is considered a leader in the markets and global geographies the company serves. Building Efficiency, the relevant business unit for the NCPA and Region 14 ESC Agreement, is a leading provider of equipment, controls, and services for heating, ventilation, air conditioning, refrigeration, and security systems. At Johnson Controls we are committed to providing safe, quality products and in a responsible manner, aligning with Johnson Controls values and ethics policy.

In July 2015, Johnson Controls became an American Society for Quality Enterprise Quality Roundtable member and welcomed the opportunity to share information and collaborate with Emerging Quality Leaders Program (EQLP) participants—leaders across multiple industries who strive for quality business excellence. In November of 2015, Jeff Williams, Vice President of Enterprise Operations & Engineering, shared with members of the EQLP Johnson Controls approach to quality assurance. Quality is a core value at Johnson Controls and is the foundation for our manufacturing, installation and service businesses globally. During the EQLP meeting, Johnson Controls shared that in our manufacturing environments there are four fundamentals that drive quality:
• **Customer Focus**: Exceeding customers’ increasing expectations is critical.

• **Stable Operations Environment**: Standardization, consistency, predictability, and repeatability are fundamental. Problems are instabilities that must be surfaced quickly and solved permanently.

• **Zero Tolerance for Waste**: Manufacturing activities that do not add value or fundamentally change the nature of the product or service—as defined by the customer—should be avoided or eliminated.

• **Organize Around Pull**: A product should only be manufactured in response to specific demand signals and requests from a customer; materials and resources should be advanced only when downstream processes request them.

As an example of the success of our quality program in our manufacturing businesses, Johnson Controls was recognized for providing the highest-quality in the annual J.D. Power 2015 Seat Quality and Satisfaction Study (SM). Also the Energy Start Most Efficient 2016 Designation was awarded to Johnson Controls for the most efficient products among those that quality for Energy Star. This was the fifth consecutive year that Johnson Controls (York Product Line) earned this recognition.

Quality also plays a very important role in our installation and services businesses. We are committed to delivering quality installations on time and within budget. To accomplish this commitment, our Building Efficiency branches utilize standard project management procedures, routinely inspect throughout the installation/service, and document/communicate often with the customer to assure the construction deliverable meets the design and performance requirements.

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<td>PROJECT CLOSURE</td>
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Quality assurance for installation and service projects ensures that our customers are satisfied and is a fundamental requirement to build strong lasting customer relationships as evidenced by our many loyal customers who select Johnson Controls as their preferred provider of HVAC Equipment, Products and Services.

15. Provide information regarding whether your firm, either presently or in the past, has been involved in any litigation, bankruptcy or reorganization.

As a company with $42.8 billion in annual sales and over 1,000 facilities around the world, Johnson Controls is involved in litigation or disputes concerning various aspects of the operation of the Company. Johnson Controls has been, may currently be and may in the future become

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subject to legal proceedings and commercial disputes. These are typically claims that arise in the normal course of business including, without limitation, commercial or contractual disputes with our suppliers, intellectual property matters, third-party liability and employment claims. Given the size and breadth of the Company’s operations, it would be difficult (if not impossible) to provide a definitive and comprehensive list of litigation relating to the Company. However, the Company’s Form 10-K annual report identifies all litigation that is material to the financial condition of the Company. The Form 10-K annual report can be obtained through the Company’s website: http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html. A copy of the Form 10-K is also included with this submittal. Johnson Controls has never had a criminal grand jury indictment or conviction over its 125-year history. Johnson Controls and its subsidiaries have never sought bankruptcy protection.

16. Provide evidence of your company’s ability to continuously lower the customers’ costs. Provide examples of any documented cost reduction results that your company has engaged in with your customers.

The core business of Building Efficiency is to provide our customers with products and services that will positively impact their building environments and at the same time lower their operating costs, increase productivities and eliminate wastes. Throughout our branches and businesses, we daily assist customers through energy, operational, safety and technology assessments/audits to identify opportunities within their buildings to reduce both their first cost and their on-going operating costs by providing energy efficient sustainable building improvements. Whether it is designing a new more efficient piece of HVAC equipment like our new scroll chiller or forming joint venture partnerships with other companies like Hitachi to bring Variable Refrigerant Flow systems to our customer….excellent solutions for both new construction and retrofit applications. We are honored to be global leaders in sustainability as demonstrated by our achievements within our own organization to reduce cost and drive sustainability:

- A 21 percent reduction in the energy intensity — a measure of total energy used per unit of output — of our U.S. operations from between 2009 and 2014.
- A 41 percent reduction in greenhouse gas emissions intensity from between 2002 and 2014.
- An average reduction of 1 percent per year in absolute greenhouse gas emissions from between 2008 and 2014. We always strive to do more, which is why we’ve set aggressive new sustainability targets for 2020.

Our Energy Solutions business unit’s core business is to help our customers improve their buildings and reduce their operating costs at the same time through a procurement vehicle called performance contracting. We are so confident of our ability to deliver cost savings solutions that we guarantee the savings for a typical period of 10-15 years. The guarantee is a commitment to the customer that if the savings are not met, then Johnson Controls will write them a check for the shortfall. To date, we have 681 active projects, reflecting $6.8 billion in performance contracting guarantees in force. This includes 217 K-12 performance contracts with $1.5 billion in guarantees. In our construction businesses, we have multiple approaches to ensure the customer receives...
the best value for his investment. Many of our customers are now requesting “open book” pricing for all types of construction and retrofit projects. We provide a standardized “open book” pricing methodology with full transparency.

In our manufacturing businesses, we have a very strict supplier compliance requirement to ensure that our customer receive the highest quality components at the best price. This requirement is an integral part of our Quality Assurance Program and extends across all business units.

PRODUCTS

17. What is the reputation of your company’s products in the public marketplace?

Johnson Controls is a global technology and industrial leader serving customers in more than 150 countries. Since our invention of the first electric room thermostat in 1885, we’ve been committed to delivering innovative products that help the world run smoothly, smartly, simply and safely. Our reputation in the market place is best evaluated by our peers and customers.

Johnson Controls was recognized by the Ethisphere Institute, an independent center of research that promotes best practices in corporate ethics and governance, as one of the 2016 World's Most Ethical Company®. This is the tenth time that our company and our employees have been honored with this award, which recognizes organizations that continue to raise the bar on ethical leadership and corporate behavior. World’s Most Ethical Company honorees understand the correlation between ethics, reputation and daily interactions with their brand. Johnson Controls is one of only 14 companies to receive this award ten years consecutively.

Our awards speak to our reputation in our global markets. Here are several of our recent awards.

- In 2013, Panoptix® and Metasys® technology systems received the Reader’s Choice Award from Today’s Facility Manager Magazine for the second consecutive year. Metasys® was selected as the leading Building Automation System and Pantopix won under the Energy Management and Energy Consultants category.
- Named to Forbes’ 2013 World’s Most Innovative Companies List for the third consecutive year. Ranked 71st in the top 100 companies
- Named to InformationWeek magazine's list of the 500 “most innovative information technology organizations” for five consecutive years
- Johnson Controls recognized for excellence in greenhouse gas management by receiving the 2014 EPA Climate Leadership Award, one of only 19 given in 2014. Awardees are honored for exemplary corporate, organizational, and individual leadership in reducing carbon pollution and addressing climate change.
- Listed on the following sustainability indexes:
  - Dow Jones Sustainability Indexes: World & North America
  - FTSE4Good Index Series
- S&P 500 Carbon Disclosure Leadership Index
- Calvert Social Index
- Domini 400 Social Index
- KLD Indexes
- Maplecroft Climate Innovation Indexes
- NASDAQ OMX CRD Global Sustainability Index

- RobecoSAM, a sustainability investment firm, recognized Johnson Controls as a 2013 Bronze Class Sustainability Leader in its annual Sustainability Yearbook. In collaboration with KPMG, an audit, tax, and advisory firm, RobecoSAM annually rates companies based on their sustainability performance.

- The U.S. Environmental Protection Agency (EPA) has recognized Johnson Controls, Inc. with a 2010 ENERGY STAR Partner of the Year Award for its contributions to reducing greenhouse gas emissions through its energy efficient products and services. In 2009, we trained approximately 425 field personnel in North America on ENERGY STAR tools and applications and benchmarked more than 900 buildings through the ENERGY STAR Portfolio Manager tool.

- In 2009 and 2010, Johnson Controls ranked in the top 15 in Newsweek magazine's Green Rankings of the 500 largest U.S. companies as an "industry leader in addressing climate change risks; has committed to reducing energy usage by as much as 50%.

- Member of the Billion Dollar Roundtable since 2003, an organization comprised of the U.S. corporations that spend more than $1 billion annually with minority- and women-owned businesses.


18. Indicate your company's ability to provide temporary cooling when needed.
Rental cooling is an important offering in our Building Efficiency portfolio supporting our public sector customers during emergencies that interrupt the comfort and safety of business environments, or threaten the health and welfare of our customers who work and deliver services in critical environments. Johnson Controls maintains rental cooling equipment at five (5) depot locations in the United States: Phoenix, AZ; Atlanta, GA; Indianapolis, IN; Newark, DE; and Houston, TX. Included in our stock at each depot are:

- Rental products include process and centrifugal chillers, cooling towers, rooftop units, temporary power/distributed energy and more
- Equipment includes high-efficiency VFDs, CFC-free refrigerants, single-point electrical connections, with optional remote monitoring
- Basic rental package provides ancillary supplies, such as hose, cable and fittings designed for a timely and cost-effective installation
- Seasonal rentals help avoid purchasing equipment that sits idle when not in use
- Flexible financing options include leasing and rent-to-own plans
- Mission-critical services performed by trained technical experts assures proper assessment, installation, setup, commissioning, controls integration and ongoing maintenance
- Equipment is strategically located throughout the U.S. and Canada with the backing of a global organization to support multiple locations and provide consistency

Johnson Controls is committed to the long term growth of our rental equipment offering. Our growth strategy includes: increasing our market share by: enhancing the fleet; expanding investment in existing product offerings (chillers, air handlers, pumps, cooling towers, power equipment.

Johnson Controls has Regional resources available to support our customers and the National Cooperative Purchasing Alliance. We are committed to meeting our customers’ rental cooling needs quickly and cost effectively.
What equipment/system support documents will your company provide?

On-line product support documentation for customers is available at:
http://www.johnsoncontrols.com/buildings/services-and-support/product-literature

The following information is available for our customers at www.johnsoncontrols.com (Quick Lit):

- System & equipment testing, start-up and commissioning data
- As-built drawings
- O & M manuals
- Start-up and service guides
- Product literature
- Service bulletins

We also have extensive training available to our customers through the Johnson Controls Training Institute. For over 60 years, the Johnson Controls Training Institute has helped people to succeed in creating and managing quality building environments. Our specialist building automation training services help our customers turn training into practical skill. The Institute partners with engineering schools, technical colleges and experts in the building industry to provide a high-quality learning experience that reflects not only where the industry is today, but where it is going in the future. Our cost-effective programs are designed for anyone who needs a working knowledge of environmental and building systems, including: building owners; building managers, engineers, operators and maintenance technicians. Our latest course selections and catalog can be found at http://www.johnsoncontrols.com/buildings/services-and-support/hvac-training.

Many of our customers are discovering that training is only one piece of a much broader set of activities required to drive increased performance. Operators, Technicians, and Tradespeople need to understand the concepts, theory of operation, and procedures required to operate and maintain building equipment and systems. Our customers have requested help to identify what training is actually required to improve performance. JCI’s Performance/Skills Development Solutions team can help. Utilizing a thorough, five-step process, JCI will works with our customers...
to identify key business goals and strategies; then to identify performance gaps and provide solutions required to improve O&M performance in support of key organizational goals.

JCI's Assessment & Performance Improvement five-step process includes the following deliverables:

- Facility O&M Strategy Assessments
- Equipment and CMMS Task Analysis
- Skill Assessment by Job Roles
- Performance Gap Cause Analysis
- O&M Process & Organization Design
- Learning Paths by Job Roles
- Job Aids & Personal Coaching
- Custom On-site Training & Mentoring

Johnson Controls can easily be contacted regarding any question by email or phone. Please visit https://www.johnsoncontrols.com/contact-us to submit an email question or call 414-524-1200. Additional technical and/or parts ordering support is available at:

- Airside Technical Service (parts and technical support): 800-545-7814
- Building Automation Systems replacement parts: 800-482-2778
- York Parts: 800-932-1701
- Board Repair Center: 800-482-2778

Johnson Controls’ Board Repair Center offers high-quality, cost effective repairs and replacement parts for HVAC, access control and fire alarm system boards made by most manufacturers. Repaired and reconditioned boards are backed by either a full one year or three year warranty. Support technicians are available for assistance and troubleshooting.

20. Identify the process of receiving a purchase order to the ordering of equipment.

Upon receipt of a purchase order the following steps are performed:
- Confirm receipt of P.O. and customers desired delivery date
- Distribute submittals that include technical documentation contained within the product catalog (scale drawings, performance metrics, installation steps, operation instructions, etc).
- Obtain Customer review and approval of the order
- Order placement
- Confirm expected delivery date with customer

21. Describe your company’s shipping schedule notification procedures.

The shipping schedule notification process is standardized. Products and product categories have standard lead times that are communicated and available internally from manufactures. Within 2 weeks of order placement the customer receives a confirmation with the expected receipt
date. Two days prior to arrival the customer receives another notification of shipment with the expected arrival information.

22. Describe how your company deals with shipping delays. How do you notify your customer of delays?

Delays are dealt with on an exception basis and customers are notified by their primary local contact to ensure the impacted customer contacts are aware of the delay and can plan for the change in delivery date.
23. Provide your shipping schedule reporting form. How many times do you update?

Scheduled shipping reporting forms and information are distributed to customers after confirmation of purchased equipment. Updates are provided if there are any changes to planned schedules. Internally lead time reporting is available from our manufacturing factories. These internal lead time schedules are continuously update as lead times for specific products or product groups change.

24. How many products do you stock? Where?

Many of our products are stocked and immediately available. We have a stock and quick ship program that provides our product categories and specific products that are quickly available. Below are some of our offerings within the quick ship program:
25. What is your percentage of on-time delivery at each manufacturing plant?

Below are the on-time delivery metrics for February 2016:

- Small Tonnage Chillers (Monterrey): 98%
- Large Tonnage Systems: 100%
- Standard Air Handling (Albany): 98%
- Standard Air Handling (East York): 97%

26. Describe any direct order entry system or capabilities your organization has such as internet capabilities.

On-line York Parts Ordering
Johnson Controls’ customers can order replacement parts on line using the York Online Parts ordering system located at [https://www2.york.com/yorkparts/p/](https://www2.york.com/yorkparts/p/). There is a search tool to help our customer locate the items they need plus they can contact us at 800-932-1701.

Plus the online tool provides a general description of YORK part numbers to assist our customers.

**HVAC Equipment**

Selection and ordering of HVAC equipment is typically an engineering exercise. In each of our 130 branches, we have equipment, controls and security & fire sales engineers who are dedicated to assisting our customer select the equipment and the necessary add-on features required to achieve the desired functionality. In addition to equipment selection, our local sales engineers can provide additional support such as: customized specifications; assistance with sequences...
of operation; insight into how to cost effectively integrate new equipment into existing building systems to optimize the building environment while minimizing both first and on-going costs; equipment selection options; and pricing options.

27. Are all HVAC units UL listed and in compliance with applicable codes in all states?

Electrical assemblies are either listed with UL or ETL. Additionally, many products have industry certifications such as AHRI and ASHRAE. Contained within each product spec are applicable compliance and industry certifications.

28. If your product is defective, what is the replacement process and turnaround?

For equipment or products under warranty the part is replaced per the warranty terms and conditions. The local service branch typically communicates the expected lead times for replaced parts or equipment.

29. What is the capability of your company to respond to emergency/rush orders?

As highlighted in question #24 many of our products are stocked and immediately available. We have a processes and programs focused on immediate stock and quick ship programs to meet customer’s emergency needs.

30. State whether your company provides a quality guarantee on your products. If so please describe.

Yes, we provide customers quality guarantees. The terms and conditions of these guarantee is published in our warranty terms and conditions.

31. Describe your procedure to monitor the quality of your products.

Our Corporate Quality Policy guides all our services and activities:

“We, individually and as a team, will deliver products and services that consistently conform to our customer’s requirements and exceed their increasing expectations.”

Quality is part of Building Efficiency's (BE) 10-Year Marker, and part of our culture. Building Efficiency Quality's purpose is to improve overall customer satisfaction of our products and services and drive quality improvement across all departments. Customer satisfaction and loyalty are achieved by significantly reducing warranty, improving outgoing quality levels, and developing products and services that exceed our customers’ increasing expectations. The 4 strategic pillars
of BE’s quality commitment are Product Development Process, Supplier Quality, Manufacturing Quality and Field Quality. The total quality process is detailed in Building Efficiency’s Quality Manual. This Quality Manual describes the Global Quality Management System (GQMS). The GQMS is based on the ISO 9001 Standard process-based quality management system and aligns to the following five parts of the ISO 9001 Standard:

- Part 1 – Quality Management System (section 4 of the ISO Standard)
- Part 2 – Management Responsibility (section 5 of the ISO Standard)
- Part 3 – Resource Management (section 6 of the ISO Standard)
- Part 4 – Product Realization (section 7 of the ISO Standard)
- Part 5 – Measurement, Analysis and Improvement (section 8 of the ISO Standard)

The GQMS establishes the standard framework for a quality management system for Johnson Controls Building Efficiency Manufacturing sites. This framework is intended to be consistent with the stated requirements for quality management systems as prescribed in the ISO9001 standard along with additional requirements as per standards established within Johnson Controls.

32. Do you offer extended parts and labor warranties? If yes, state the length of the warranty.

Johnson Controls offers a variety of extended parts and/or labor options available for purchase either pre or post shipment. Extended warranties can extend up to 10 years. For example, York offers the following standard extended warranty options for chillers:

- Entire unit, parts and labor
- Entire unit, parts only
- Drive train (motor/compressor), parts and labor
- Drive train (motor/compressor), parts only
- Refrigerant (requires entire unit extended warranty for the term of the extended refrigerant warranty)
In addition to extended warranties, Johnson Controls offers “connected” warranties for chillers. Connected Warranties from Johnson Controls are an advanced coverage option offered on our water-cooled, large tonnage chiller systems equipped with Optiview™ panels. Connected Warranties enhance our ability to protect your equipment through our Connected Chiller technology. At start-up, a secure connection to our Remote Operations Center will be installed for the duration of the warranty period. This means that:

- Critical alarms are monitored 24/7/365
- Chiller operating data is collected and stored to allow us to analyze and troubleshoot issues
- Operating and trend data can be provided to our local, regional and global experts as needed to resolve issues

33. Please give examples of state and local agencies where your company has extended labor warranties. Include the length of the warranties.

Local and state agency agreements are managed regionally. We are not aware of any agreements that are applicable to all states or local agencies for extended warranties.

34. What is your standard warranty on Building Automation Controls?

Johnson Controls Building Automation Controls are backed by either a full one-year or three-year warranty, depending upon the type of component.

35. What is the standard warranty on replacement parts?

Johnson Controls’ repaired and reconditioned parts are backed by either a full one-year or three-year warranty.

36. How does your company track warranties and update equipment lists/warranty periods as units or components are replaced?

We deploy an electronic warranty system to record and maintain documentation regarding warranty replacements.
37. What states would your company not honor pricing on your supplied equipment for this contract in the event that this contract is made available to all states?

We will honor pricing in all states to customers who are customers of NCPA, commit to using the NCPA tool to purchase HVAC Equipment, Products and Services and so indicate on their purchase order to us.

SERVICES

38. Describe your company's Customer Service Department (hours of operation, number of service centers, parts outlets, number of technicians, etc.). Clarify if the service centers are owned by your company or if they are a network of subcontractors.

Remote Operations Center (ROC)

Today’s complex facilities need experienced operators watching over the building, identifying issues and correcting problems, before they impact occupants or operations. The Johnson Controls owns and operates a Remote Operations Center that provides a dedicated team of certified building management professionals to monitor our customers’ building systems: security, fire, HVAC, building automation, lighting, refrigeration, electrical and more. The following remote services are available twenty-four hours a day, seven days a week, 365 days a year.

- Fire & Security Monitoring
- Intrusion/burglar alarm monitoring
- Critical point monitoring
- Elevator phone monitoring
- Supervised opening/closing
- UL and Factory Mutual certification ensures operational standard are maintained by our Remote Operations Center

Our depth of knowledge assures correct prioritization and response to alarms when they occur. When an alarm is received, our system automatically assigns the customer’s own unique and customizable alarm handling actions for the alarm, resulting in timely response to minimize loss and/or maximize potential for defeat of the threat, compliance with legal requirements for fire systems and insurance carrier requirements, and accurate records of alarm activity for audit needs.

Johnson Controls can monitor all types of equipment and systems in your building for critical alarms or other conditions, and respond with customer-specific protocols. We can enhance this
service with remote troubleshooting and diagnostics to get to the root cause of your problems faster and solve them more quickly. Examples of our systems monitoring capabilities are:

- Building automation and controls
- HVAC equipment
- Lighting
- Electrical systems
- Refrigeration systems

Johnson Controls Branch Locations

Johnson Controls has 120 service centers and over 6000 skilled technicians across North America. Our offices are open daily from 8:00 am to 5:00 pm plus we offer 24/7 service to our customers. Our service phones are covered after hours and technicians are available for dispatch 24/7 to address our customers’ building issues. Service contact information is available online for each location….below is an example of the contact information for our Corpus Christi Office.

Johnson Controls Corpus Christi Office

Building Efficiency
2209 N. Padre Island Drive
Suite F
Corpus Christi, TX 78408 USA
Phone: (361) 289-9675

24-Hour Service: (866) 680-8101

Within the state of Texas, there are eight (8) service centers located in all the major cities. We have approximately 99 HVAC service mechanics and 153 system technicians. All offices are branch offices and owned by Johnson Controls, headquartered in Milwaukee, Wisconsin.

Parts

Our parts ordering services are outlined in #26.

39. Describe how your company handles after-hours customer service needs indicate your average response time to emergency calls.

Our after-hours customer service needs are described in the previous question, #38. Hour average response time varies based upon distance and service criticality. Typically our branches target an average response time of 4 hours.

40. Discuss your organization’s capability and historical flexibility in completing timely service calls and problem resolution.
Today Johnson Controls has over 6000 skilled service technicians available to respond to our customer’s needs from 120 different locations across North America. Our company has the resources and flexibility to satisfy our service customers. But servicing HVAC equipment can be as simple as responding to a service call and the required parts are on the truck……or it can be as complicated as repairing a chiller bearing failure.  Plus Johnson Controls provides service on many different models and makes of HVAC, security, fire, building automation, and other building systems equipment……manufactured by many different companies. Our goal is to complete service calls as quickly and efficiently as possible for our all of customers. The time from the first service call to completion of the repair is dependent upon one or more of the following factors: availability of a technician skilled on the specific type, model and make of equipment to be repaired; availability and access for required repair parts and components; access to the customer’s site (i.e. we may be restricted during school hours when buildings are occupied); availability of specialized services like a crane or equipment insulator if required; and original system design issues affecting desired equipment performance or functionality. When we provide a customer with a repair proposal, an estimated time to complete is included in the document. The key to customer satisfaction is for our service teams to communicate daily with the customer about the status of the repair and the critical milestones to complete the job. In the Service, our teams are focused on zero call backs so fixing it right the first time is a requirement.

41. Please describe the quality program(s) within your company which measures your service work.

Johnson Controls measures the quality of our service work in the following manner:

• **Customer Satisfaction:** First, our service customers are routinely surveyed by an outside firm to determine their level of satisfaction with our service performance. The most important question asked is if the customer would recommend Johnson Controls service organization to others. Customer satisfaction is a key performance indicator for our service branches.

• **Employee Satisfaction:** Annually our employees are surveyed to identify opportunities for our organization to improve. The ability to attract and retain qualified skilled service personnel including service technicians is critical to the long term success of our 120 service branches. One question asked every year is “do you have the tools and resources necessary to complete your job?” We use the information from this question to identify and quickly address issues where our teams, especially our field personnel, do not have the necessary tools, equipment and resources to do their daily jobs. Employee satisfaction is also a key performance indicator across all of our businesses.

• **Manpower Utilization:** Our Computerized Service Software provides details for standard repair/maintenance task including average number of labor hours required. We measure actual vs planned hours to determine productivities and efficiencies. Also, this best practice measure provides important information to support Johnson Controls’ continuous improvement commitment.

• **Call-backs:** Call-backs are sometimes unavoidable but our service centers document and monitor our call-backs to ensure that our service technicians are providing quality service, on time, and cost-effectively.
List your company’s standard scope of work for preventive maintenance visits.

Johnson Controls services for equipment and controls are aligned to the 5 values of planned maintenance. No two facilities have the same service needs. A customized service plan, with a combination of reactive, planned and predictive maintenance strategies, maximizes our customers return on their asset investments and minimizes their risks. Our local service centers develop customized service scopes of work built around the exact building performance requirements and business needs of our customers. The objective is to provide the level of assistance/support required to keep their HVAC equipment and controls efficiently performing at peak levels.

Johnson Controls offers two standard types of preventive maintenance agreements for our customers: basic and premium coverage. The primary difference is that premium coverage includes parts and labor for unscheduled repairs. Typically our preventive maintenance plans consist of a combination of the following services:

- routine, time-based maintenance tasks specific to each type of equipment, average runtime, criticality, OEM’s recommended maintenance procedures and required performance;
- predictive and routine diagnostic tasks to identify potential issues operating issues/conditions that may disrupt the performance of the equipment causing unnecessary downtime and negatively impacting the customer’s business operations;
- remote monitoring of alarms
• special 24/7 emergency service

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>BASIC</th>
<th>PREMIUM</th>
</tr>
</thead>
<tbody>
<tr>
<td>Recommended Number of Visits</td>
<td>4 annual visits (1 operations, 1 comprehensive – customizable to your needs)</td>
<td>4 annual visits (1 operations, 1 comprehensive – customizable to your needs)</td>
</tr>
<tr>
<td>Scheduled Operational Inspections</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Scheduled Comprehensive Maintenance and Code Changes (if applicable)</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Preventive / Unscheduled Service</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Unrelated Repair Parts*</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Unrelated Repair Labor*</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>14/7 or 24/7 Extended Service Hours</td>
<td>Optional</td>
<td>Optional</td>
</tr>
<tr>
<td>After-Hours Emergency Call Center</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>24-Hour Service Program</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Factory-Trained Technicians</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Dedicated Customer Service Representatives</td>
<td>✓</td>
<td>✓</td>
</tr>
<tr>
<td>Customer Portal – Online Access to Service History and Documentation</td>
<td>Optional</td>
<td>Optional</td>
</tr>
</tbody>
</table>

Above is an example of the several of the options available for a controls service agreement. Plus we can easily customize plans to the individual needs of each customer. For example, our technicians can spend 4 hours a week with a customer’s staff to train operators and review the controls’ system performance and alarms.

Below is an example of several options available for mechanical equipment preventive maintenance. Again, this is just a starting point and easily customizable to the needs of the individual customers.

We have similar scopes of work for all the HVAC equipment, fire, security and controls equipment that we service. These standard scopes of work are imbedded into our Computerized Service Software System.

43. List the dollar volume your company completes nationally (or regionally if you responded as such) in HVAC maintenance annually.
As a publicly-owned corporation, Johnson Controls is subject to the full range of regulations by numerous federal and state agencies and other regulatory bodies. All information identified as required to be publicly disclosed (including financial statements) is included in the Company’s Form 10-K annual report, a copy of which is available on the company’s website at: http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html. In addition, we are including the 10k Annual Report for 2015 for your review. The following information is from page 27 of the 2015 United States Securities And Exchange Commission 10–K Form for Johnson Controls. The following information is from the 2015 10k Annual Report:

<table>
<thead>
<tr>
<th>Year Ended September 30,</th>
<th>2015</th>
<th>2014</th>
<th>2013</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net sales</td>
<td>$33,513</td>
<td>$34,978</td>
<td>$33,092</td>
</tr>
<tr>
<td>Products and systems*</td>
<td>5,666</td>
<td>3,771</td>
<td>4,053</td>
</tr>
<tr>
<td>Services*</td>
<td>27,847</td>
<td>29,207</td>
<td>29,039</td>
</tr>
</tbody>
</table>

Services are Building Efficiency’s technical services. A breakdown of the various categories of the types of service available (i.e. HVAC maintenance, fire, security, controls) is not available.

44. Describe your call center organization.

Please refer to the information provided for question #38.

45. Does your company offer a dedicated, 800 number for all locations to place phone and fax orders? Is the Call Center available 24 hours/7 days a week?

Please refer to the information provided for question #38.

46. Describe how service call problems get escalated in emergency situations during and after hours. Who would be responsible in your company for assessing the appropriate course of action to remedy the problem?

Our 120 North America branches are organized to ensure that decision making is local to our customers. The primary responsibility for each branch lies with the Branch General Manager. But our employees are empowered to make decisions in each of their roles....particularly to
ensure that issues are addressed quickly and to the satisfaction of our customers. That empowerment begins on the front line with our service technicians. They are empowered to escalate a service issue to the branch leadership team and if necessary direct to the technical support of the relevant manufacturing unit. Oversight is provided by the Service Branch Manager who reviews all work in progress every day to identify potential problems and remove potential roadblocks to completing a service. Customers can also contact the corporate office at 414-524-1200 or through email if they are not satisfied with our work. When customer concerns are received at this level, a “red” flag is raised and the local branch is immediately contacted and they have 24 hours to respond with a remediation plan.

47. List the steps taken from start to finish in receiving a service call through to completion of repair and invoicing. Include time frames associated with each step.

Johnson Controls utilizes an enterprise software program to create the business foundation for our branch service businesses. This approach ensures standardization and consistency in business processes making it easy for customers with a single site or multiple sites to do business with us. Our enterprise software program is integrated to our other corporate business systems to ensure accuracy and facilitate financial reporting at all levels.

Each of our 120 service branches has a 24/7 service contact number. Interestingly, Johnson Controls has found that our customers prefer to have a local contact for emergencies and service requests rather than utilize a centralized toll free number. We have both contact methods in place to satisfy all of our customers. The local service organization includes dedicated office personnel who receive and process service requests, manage our planned maintenance plan commitments, secure service parts for service work, and invoice. Typically our service work is not invoiced until the work is complete. It is extremely difficult to estimate the time it will take for each step in the service process. Below is a very high level diagram of the process with estimated times. Our local service teams are experienced in balancing the many customer service requests received during the course of the day with the resources and skills available. The objective is to provide each customer with service that meets or exceeds their expectations.
48. What technology such as GPS tracking does your company use to track completion of repairs?

Each service vehicle has GPS to ensure that our technicians respond quickly and safely to all customer requests. The GPS is especially critical in metropolitan areas where traffic issues are routine. In addition, each service technician is equipped with a mobile device that serves multiple purposes: a cell phone; a communication device to send and receive information between the field and the office such as daily time, purchases, job notes, other requests; connects the field technician to Johnson Controls’ technical support; and with the customer’s permission can enable the technician to connect to the customer’s building automation system to remotely diagnose and troubleshoot problems.

49. What is the reputation of your company’s service in the public marketplace?

Please refer to the answer provided for question #17. In addition, attracting and retaining service personnel in our branches is critical to our success and our reputation is a factor that potential employees always research when considering employment with Johnson Controls. In our branch service organizations, the Service Operations Agent is a critical role. This person manages the daily administrative tasks, is the primary interface with customers requesting
service, and coordinates frequently throughout the day with the field foremen to ensure our technician resources are optimally utilized to meet our commitments. This role is very demanding. Here is a public quote from a Service Operations Agent about the challenge and rewards of working at Johnson Controls:

“Call the foreman for my team and make sure all of our service team members were on task for the assignments I arranged for them the day prior. Follow up with customers to ensure that they were satisfied with the service they received. Ordering materials, building field quotes, manage service contracts, working with many vendors and creating purchase orders, invoicing with accuracy, and checking time sheets. I learned that not everything goes as planned and that is life. Do the best you can and never stop communication with your customer about progress. They are the life-source of and lively hood of your fellow employees and the company you represent. I learned that mutual respect is how jobs get accomplished on time and with little conflict. I was upper management and we worked well together with trust and mutual respect. I enjoy working with others and I still have great relationships with the men that I lead. We were a team that got it done. The hardest part of the job was balancing corporate expectations and customer satisfaction. I enjoyed the challenge of my position and being the trusted go to person when the unforeseen happened. My team knew I would get it done no matter what.”

We are proud of our service reputation in the marketplace. Our customers trust us to do what we say we will do.

50. How does your company spread the cost of a Preventive Maintenance contract over the entire year?

Our account procedures require that costs be charged to the contract as they are incurred.

51. Identify the process of receiving a purchase order to the providing of a service contract.

Johnson Controls utilizes an enterprise software program to create the business foundation for our branch service businesses. This approach ensures standardization and consistency in business processes making it easy for customers with a single site or multiple sites to do business with us. Our enterprise software program is integrated to our other corporate business systems to ensure accuracy and facilitate financial reporting at all levels.
Below is a brief overview of the process steps followed with each new service contract.

52. Discuss your company’s current capabilities for energy management system monitoring. Discuss the process involved when resolving a problem associated with an HVAC unit or system where an energy management system is installed.

At Johnson Controls, our Metasys® Building Automation System is the foundation of modern building efficiency. This intelligent, world-class system connects your HVAC, lighting, security and protection systems – enabling them to communicate on a single platform to deliver the information you need, allowing you to make smarter, savvier decisions while enhancing your occupants’ comfort, safety and productivity.

We can monitor and manage customer’s building automation systems through our Remote Operations Center (ROC). This service is described extensively in the answer to question #38. Currently we have over 3000 customers, many of whom have multiple sites across North America. ROC also offers Critical Facility Management to our customers. The ROC has tools to analyze key performance and capacity metrics on mechanical and electrical infrastructure, turning data into information that can be used to improve the efficiency and reliability of the site and meet the customer’s goals and objectives for each site and their overall enterprise. The ROC enables our
Area teams to offer power and cooling capacity planning to their customers who have Critical Facilities.

Many of our customers want to be able to monitor and manage their building systems in-house but need assistance with the data analytics. Johnson Controls is leading the building automation industry in providing innovative cloud building management systems to support our customer, efficiently and cost-effectively. Today our Metasys® Building Automation System provides an extensive portfolio of analytical tools to convert building data into simple, easy to understand information that is quickly actionable. Analytical tools include dashboards, meter analysis, fault analysis, building optimization, and reporting tools. Our commitment is to provide customers with a building automation system that is easy and simple to manage and at the same time provides imbedded analytics that enable them to optimize the operations of their facilities.

53. List the number of sites your company currently monitors Energy Management Systems.

We can monitor and manage customer’s building automation systems through our Remote Operations Center (ROC). This service is described extensively in the answer to question #38. Currently we have over 3000 customers, many of whom have multiple sites across North America.

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54. List your company capabilities regarding system changes and repairs to EMS systems.

Our local service branches have dedicated Controls Technicians who are trained on multiple building automation systems. For customers who have Metasys®, our technicians are able to connect to the customer’s system from any point on the internet with the customer’s permission. From that point, the technician can troubleshoot, diagnose and many times adjust the system parameters to address operational issues. Our local service branches and our customers have quick access to replacement parts to ensure their building automation systems are quickly returned to 100% operation. Please refer to answer for question 26 for additional details on parts. Also our answer to question 26 provides information about our BAS board repair capabilities.

Repair services are available 24/7 to our customers.

55. List the reporting capabilities your company has for EMS system parameters.

Metasys® integrates to our customers’ equipment and building automation systems (both Johnson Controls and other manufacturers) providing a single window to facilities. Metasys® gather information, visualizes the information in simple intuitive formats and analyzes the data to facilitate building optimization. Simply, Metasys® enables data to become intelligence. Customers can manage view their facilities real-time and print reports for documentation and compliance.

Metasys® standard reports are divided into the following categories:

- Configuration setup
- System behavior (alarms, events, details)
- Energy Essentials (consumption, runtime, load profile, energy costs)
- Trend Reports
- Trend Details Reports

In addition to reports, dashboards provide real-time data and analytics to facilitate quick but informed decisions regarding building operations directly affecting the comfort, safety and health of the building occupants. Our customers can access Metasys® from any point on the internet to view the dashboards. In addition, many of our public sector
customers are installing our Green Kiosks as a public-facing view of their facilities’ performance. The Green Kiosk informs and creates energy efficiency and environmental awareness for both building occupants and their customers through motion graphics and real-time information.

We collaborate with our customers to ensure that dashboards and reports are aligned to their operational needs and desired outcomes. Our tools help our customers work smarter and more efficiently.

56. Does your company maintain and repair/replace EMS in-house (self-perform) including monitoring, alarm resolution, repairs and adjustments?

Yes, Johnson Controls has complete capabilities to operate, maintain, service, monitor, adjust, and replace EMS systems in house. Each of these services have been described in detail in answers to previous questions.

57. Describe your process for troubleshooting a problem (HVAC, lighting, etc.) at a site with an EMS system. How does the repair get escalated for service?

Our building automation technicians utilize the customer’s EMS systems extensively to troubleshoot problems with equipment and devices connected to the system. One of the primary functions of an EMS system is to facilitate troubleshooting of system problems through trend data, status data, events, alarms, etc. The extent to which our technicians can troubleshoot is dependent upon the EMS system and its capabilities. Our building automation technician will handle the service call from initial troubleshooting, diagnostics to completion of the repair. If the technician requires additional support, our corporate Technical Service Department can be contacted. Our standard service processes form the basis of how we execute our service work.

Our 120 North America branches are organized to ensure that decision making is local to our customers. The primary responsibility for each branch lies with the Branch General Manager. But our employees are empowered to make decisions in each of their roles…particularly to ensure that issues are addressed quickly and to the satisfaction of our customers. That empowerment begins on the front line with our service technicians. They are empowered to escalate a service issue to the branch leadership team and if necessary direct to the technical support of the relevant manufacturing unit. Oversight is provided by the Service Branch Manager who reviews all work in progress every day to identify potential problems and remove potential roadblocks to completing a service. Customers can also contact the corporate office at 414-524-1200 or through email if they are not satisfied with our work. When customer concerns are received at this level, a “red” flag is raised and the local branch is immediately contacted and they have 24 hours to respond with a remediation plan.

58. Describe your company’s startup and system check-out responsibilities.

Standard startup and check-out procedures are available online for our HVAC equipment. Typically, the installation and startup of building automation control systems’ installations and upgrades is included in Johnson Controls scope of work. Frequently, our customers’ technicians
will participate in the startup and testing of the system to familiarize themselves with the software and how it functions. When the BAS replacement parts are installed, that task can easily be accomplished by most of our customers. The required information is included with the product documentation. In addition, the customer contact Johnson Controls either locally or at the corporate level for real-time assistance.

Our customers also have the ability to manage and update their graphics at any time. The Graphic Generation Tool allows operators to create and modify graphics and includes an extensive library of pre-built templates to make the process simple, easy and quick. This tool also allows you to command and update points on the graphics and organize the information to align to your facility structure and operation.

We offer two Metasys® Tools to assist customers with system configuration. Our System Configuration Tool supports engineering, installation and commissioning to enable offline generation of the site and user interface creation of the system, including point naming, schedule trend log definition, integration of N1, N2, BACnet® and LONWORKS®, and more. Also available in a remote version, our SCT manages archive database maintenance for network engines and data servers.

The Controller Configuration Tool functions as the interface for a field equipment controller’s logic, providing visually intuitive screens for programming. Our CCT offers multiple interfaces, like the System Selection Wizard, Sideloop Wizard, and Logic Interface. Features include:

**CCT Features**

- Capability to customize standard control system logic that is created from simple system selection trees
- Consistent user interface across the Configuration, Simulation, and Commissioning modes, with the option of using perspectives to customize the UI display
- Flexible connection capabilities for loading and commissioning controllers; ability to download, upload, and upgrade multiple controllers at once

**SCT Features**

- Generate and simulate the system in offline mode (simulation is available in the local version only)
- Use step-by-step wizards to assist with system configuration

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• Quickly and easily recreate the Site's archive database with Site Discovery if the archive is missing, corrupt, or was never maintained
• Conveniently import and export the archive database for databases at Release 5.2 or later
• Download the software image (code) of a supervisory device without the NAE/NIE Update Tool
• Apply patches to NxE55 and NxE59 devices at Release 6.5 or later

Johnson Controls will be happy to provide additional detailed startup and checkout information for any of our HVAC equipment or controls.

59. Describe your company's post-installation and warranty support.

Johnson Controls has 120 service centers and over 6000 skilled technicians across North America. Our offices are open daily from 8:00 am to 5:00 pm plus we offer 24/7 service to our customers. Our service phones are covered after hours and technicians are available for dispatch 24/7 to address our customers’ building issues after installation and warranty. Each service center provides a full range of products and services to serve our customers.

Our customers can also access replacement part information on our external customer website at http://www.johnsoncontrols.com/buildings/replacement-parts-and-supplies. They can find information about airside, building controls, chiller, light commercial, condenser and outdoor packaged unit parts.

60. Describe your company’s steps for systems analysis.
In addition to the extensive portfolio of analytical tools and resources described in other answers (Remote Operations Center, Metasys® ®), Johnson Controls offers the following products and services to help our customers analyze their building systems:

61. Discuss your company’s current computer system architecture. How does your company’s computer system guarantee customers receive consistent service support, HVAC responsibility verification and management reporting?

Johnson Controls’ Service Maintenance Management System (SMMS) is an enterprise software platform serving our branches. This software ensures compliance with every step in our service standard operating procedures. The reporting function supports every aspect of the daily management of our service businesses. The software has imbedded checks and balances that ensure any potential service issues are rapidly escalated for resolution to service management. Since our SMMS is an integrated enterprise platform, key corporate departments like accounts payable, accounts receivable, Regional and Corporate Service Operations Leadership, and Finance have visibility into the local branch service organizations. Customers are routinely requested to validate in writing that the requested services have been provided to their satisfaction. For our service agreement customers, reports are routinely provided about equipment condition, what PM tasks have been completed, and potential issues operating issues identified. This “value report” may also include recommendations for equipment upgrades and replacements to assist with the capital planning process. When customers use our Remote Operations Center (ROC), they receive regular activity reports, alarm information and service call reports. The ROC also utilizes specialized software tools to analyze building and equipment performance to provide insights into future budgeting needs.

Both our SMMS and the ROC ensure closed loop service procedures and consistent performance across our 120 service centers in North America.

62. What does your company do to ensure bills are received from service centers within a reasonable time frame and issued to government entities for payment?
Service invoices are completed by the local branch and immediately forwarded to be mailed or emailed to our customers. We do not subcontract invoicing to a third party. Invoices are expected to be finalized within 24 hours of completing the service.

63. Explain how your company qualifies/certifies its service centers and what types of checks are performed to ensure standards are upheld.

All of our service centers are owned and operated by Johnson Controls. Each is held to the standards established in our extensive Business Operating Procedures that have been vetted and approved at all levels within our organization. To ensure compliance, there are checks and balances built into our corporate business systems (including the SMMS) that all of our branches are required to use. Every year, internal and external auditors select a cross section of field offices (service centers) for a detailed audit of all functions including service. The audit schedule is established to ensure that every office is audited on a standard rotating schedule. The audit report is submitted to Corporate and to the branch leadership team for corrective actions as required. The completion of required corrective actions is tracked and documented. Johnson Controls is committed to accurate financial reporting and customer satisfaction.

As a publicly-owned corporation, Johnson Controls is subject to the full range of regulations by numerous federal and state agencies and other regulatory bodies. All information identified as required to be publicly disclosed (including financial statements) is included in the Company’s Form 10-K annual report, a copy of which is available on the company’s website at: [http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html](http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html). Our shareholders are entitled to full transparency from Johnson Controls.

64. Is warranty coverage dependent upon using your start-up procedures?

We have an extensive portfolio of products and services ranging from highly specialized industrial refrigeration and applied chilled water systems to building automation controls to residential HVAC equipment. Our standard warranty language for our direct commercial business is included below. Our product documentation includes standard startup procedures that we recommend be followed to ensure equipment is not damaged by improper procedures. For applied equipment, we highly recommend that startup be performed by a Johnson Controls or a partner’s certified technician. Each of our service centers employs technicians who are factory trained and certified.

**LIMITED WARRANTY.** Johnson Controls, Inc. (JCI) warrants all products manufactured by JCI or sold under its name to be free from defects in material and workmanship for a period of three (3) years from the date of sale. Selected products offer warranty periods greater or less than three (3) years. Reference the product specific warranty details for these selected products. The date of sale must be established by a receipt showing the purchase date, seller and product sold. If the date of sale cannot be determined, the warranty shall be determined by the date of manufacture. This warranty does not extend to goods subjected to misuse, neglect, accident or improper installation, or to products which have been altered or repaired by anyone except Seller. Buyer, or any person receiving such a product during the duration of the warranty, shall contact the nearest Johnson Controls Product Provider or Johnson Controls, Inc. Customer Service at 1-800-275-5676 as soon as any defect becomes known, for instructions on returned goods procedures.
on the installation of our HVAC equipment and controls. When we provide equipment direct to a customer, we frequently include an option for factory startup and/or assistance.

We are also committed to providing training to our customer to enable them to efficiently self-perform all types of work from routine service, to minor and major repairs, to startup and commissioning. We offer both formal classroom training and self-paced courses.

For over 60 years, the Johnson Controls Training Institute has provided formal classroom training for building owners, building managers, engineers, operators and maintenance technicians. Our training services help our customers to turn training into practical skill and are available from 11 different locations across the country. The Institute also partners with engineering schools, technical colleges and experts in the building industry to provide a high-quality learning experience that reflects not only where the industry is today, but where it is going in the future. Our cost-effective programs are designed for anyone who needs a working knowledge of environmental and building systems.

For those customers who desire a self-paced approach, we have interactive CD-ROMs, instructional videotapes and self-study workbooks that offer flexible, effective, cost-efficient opportunities to build knowledge and skills. Students can learn in the convenience of their own home, office or work location using Johnson Controls Training Institute Learning Packages.

After completing a sponsored course, Johnson Controls supports graduates with Continuing Education Units (CEU). The CEU is a nationally recognized unit of measure for continuing education and training programs that meet established criteria. By offering this credit our customers can ensure that their training investment can be put to practical use as a recognized qualification. The HVAC training institute also maintains permanent records of course completion and can issue students transcripts on request. Successful completion is based on attendance and the ability to demonstrate the intended learning outcomes as part of HVAC training.

Details for 2016 courses offered by The Johnson Controls Institute and available interactive courses can be found at http://www.johnsoncontrols.com/buildings/services-and-support/hvac-training.

65. Who performs your startup procedures?

Please refer to the answer provided to questions #64.

66. List the total dollar volume your company completes in HVAC retrofits annually.
As a publicly-owned corporation, Johnson Controls is subject to the full range of regulations by numerous federal and state agencies and other regulatory bodies. All information identified as required to be publicly disclosed (including financial statements) is included in the Company’s Form 10-K annual report, a copy of which is available on the company’s website at: http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html. Below is an excerpt from the Form 10-K regarding our HVAC retrofit volume:

“Building Efficiency sells its control systems, mechanical equipment and services primarily through the Company’s extensive global network of sales and service offices. Some building controls, products and mechanical systems are sold to distributors of air conditioning, refrigeration and commercial heating systems throughout the world. In fiscal 2015, approximately 65% of Building Efficiency’s sales were derived from HVAC products and installed control systems for construction and retrofit markets, including 14% of total sales related to new commercial construction. Approximately 35% of its sales in fiscal 2015 originated from its service offerings. In fiscal 2015, Building Efficiency accounted for 28% of the Company’s consolidated net sales.”

67. List the other functions your company can provide regarding unit replacement to turnkey project (ex. Electrical, sheet metal, EMS system connection & programming, etc.)
Johnson Controls is a global company with sales in excess of $37 billion. Unit replacements under the NCPA and Region 14 ESC Agreement will be provided by our Systems and Services North America business unit which is part of Building Efficiency and accounts for approximately $4.4 billion dollars of net sales in 2015. This information can be located at the following site: [http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html](http://www.johnsoncontrols.com/content/us/en/investors/sec_filings.html). Our 120 branch or service center locations are able to offer our customers an extensive portfolio of HVAC products and services to support any type of equipment project. These products and services include:

<table>
<thead>
<tr>
<th>Products/Services Provided by the Branches</th>
<th>Products/Services Provided by the Branches</th>
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<tr>
<td>• HVAC equipment</td>
<td>• Connected services (Chiller MD)</td>
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<tr>
<td>• VRF</td>
<td>• Diagnostic &amp; predictive services</td>
</tr>
<tr>
<td>• Pumps</td>
<td>• Mechanical installation</td>
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<tr>
<td>• VFD</td>
<td>• Sheet metal*</td>
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<tr>
<td>• Building automation system</td>
<td>• Piping*</td>
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<tr>
<td>• Security</td>
<td>• Low voltage wiring*</td>
</tr>
<tr>
<td>• Fire</td>
<td>• Building Systems Integration (simple to complex)</td>
</tr>
<tr>
<td>• HVAC controls</td>
<td>• Technology refresh installations (we have a network of Technology Alliance Partners)</td>
</tr>
<tr>
<td>• Refrigeration</td>
<td>• Building &amp; safety audits</td>
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<tr>
<td>• Air systems</td>
<td>• Demand Response</td>
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<tr>
<td>• Replacement parts</td>
<td>• Distributed energy storage</td>
</tr>
<tr>
<td>• Design &amp; construction services</td>
<td>• Training</td>
</tr>
<tr>
<td>• Financing</td>
<td>• Facility optimization</td>
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<tr>
<td>• Energy &amp; efficiency services including self-funded performance contracts</td>
<td>• Central plant optimization</td>
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<tr>
<td>• Online products catalog &amp; selection tools</td>
<td>• Public Private Partnerships alternatives (P3)</td>
</tr>
<tr>
<td>• Remote Operations Center (ROC)</td>
<td>• Rental Solutions</td>
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<tr>
<td>• Full service offerings: preventive maintenance, 24/7 emergency service, repairs, replacements, new installations</td>
<td>• Lighting systems design, installation &amp; service</td>
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<tr>
<td>• Equipment engineers</td>
<td>• Water systems design, installation, service</td>
</tr>
<tr>
<td>• Building Automation engineers</td>
<td>• Environmental &amp; energy efficiency curriculum</td>
</tr>
<tr>
<td>• Building Automation technicians (programmers, installers, service, commissioning)</td>
<td>• Student and community engagement programs</td>
</tr>
<tr>
<td>• HVAC equipment &amp; controls Equipment startup</td>
<td></td>
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</tbody>
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*offered by specific branches with in-house resources
68. Explain how your company would propose a planned unit replacement program including how units would be identified for replacement and how pricing would be addressed.

Our first step is to involve the local sales engineer and branch subject matter experts to participate in the development of this opportunity. An initial meeting is scheduled with the customer to understand their business requirements and expectations for this project. We will have our sales engineer and service technician inspect and evaluate the units designated for replacement. Plus Johnson Controls will also want to fully understand key project information such as the customer’s desire to use the NCPA and Region 14 ESC Agreement, proposed procurement approach, customer approval process, and proposed funding. If our customer would like explore financing options offered by Johnson Controls, our local branch will engage our Structured Finance Team to contact the customer’s business officer or Chief Financial Officer to review options from standard 3 -5 year lease to own to contingent payments. Below is a high level overview the process. Each opportunity is unique and our local teams are experienced in working and delivering projects of any size in the public sector. We consider safety in the work place to be our first consideration at all times. Our safety training and policies will be covered in questions 80-83. We also want to understand each customer’s unique safety requirements that must be followed by our personnel and any subcontractors that we employ.

We will engage the customer early in the process to identify trusted preferred subcontractor partners who are already doing business with the customer…..whenever possible, we will want to use partners who are familiar with the site and the customer’s operating procedures. However, each subcontractor has to evaluated by Johnson Controls, provide proof of bonding capabilities and meet our requirements for insurance. Our commitment to our customers is to provide a quality project, safely, on time and within budget, exceeding their expectations.

All proposals are reviewed internally for price, scope of work and time commitments. We require a risk log be completed on larger projects to ensure that we have remediation plans in place for the contract or purchase order is received. If the customer has indicated that we will be using their terms and conditions, then Johnson Controls must approve before a final commitment can be made on the project. Our Business Operations Systems policies include a standard
Designation of Authority matrix detailing the required approvals for different levels of volumes of purchases, sales, etc.

69. Describe what project scheduling tools your company uses to track projects during construction.

Johnson Controls primarily uses Microsoft Projects as our scheduling tool. During the project planning period, our team is tasked with preparing and finalizing plans for execution of work. The planning, execution, control and closeout phases are entered into the project plan using Microsoft Projects. Typical tasks for each phase are outlined to the left. A large project can involve hundreds of tasks. Whether the project is large or small, our execution team utilizes standard checklists throughout as guides and compliance documents.

Typically, the project plan is updated daily by the Project Manager and routinely shared with the customer’s team.

We also have the capability to utilize other brands of project tools if requested by the customer or their design or construction teams.

70. How does your company make the proper equipment selection on a turnkey or energy retrofit contract project?
Equipment selections are made based on a conversation with the customer. We select their equipment based on their prioritization of features, efficiencies, etc.

1. In many cases the selections are “like for like”. When possible, the “like for like” equipment selection will include improved efficiencies, quieter sound, improved reliability, improved response time to building loads, and wider range of operation.

2. When the customer is interested in upgrading their facility, we will work with a customer-approved consulting firm to provide optimized selections that meet the upgraded criteria.

We will provide energy analysis to help customers decide between various equipment selections. The analysis will help the customer determine the optimum Return On Investment (ROI) that meets the expectations of their organization.

71. Describe how your company handles site development and project permitting process.

In addition to the information included in the answer to #69, site development and project permitting processes are identified during the initial scope and estimate development process to ensure that all parties are clear regarding who has what responsibilities and what costs are included and not included in our final proposal. The customer is intimately involved in these discussions along with any additional partners (vendors, subcontractors, customers' engineer, etc.) who are part of the development and execution of this project. Typically if Johnson Controls is acting as the prime contractor for an owner direct retrofit project, the responsibility for site development and project permitting will be our responsibility. The execution of these tasks occur during the Execute Phase of the project.

72. Describe your company’s design build quality control guidelines for design, construction, and review on a turnkey or energy retrofit contract project.
Our overall quality strategy and approach are described in the answer to question #14. Quality control begins during the Sales & Development phase of a project. During this time, the foundation of the Quality Control & Assurance Plan is begun. In our answer to question #69, you will see how Johnson Controls builds upon this foundation throughout the execution of the project to ensure customer satisfaction. The key to quality are planning, communication, inspection, and documentation.

73. What is your company’s design approach and philosophy for a turnkey or energy retrofit contract project.

Johnson Controls starts every project by listening to the customer FIRST. We want to understand their mission, business needs, current challenges, and desired business outcomes. Our research indicates that many of our customers have common goals for building projects. They want the functionality delivered on the first day of operation as intended. They want to minimize both the initial capital investment and the on-going life cycle costs. They expect efficient ongoing support from their partners. They want Johnson Controls to use our product expertise and market knowledge to provide solutions that will optimize the value of their assets. And last but not least, they want solutions that are sustainable, efficient and eliminate waste. Our philosophy to construction partners is to be a business partner and a subject matter expert in innovative HVAC equipment, controls, security, fire and technology building solutions.
To ensure consistency in quality and delivery across our branches, our field teams follow standard processes for sales, project design/development, execution and service. We have shared part of our standard processes in the answers to questions 69 and 72. Project design begins in the Qualify phase of the sales process and continues through Discover (project development) all the way to Project Close-out. For turnkey and energy retrofit projects, Johnson Controls is typically assuming the role of the prime contractor therefore we collaborate closely with the customer/owner to define the project, the procurement process, building systems design criteria, pricing approach, installation requirements, timeline, commissioning requirements, warranties, and on-going service.

As the prime contractor, we encounter situations where the customer’s key stakeholders are not clear on the project’s priorities. As part of the design approach, we must first assist our customer to define their priorities and to ensure that the customer has sufficient funds budgeted to address all of their priorities. As the prime contractor for turnkey and energy retrofit projects, we are committed to minimizing change orders so it is very important that the project design is right the first time. Johnson Controls offers Innovation Services to help our customers make these important project design decisions. Our Innovation Services Team has the in-house expertise to provide professionally facilitated sessions where the customer’s key stakeholders come together to discuss their needs, exchange ideas, and through a consensus approach, decide on the top priorities for the proposed project. Our Innovation Services Team can provide the following types of sessions: facility planning; security; sustainability; technology planning; risk management; and workplace design. Over the last 15 years, schools, colleges, universities, hospitals, and local government customers have taken advantage of our Innovative Services as a project pre-planning tool.

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74. Describe your company’s construction management plan.

The Operations Handbook for Delivering Successful Projects is Johnson Controls’ standard Construction Management Handbook for turnkey and energy retrofit projects. This guide provides a roadmap of guidelines, procedures, and best practices to effectively manage projects of any size. The Handbook functions as:

1. A guide to manage projects using Johnson Controls’ CM Methodology
2. A practical resource for information regarding CM applications
3. A roadmap to other available resources and tools

This handbook is meant to increase the construction manager’s efficiency and set standards for professional delivery of projects using consistent format throughout Johnson Controls geographic locations. Application of the practices from the Handbook satisfy project contract requirements, and provide guidance for delivery projects on time, within budget and exceeding the customer expectations.

The processes and tasks described in the answers to questions 69 and 72 are direct from this Handbook.

75. What is your standard warranty on installation?
JCI’s standard labor warranty is one (1) year from Substantial Completion. Parts and labor for specific components may differ.

76. What is your standard warranty on energy retrofit contracting?

JCI’s standard labor warranty is one (1) year from Substantial Completion. Parts and labor for specific components may differ.

77. Do you differentiate your company’s standard warranty if financing is part of the contract? If so please describe.

Typically warranties are not affected if the project is financed. However, if the finance company or the customer requests changes to the standard warranty terms and conditions, then Johnson Controls is open to negotiation.

78. State whether your company provides a quality guarantee on your service. If so please describe.

Service repairs have a standard labor warranty of 90 days.

79. What states would your company not honor pricing on services for this contract, in the event that this contract is made available in all states?

We will honor pricing in all states to customers who are customers of NCPA, commit to using the NCPA tool to purchase HVAC Equipment, Products and Services and so indicate on their purchase order to us.

SAFETY

80. Describe your company’s safety program during service/repair work.

Johnson Controls has a robust and rigorous Safety Program that is adhered to by all personnel in all work locations. The standards and requirements set forth in this document apply to service/repair work, construction work, energy retrofits, and turnkey projects. Finalizing the site specific safety plan for projects is a key task during the Planning phase of our Construction Management process. However, conversations with the customer begin much earlier during the sales and project development phases. We must understand the customer’s safety program and Emergency/Crisis Management Plan to ensure that we are 100% aligned as partners before any work begins. The safety plan is designed to align to the most strenuous requirements of both Johnson Controls and the customer’s plans. The safety plan must also include specific plans to address the issues/risk log that is created for each project and reviewed by our Management team.
before the final proposal is presented to the customer. Below is a detailed overview of Johnson Controls’ Safety Program.

**Corporate/Controls Group Safety Objectives:**

The Johnson Controls’ corporate vision states, “Our products, services and workplaces reflect our belief that what is good for the environment and the safety and health of all people is good for Johnson Controls.” In support of this vision, the Controls Group and Systems and Services America (SSA) along with the Region management teams are strongly committed to providing a safe work environment for all employees. The philosophy and objectives behind this commitment are:

- The safety and health of all Controls Group employees and the environment is a top priority that is critical to the success of the Controls business.
- The only acceptable level of safety performance is one that prevents employee injury and accidents.
- Safety is the responsibility of every Controls employee, equal to customer satisfaction, quality, profitability, and efficiency.

**As a condition of employment, each individual within the organization is expected to conduct their daily activities in a manner that is consistent with these objectives.**

**Systems and Services North America Program:**

**Program Overview:**

It is the goal of Johnson Controls to continuously improve safety performance, and to eventually eliminate work-related accidents and injuries. Because of the many hazards associated with our business, we recognize that the elimination of injuries may be difficult to achieve, but as an organization, we are strongly committed to taking the action required to attain this goal. To achieve this goal, constant safety awareness is promoted and maintained through all phases of field work, from planning to execution, with emphasis placed on following safety rules and the safe work practices defined in the SSA safety program. Johnson Controls has a comprehensive safety program that addresses injury prevention along with applicable US and Canadian safety requirements. Each Region maintains a written safety program. The information is also contained in the SSA Safety Program manual, Employee Safety handbook, Supervisor Safety Training handbook, and Subcontractor Safety handbook, which are updated and distributed to the Regions/employees accordingly. These materials are developed and produced by the Controls Group Safety & Health team in Milwaukee, WI. The materials are also available to field offices and employees through the Safety homepage on the employee portal—the Johnson Controls’ intranet.

**Safety Communications:**

Formal safety plan communication is conducted at Safety Committee meetings held twice a year at each of our Regional locations. Attendees include the Regional Manager, Regional Service, Regional Installation, and Regional Sales Managers, along
with the Regional and location Safety Coordinators, and a member of our Controls Group Safety and Health team from Milwaukee. These regular meetings are a forum to deploy the latest Group safety program and training materials such as training programs, manuals, handbooks, and internally produced videos that provide each Region with a step-by-step process to implement and maintain their safety programs. Additionally, the most recent safety and injury trends are reviewed with the committee, along with the Region’s standings on the business unit metric (see Measuring Safety Performance below).

**Safety Training:**

For injury prevention, it is critical that employees understand the hazards and potential hazards they could encounter when working on the job. The SSA Safety Training Program focuses on the identification of hazards specific to Johnson Controls work, and the safe work practices necessary to eliminate or control the hazardous conditions identified. As part of the annual or monthly training, employees are encouraged to discuss individual safety experiences on what has and hasn’t worked from their perspective. To the extent that lessons learned play a role in accident prevention, employees can save their co-workers from potential injury by discussing these experiences along with their accidents or near-misses. Through training and discussion, the idea is to help employees develop a personal stake in the process of making a worksite safer.

Field supervisors receive safety training at a minimum of annually during a kick-off session held during the first quarter of the fiscal year. In addition to a review of relevant safety issues and Area office safety metrics, a train-the-trainer session is conducted for field supervision. In this session, the supervisor learns to conduct the annual safety training for their employees (down to the specific topics chosen for the year), along with the process and resources for conducting and documenting monthly toolbox training.

At a minimum, team leaders conduct toolbox safety training for their team on a monthly basis. A “Toolbox of the Month” topic is posted on the Advisor Safety homepage and is retrieved by the team leader to conduct the training. The “Toolbox of the Month” format is used as a means to convey recent Group/Area safety issues, injury information and other up-to-the-minute safety topics. Each quarter, the supervisor completes a safety checklist in place of a toolbox session. This checklist is used to validate each employee’s understanding of the safety training topics discussed earlier in the year. The checklist is on Advisor, in place of the Toolbox of the Month topic each quarter. The completed checklists are documented the same way as monthly toolbox training. Additional toolbox topics are also available on the Advisor and in handbook format. These topics are used by the supervisor to either supplement the Toolbox of the Month, or to provide training on an as needed basis based on the type of work being performed, the environment, and/or customer requirements.

**Measuring SSA Safety Performance:**

The Safety Performance Rate or “SPR” referenced above is used to measure each SSA Area office and supervisor’s safety performance. The metric measures three safety components for each Area: Accident frequency (both lost time and medical only injuries), workers’ compensation costs, and the status of the Area’s safety program including employee safety training. Each of the three categories are assigned a point value, giving
each Area an opportunity to earn a total of 500 points. To determine the Area’s score in the first two categories—accident frequency and workers’ compensation cost containment, a minimum improvement goal (MIG) is set for each at the start of the FY, to which they must remain below to be awarded points. The MIG’s are based on each Area’s three-year average experience in each category as compared to SSA’s overall, minus an improvement factor of 20%. For the third component—status of safety efforts, points are awarded to Areas having implemented and maintained SSA’s safety program and training requirements. This category contains the largest portion of the points for the SPR metric overall (85%), the majority of which can be earned by each supervisor conducting their monthly safety toolbox and annual classroom training for their team.

The “real-time” SPR standings for SSA overall along with each Area, is available to anyone with access to the Johnson Controls Intranet (Advisor), by going to the safety home page. The information posted includes the Area’s category and total scores YTD, along with each supervisor’s monthly safety training percentages, and injury frequency and trend charts for SSA and each Area. At the end of the FY, eligible Areas will receive an award based on their overall SPR score in relation to the following award levels: Platinum, 500 pts., Gold, 495 to 499 pts., Silver, 490 to 494 pts., and Bronze, 480 to 489 pts. Safety training awards are also presented to those areas finishing the FY at or above the monthly training goal of 100% and annual training goal at 100%.

Corporate Metric:

The safety performance of Systems and Services North America is also measured against the other nine business units that make up Johnson Controls worldwide. Referred to as the “JCI Rate” or “Injury Free Rate”, the metric focuses on the percentage of employees who do not get hurt rather than the percentage of those who do. The monthly completion of safety program self-audits is incorporated into the metric as well.

We make sure all our field technicians arrive armed with the proper safety equipment, as well as the training to execute their tasks. Each employee, including managers and sales representatives, are provided with personal protective equipment (PPE) to prevent injury to head, hands and eyes. In addition, every field employee exposed to live electrical components carries arc/flash PPE as well. These measures ensure the safety of our employees and their surroundings – your workplace.

81. Describe your company’s safety program during construction.

Please refer to the answer to questions #80.

82. Indicate the number of lost hours or other benchmarks to verify your company’s effectiveness of their safety record.
83. What reporting mechanism does your company provide to the customer upon completion of any project?

Whether the project is large or small, Johnson Controls communicates daily with customers regarding potential safety issues that may endanger their employees, building occupants, our personnel or anyone visiting the site. Potential issues are communicated verbally and in writing. For construction projects, safety and safety training are standard agenda items for routine job meetings. We ensure that everyone working on our projects (subcontractors, customer employees, etc.) are properly trained and utilizing appropriate PPE while working on our projects. Every employee has not only the right but also the responsibility to STOP WORK when they discover anything that puts their safety or the safety of others at risk. Each month, we highlight field safety success stories to reinforce this message. Below is an example of a routine communication to a service customer that was highlighted in March.

What do you call a fixed ladder that isn’t fixed? We call it a STOP WORK situation!

Below is an email sent to a customer by a Johnson Controls Service Technician to report a safety issue that needed to be addressed.

Good Afternoon Jim,

This morning while on a site visit at Brandon Primary I found that the vertical fixed ladder that leads up to the roof is missing 6 of the 10 anchors that should hold it to the wall. This ladder constitutes a safety hazard and this email serves as a stop work notice until the ladder is properly attached to the wall. We can continue work on other parts of the site but neither JCI employees nor their subcontractors will use this ladder in its current condition. Therefore we have no access to complete any roof work at this time. Please pass this information along to the GC so that proper repairs may be completed. Also please notify me when this has been resolved so that we may inspect the ladder to lift the stop work notice.
Thank you for your assistance in this matter, safety is the highest priority at Johnson Controls and we look forward to completing the project safely.

MARKETING/SALES

84. Detail how your organization plans to market this contract within the first 90 days of the award date. This should include, but not be limited to:

- A co-branded press release within the first 30 days
- Announcement of award through any applicable social media sites
- Direct mail campaigns
- Co-branched collateral pieces
- Advertisement of contract in regional or national publications
- Participation in trade shows
- Dedicated NCPA and Region 14 ESC internet web-based homepage with:
  - NCPA and Region 14 logo
  - Link to NCPA and Region 14 website
  - Summary of contract and services offered
  - Due Diligence Documents including: copy of solicitation, copy of contract and any amendments
  - Marketing materials

Upon award of the contract there will be a robust communication strategy to promote the contract both internally and externally. One of the most significant internal changes that is currently underway is that the NCPA contract is being moved into the national GPO program with increased visibility across our branches and customers, additional enterprise resources and a dedicated intranet site, and additional program administration support for identification of new leads and business expansion. In addition to promoted awareness there will be ongoing sales training resources and opportunity support, standardized customer collateral that helps to communicate the value proposition and benefits of purchasing off the NCPA agreement, and regular business reporting for visibility into pipeline opportunities and recently won work.

Key elements of the planned communication strategy include:
- Announcement of award through multiple marketing and customer awareness channels (email, social media, print)
- Co-branded communications both internally and externally
- Participation as applicable in national publications and trade shows

85. Describe how your company will demonstrate the benefits of this contract to eligible entities of awarded.
Johnson Controls has standardized on SalesForce.com (SFDC) as our Customer Relationship Management tool for Building Efficiency. SalesForce.com unifies all of our customer data, sales contacts by job function, sales opportunity information, sales history, leads received at trade shows, and account plans across our Systems, Services and Energy Solutions businesses into a single data base. SFDC is a tool that enables us to quickly and efficiently contact specific vertical market customers to communicate news releases (either using email or regular mail). We will create a marketing tool set for the NCPA and Region 14 ESC Agreement to distribute to our field teams and to use in a direct mail campaign. Included in the tool set will be marketing materials that highlight the following customer benefits to encourage our customers to utilize this agreement to procure their HVAC products and services needs:

- Simple and easy to use process
- Agreement piggy-backs on Region 14 ESC contract and ensures that a competitive procurement level has already been met
- Membership is free to the public sector customers
- Pricing structure is simple and straightforward and already includes all applicable fees (no additional add-ons to pricing)
- Labor pricing structure is based upon local published Johnson Controls labor rates; this approach ensures that labor rates are competitive in the local economy
- Eliminates the additional costs incurred by our public sector customers when they follow the traditional Design/Bid/Build process.....costs incurred to prepare and issue bid specifications plus the time required to evaluate and award contracts; a traditional Design/Bid/Build approach frequently does not meet a customer’s need to have HVAC repairs and/or replacements completed by a specific time

Also included in our tool kit will bed case studies with endorsements from Johnson Controls customers who have used the NCPA agreement to purchase from Johnson Controls and were very happy with the process.

With SFDC, we can create a monthly newsletter to our public sector customers to keep the benefits of using the NCPA and Region 14 ESC agreement in front of our customers throughout the year. We would target our messaging to resonate with department managers, procurement personnel and the primary business official for our public sector customers.

Johnson Controls communicates monthly to our Energy Solutions existing and potential customers through our Silver Bullet Marketing campaign. We will include a reference to the NCPA agreement in monthly communications that align to the products and services covered by this agreement.

Our primary opportunity to connect with customers regarding the benefits of the NCPA and Region 14 ESC Agreement is through our field sales personnel. Training our sales personnel on this agreement must be a top priority. We will leverage the expertise of the NCPA team to help guide these efforts to ensure that our teams are comfortable with how to present the NCPA and Region 14 ESC Agreement to their public sector customers.
86. Explain how your company plans to market this agreement to existing government customers.

In addition to our marketing plans outlined in the answers to #84 and #85, we will leverage our partnerships with the public sector professional organizations we support both nationally and regionally. Below are several of the organizations where Johnson Controls maintains a relationship...many of our competitors simply have a booth at annual trade shows. Johnson Controls believes that a strong relationship with the members of each organization is dependent upon our attendance at local meetings, and providing training and informative seminars as the organization’s HVAC subject matter expert (we have training not only on HVAC, but also on leadership skills, sustainability, green buildings, etc.). Johnson Controls is a thought leader and recognized for our innovation...we are able to take the future of HVAC to our customers today.

87. Provide a detailed 90-day plan describing how the contract will be implemented within your company.

Upon award of the contract there will be a robust communication strategy to promote the contract both internally and externally. One of the most significant internal changes that is currently underway is that the NCPA contract is being moved into the national GPO program with increased visibility across our branches and customers, additional enterprise resources and a dedicated intranet site, and additional program administration support for identification of new leads and business expansion. In addition to promoted awareness there will be ongoing sales training resources and opportunity support, standardized customer collateral that helps to communicate...
the value proposition and benefits of purchasing off the NCPA agreement, and regular business reporting for visibility into pipeline opportunities and recently won work.

88. Describe how you intend to train your national and/or regional sales force on the Region 14 ESC Agreement.

There will be multiple elements to the training program. We will have all employee awareness and education for the NCPA agreement benefits for customers. We will also have targeted in branch training to share best practices. There will be on-demand training for new sales professionals or those that would like to refresh their knowledge. The GPO program also has resources to answer questions and provide education as sales opportunities arise. Lastly, I anticipate partnering with NCPA resources to provide both branch trainings and share training collateral and material to augment our training program.

89. Acknowledge that your organization agrees to provide its company logo(s) to Region 14 ESC and agrees to provide permission for reproduction of such logo in marketing and communications and promotions.

Johnson Controls will provide our logo to Region 14 ESC. During final contract negotiations, appropriate language must be included to define the use of our logo, etc. This language is meant to protect all parties and to further define responsibilities with respect to use of the logo.

ADMINISTRATION

91. Describe your company’s implementation and success with existing cooperative purchasing programs, if any, and provide the cooperative’s name(s), contact person(s) and contact information as reference(s).

The NCPA agreement is the first implementation of a cooperative purchasing program nationally. Historically, Johnson Controls has had branch or regionally based programs. We have historically
had GPO programs nationally and NCPA is currently being integrated into the national GPO program. Andrew Pergande (414) 524-6937 is the best contact to discuss furthers.

92. Describe the capacity of your company to report monthly sales through this agreement.

One key component of integrating the NCPA contract into the national GPO program is the ability to leverage reporting from our newly implemented Customer Relationship Management (CRM) solution and supporting financial payment processing. The environment that NCPA is migrating into is fully scalable to support any volume, while providing additional reporting capabilities for both sales and pipeline.

93. Describe the capacity of your company to provide management reports, i.e. consolidated billing by location, time and attendance reports, etc. for each eligible agency.

Consolidated reporting is available for customers to view history across linked site locations. Depending on customers unique requests our account team and finance teams will work to accommodate reporting needs.

94. Please provide any suggested improvements and alternatives for doing business with your company that will make this agreement more cost effective for your company and Participating Public Agencies.

One additional field that would be helpful within the customer list is the Dun & Bradstreet number (DUNS Number). This number would help to link our customer list to the NCPA membership roster.

GREEN INITIATIVES

95. Please provide your company’s environmental and/or green initiative.

Johnson Controls promotes economic, social and environmental practices that benefit our customers, employees, shareholders, and local communities. Johnson Controls has adopted a policy on energy and climate change, a copy of which can be found on its website at: http://www.johnsoncontrols.com/energy_and_climate_change_policy.pdf. In addition, Johnson Controls issues sustainability reports, copies of which can be found on this website: http://www.johnsoncontrols.com/content/business_sustainability.html.
Johnson Controls has reported sustainability data since 2002 and follows the Global Reporting Initiative (GRI) G4 guidelines. Additional reporting includes the United Nations Global Compact Communication of Progress (COP) and the Carbon Disclosure Project (CDP). This year we recommended that more than 200 of our major suppliers set sustainability goals, make improvements and report to the CDP supply chain program. Bureau Veritas certifies our energy, greenhouse gas emissions, water and waste data.

The sustainability commitment by Johnson Controls has been frequently recognized by our peers and the marketplace. Below are three examples of recognition awarded to Johnson Controls.

- Johnson Controls recognized for excellence in greenhouse gas management by receiving the 2014 EPA Climate Leadership Award, one of only 19 given in 2014. Awardees are honored for exemplary corporate, organizational, and individual leadership in reducing carbon pollution and addressing climate change.
- Honored by The United States Environmental Protection Agency (EPA) for outstanding efforts to protect the earth’s climate and stratospheric ozone layers
- Named an Energy Service Provider by the National Association of Energy Service Companies (NAESCO), one of only 10 companies to earn NAESCO’s highest accreditation level
VENDOR CERTIFICATIONS

96. Provide a copy of all current licenses, registrations and certifications issued by federal, state and local agencies, and any other licenses, registrations or certifications from any other governmental entity with jurisdiction, allowing respondent to perform the covered services including, but not limited to, licenses, registrations, or certifications. Certifications can include M/WBE, HUB, and manufacturer certifications for sales and service.

Johnson Controls holds a Mechanical license in every US city we have an office and these can be provided as necessary. We have a very active HUB and M/WBE program. Below are a few facts to support our focus on diverse spending.

- Johnson Controls is one of just 18 companies in the Billion Dollar Roundtable, an organization comprised of U.S. corporations that annually spend more than $1 billion with certified minority- and women-owned firms.
- Fortune magazine ranked Johnson Controls among the most admired companies in the motor vehicle parts category three years in a row. In 2007, we were ranked No. 1. In 2008, we ranked fourth. Companies are rated on eight key areas of leadership, including people management, social responsibility, quality of management and innovation.
- Johnson Controls’ chairman and CEO was named a recipient of a 2007 Diversity Leadership Award by Diversity Best Practices and Business Women’s Network.
**TAB 5 – PRODUCTS AND SERVICES**

**HVAC Refrigeration – Scroll, Rotary, Centrifugal, Reciprocating and Absorption Chiller**

*Executive Summary:* Johnson Controls/ York takes pride in manufacturing the most state of the art equipment for your refrigeration needs. York’s water cooled chillers, both centrifugal and screw machines, perform at the highest part load energy efficiencies in the market. Coupled with our air cooled chillers, we give you the benefit of air cooled design, plus energy efficiency and quiet operation.

*Brand Names:*
- Johnson Controls / York

*Capacity Range:*
- 10-515 TR – Air Cooled
- 50-8500 TR – Water Cooled

*Cooling Medium:*
- Water
- Brine
- Air

*Standard Warranty:*
- 18 month parts from date of shipment

*Optional Warranty:*
- Up to 10 years parts and labor
- Local parts and labor warranties are available from 1-15 years. Please consult with your local Johnson Controls representative for more information

*Estimated Lead/Delivery Time:*
- Lead times range anywhere from in stock- 52 weeks based on construction and performance requirements.
- Quick ship options are available on our stock chillers.
- Lead times will increase as units become more custom

*Detailed Features & Benefits:*

---

**Unitary**

*Executive Summary:* YORK Solution air-handling units (AHUs) by Johnson Controls – the only names you need to know for rooftop cooling that has no limits. Whatever the cooling challenge - IAQ, acoustics, energy, controls, you name it-Johnson Controls has the experience to build a rooftop unit that will meet your needs.

*Brand Names:*
- Johnson Controls, Enviro-tech, Skymark

*Capacity Range:*
- Package Units = 3-130 tons
- Split Systems = 7.5-50 tons
- Water Source = .5-7 tons
- PTACs = .75-3 tons

*Heating Medium (Electric, Gas, Steam, Hot Water)*
- Package Units – electric, gas, steam, hot water
- Split Systems – electric, hot water, steam coil
- Water Source – water
- PTACs – electric, hot water

**Cooling Medium (DX, Chilled Water)**
- Package Units – DX
- Split Systems – DX
- Water Source – DX
- PTACs - DX

**Standard Warranty:**
- Standard warranty will vary depending on model and size. Please consult individual product literature for more information.

**Estimated Lead/Delivery Time:**
- Lead times will vary from 4-8 weeks depending on product line. Please consult individual product literature for more information.

**Range of Efficiencies:**
- Package Units – 10.1eer to 14 seer
- Split Systems – up to 11.0 eer
- Water Source – up to 20.8 eer
- PTACs – up to 10.6 eer

**Detailed Features & Benefits:**

---

**Air Handlers**

**Executive Summary:** YORK Solution air-handling units (AHUs) by Johnson Controls – the only names you need to know for an AHU line that has no limits, ranging from basic indoor units up to penthouse mechanical-equipment rooms. And whatever the air-handling challenge-IAQ, acoustics, energy, controls, you name it-Johnson Controls has the experience to build a Solution AHU that will meet your needs.

**Brand Names:**
- Johnson Controls / York Solution

**Capacity Range:**
- 2,000 CFM – 200,000+ CFM

**Heating Medium (Electric, Gas, Steam, Hot Water)**
- Hot Water
- Electric Heat
- Steam
- Gas

**Cooling Medium (DX, Chilled Water)**
- Chilled Water
- DX

**Standard Warranty:**
- 18 month parts from date of shipment

**Optional Warranty:**
- Warranties available on all components
- Local parts and labor warranties are available from 6 to 10 years. Please consult with your local
Johnson Controls representative for more information

_estimated lead/delivery time_: - Lead times range anywhere from 3-15 weeks based on construction and performance requirements.
- Quick ship options are available from 10 working days to 20 working days
- Lead times will increase as units become more custom


**Air Terminal Devices & Heating Products**

*Executive Summary:* Johnson Controls offers a wide variety of Air Terminal Devices. Fan coil options are available in horizontal, vertical, low-profile horizontal, floor mount vertical, high-rise vertical, reduced footprint vertical, and concealed cabinet. High Performance models also meet the customer’s specifications for more demanding conditions. Johnson Controls VAV terminal units are offered in standard configurations as well as low-height, fan powered, and dual-duct configurations.

*cooling medium:* - Chilled Water
- DX

*Heating Medium:* - Electric Heat
- Hot Water
- Steam
- Aux Heat

*Type of Equipment/Components:* - See Attached

*Brand Names:* - Johnson Controls

*Capacity Range:* - Fan Coil Terminal Devices: 1 to 4625 CFM
- VAV Terminal Devices: 45 to 8000 CFM

*Standard Warranty:* - 12 Months from Startup
- Not to exceed 18 Months
- No Labor

*Optional Warranty:* - 3% of list price per additional year of warranty

Estimated Lead/Delivery Time:
- 4-5 Weeks


**Air-Cooled Variable Refrigerant Flow Systems**

*Executive Summary:* YORK VRF systems achieve extremely high efficiencies by modulating the flow of refrigerant according to the exact demands of individual areas, using innovative inverter-driven scroll compressor technology. The result? Integrated energy efficiency ratio (IEER) as high as 25.2, plus an average of up to 39% energy savings for some applications, compared to conventional HVAC systems. YORK VRF indoor units operate quietly and are easy to install, service and maintain. A wide variety of
non-ducted and ducted units are available in styles and capacities to fit multiple applications. Units operate quietly with sound ratings as low as 24.5 dBA.

**Cooling Medium:**
- DX

**Heating Medium:**
- DX

**Type of Equipment/Components:**
- Heat pump VRF systems are two-pipe systems
- Heat recovery VRF systems are three-pipe systems

**Brand Names:**
- Johnson Controls; YORK

**Capacity Range:**
- 3-30 tons Outdoor Units
  -.5-4 tons Indoor Units

**Standard Warranty:**
- The compressor shall have a manufacturer’s limited warranty for a period of seven (7) years from date of unit installation. The unit’s parts shall have a manufacturer’s limited warranty for a period of one (1) year from date of unit installation.
- No Labor

**Optional Warranty:**
- Systems installed by factory trained contractors will have an extended limited parts warranty to (5) years from date of unit installation

**Estimated Lead/Delivery Time:**
- 4-5 Weeks

**Detailed Features & Benefits:**

---

**Duct Free Mini Split Systems**

**Executive Summary:** Effective climate control is about comfort and efficiency – delivering just the right amount of heating and cooling to every space while using no more energy than necessary. YORK® single and multi-zone duct-free mini-split systems enable you to provide innovative solutions to residential and light commercial applications. YORK® duct-free mini-split systems solve difficult heating and cooling challenges on job sites where the adjustment of existing systems will not satisfy the need.

**Type of Equipment/Components:**
- Multi-zone System M Series; 208/230V, 18-42k Btu/h; 16 SEER
- Single-zone System P Series: 115V 9K-12K Btu/h Inverter Heat Pump; 18 SEER
- Multi-zone System W Series; 208/230V, 18-40K Btu/h, 22 SEER
- Single-zone System X Series; 115V 9K-12K Btu/h Inverter Heat Pump, 23 SEER
- Single-zone System Z Series; 208/230V, 9K-18K Btu/h Inverter Heat Pump, 30 SEER
- Wired Central Controller for M, W and R series

**Capacity:**
- Single Zone .75-4 tons
- Multi-zone 1.5-3.5 tons

**Brand Names:**
**DDC Controls**

*Standard Warranty:*
- Parts: 3 Years
- Labor: 12 Months

*Optional Warranty:*
- Labor 2-5 Years or Per Customer Request

*Detail Features & Benefits:*
- Please see attached documents

*System Protocol Capabilities:*
- BACnet
- LonWorks
- Proprietary
- Any Combination

*LAN Communication Structure Options:*
- Peer to Peer
- Polling

*Human Machine Interface Options:*
- Personal Computer
- Notebook
- Handheld

*Range of Full-Load Efficiencies:*
- 0.817 – 0.948 KW/Ton

*Third Party Interface Drivers:*
- Available through System Integration Services

*Remote Alarm Capabilities:*
- Local & Remote Available with Metasys®

*Brand Name:*
- Johnson Controls - Metasys®

*Detailed Features & Benefits:*

---

**Fire Alarm Systems**

*Types: (Local, Auxiliary, Remote or Proprietary)*
- All types are available

*Brand Names:*
- Johnson Controls IFC (OEM Notifier)

*Standard Warranty: Parts and Labor:*

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- 12 month labor; 3 year parts

**System Architecture:** *(Stand alone, single node or multi-node networks)*
- All are available

**Network Type:**
- Peer to Peer and Dgrade mode

**Audio System:**
- Emergency Voice

**Node Configuration:**
- Class A and Class B

**Smoke Evacuation:**
- UUKL and UOJZ

**Remote Annunciation Types:**
- JNCA (Global Annunciator), IFW (Work Station), LCD160, LCD80, or LDM

**Third Party Interface:**
- Noti-Fire-Net, Metasys BACnet

**Remote Communications:**
- DPI-232, EIA-232 Ports, EIA-485 Ports

**Detailed Features & Benefits:**

**Cooling Towers**

**Brand Names:**
- All brands

**Capacity Range:**
- 6 – 1300 Ton +

**Standard Warranty:**
- 5 year parts only

**Optional Warranty:**
- N/A

**Estimated Lead/Delivery Time:**
- 4 – 5 weeks after receipt

**Pumps**

**Brand names:**
- Bell & Gossett, Armstrong and others

**Capacity Range:**
- 10 GPM to 4000 GPM

**Standard Warranty:**
- One year from date of start-up

**Optional Warranty:**
- Extended warranties available

**Detailed Features & Benefits:**
http://www.johnsoncontrols.com/buildings/our-brands

**Inverters**

**Brand Names:**
- Johnson Controls and others

**Capacity Range:**
- ¼ HP to 250 HP+

**Standard Warranty:**
- Typical 2 year Warranty

**Optional Warranty:**
- 3 year Warranty with Certified Startup

**Detailed Features & Benefits:**
http://www.johnsoncontrols.com/buildings/our-brands

**HVAC Specialty Products**

**Air Quality Systems**

**Executive Summary:** Johnson Controls offers a variety of solutions that address the challenge of unhealthy and contaminated air. These solutions include ionization equipment, recirculation systems, high volume systems, gas filtration media, and electronic air cleaning.

**Brand Names:**
- Bioclimatics

**Capacity Range:**
- Available for air units from 0 – 200,000+ CFM

**Standard Warranty:**
- 15 month parts from date of shipment

**Optional Warranty:**
- N/A

**Detailed Features & Benefits:**
http://www.johnsoncontrols.com/buildings/our-brands

**Boilers and Water Heaters**

**Brand Names:**
- Raypak, Sellers, Johnston

**Capacity Range:**
- 66,000 btu to 4,000,000
- 10 to 800 Boiler Horsepower

**Heating Medium (Electric, Gas, Steam, Hot Water):**
- Hot Water
- Electric Heat
- Steam
- Gas

**Standard Warranty:**
- 1 year from start-up

**Optional Warranty:**
- Extended warranties available on all components

**Estimated Lead/Delivery Time:**
- Lead times vary from 0 to 20 weeks

**Detailed Features & Benefits:**
http://www.johnsoncontrols.com/buildings/our-brands

**Startup and Commissioning Services**

**Type:**
- All York Equipment, Metasys® Controls, Air/Water Balance

**Personnel or Factory Rep:**
- York and Metasys® Startup is performed by our Factory Trained Personnel
- Air and Water balance is performed by our strategic partners in the industry

**Certifications or Associations:**
- Certifications for York Equipment and Metasys® Controls training are issued upon completion of courses in the various disciplines.
- Our Air and Water Balance partners are NEBB Certified

**Installation and Turnkey Contracting**

**Licensing:**
Each Branch office has a Mechanical Contractor License, Fire Alarm License and Security License.

**Bonding Capabilities:**
- $100,000,000 single bond limit
- $400,000,000 Aggregate

**Personnel (Employed and Subcontracted):**
Johnson Controls, Inc. is a global leader in interior experience, building efficiency and power solutions. Our worldwide team of 140,000 employees create a more comfortable, safe and sustainable world through our products and services for more than 200 million vehicles, 12 million homes and one million commercial buildings.

**Description:**
About Johnson Controls, Inc.
Johnson Controls is the global leader that brings ingenuity to the places where people live, work and travel. By integrating technologies, products and services, we create smart environments that redefine the relationships between people and their surroundings.

About Building Efficiency
With over 56,000 employees worldwide, the Johnson Controls Building Efficiency business makes buildings in 125 countries more comfortable, productive, safe and energy-efficient. Our products and services include HVAC&R equipment and control systems, industrial refrigeration, fire and security systems, and services for commercial, industrial and residential buildings. Our focus is to increase a building’s energy efficiency and operational performance.

**Building Efficiency Offerings**
- Integrated HVAC Systems
- Building Management Systems*
- Technical Building Services
- Industrial and Commercial Refrigeration
- Energy Efficiency and Sustainable Solutions
- Security and Fire Safety
* Johnson Controls has installed over 25,000 Metasys® building management systems worldwide.

**Project Guarantee:**
On turnkey project work we will guarantee the performance of our company’s labor by supplying proposals based on estimates created by our veteran Project Managers utilizing the latest RS Means software and the labor multiplier supplied in this contract.

**Case Study:**

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The case study for Oxford High School is included in the Appendix of this response. Oxford High School is a unique funding model for a turnkey project utilizing a municipal lease finance structure (not a performance contract) and voter approved school construction bonds.

**Equipment Warranties**

**Types:**
- Up to 20 years parts and labor
- Refrigeration warranties
- Total systems
- Compressor
- Parts
- Labor

**Personnel:**
- All Warranty issues are processed and resolved through the JCI service department.

**Project References:**
- Please get in contact with your local JCI representative for information on our success stories regarding warranty work.

**Features and Benefits:**
- JCI has been in business for over 100 years. We will supply stable, reliable and prompt customer support to ensure the utmost satisfaction with your warranty situation.

**Case Study:**
Warranties are included as part of a larger case study. Reference Oxford High School.

**Energy Services**

**Executive Summary:** As more and more organizations prioritize the search for new energy savings solutions, funding can be a barrier and innovative financing is often required to make the vision of energy efficiency a reality. Johnson Controls offers Energy Performance Contracts that put facility upgrades within financial reach. It's totally accountable: a guarantee that building improvements will deliver operational and utility savings over a fixed period. And it's low-risk, because Johnson Controls pays the difference if the savings don’t accrue.

- Facility and infrastructure retrofit costs are offset by utility and operational savings, helping businesses and organizations fund capital improvements, maintain cash flow and reduce emissions.
- Johnson Controls helped establish energy performance contracting in 1983 and has implemented more than 3,000 performance contracts in North America alone.
- Facility audits identify opportunities to improve the efficiency of building envelope, lighting, HVAC, water and other systems.
- Performance contract specifies the scope of improvements, associated costs, estimated energy and other savings, grants available for project funding and resulting cost savings.
- Performance assurance staff validates savings and provides effective communications.

**Type (Energy Tracking, Energy Analysis, and Evaluation of Potential Upgrades):**
- Auditing Services
- Energy Supply Side Professional Services
- Facility and Infrastructure Services
- Post Installation Services

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- Training
- Truck and Site Based Services
- Additional Technical Services
- See Value Added Services for detailed information

Description:
- See attached detailed information

Personnel (employed or subcontractor) Nature of Work, Percentage of Work Performed:

<table>
<thead>
<tr>
<th>Nature of Work</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mechanical &amp; electrical design engineering</td>
<td>0 to 50%</td>
</tr>
<tr>
<td>Civil and structural design engineering</td>
<td>100%</td>
</tr>
<tr>
<td>Construction installation (lighting, mechanical, electrical, plumbing, water meters, etc.)</td>
<td>0 to 100%</td>
</tr>
</tbody>
</table>

Certifications or Associations:

Features and Benefits:
- We are one of only eleven (11) companies in North America to receive the highest accreditation of Energy Service Providers (ESP). We are also pre-qualified to work through the U.S. Department of Energy for facilities.

Case Study:
Included in the appendix of this response is the Louisville Metro case study for our Energy Performance Contracting Business.

Equipment Rentals

Types:
- Chillers, Pumps, Transformers, Generators, Cooling Towers, Package Units

Description:
- Johnson Controls Rental Solutions
- Aggreko Rentals

Personnel:
- Johnson Controls – In-house Personnel
- Aggreko - Subcontracted

Project References:
- Houston ISD – Post Hurricane Ike Chiller/Generator Rentals - 2008
- Memorial Hermann Hospital System – Post Hurricane Ike Chiller, Pumps, Cooling Towers/Generator Rentals - 2008
- Numerous Rental provisions at various chemical plants

Financial Services

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**Executive Summary:**
Our Structured Finance team is responsible for the development of new and creative financing structures that address the financial needs of Johnson Controls customers. The team will match the right financing structure with what is best for each customer and most appropriate for the project. In addition, we have relationships with over 20 financial partners who are experienced in the arena of Lease and Capital Lending Programs. We will work with our partners and your client’s to ensure that any and all incentives are identified and utilized to their full potential.

**Type:**
- Financing, Leasing, Pre-payment Discounts, Guaranteed Savings

**Case Studies:**
Financing is typically provided as an integral component in larger projects. Please referenced the Louisville Metro case study in the appendix…..this project was financed using Johnson Controls Contingent Financing Program, an innovative low risk finance solutions for our customers.

**Service & Scheduled Maintenance**

**Executive Summary:** Johnson Controls owns and operates over 120 service centers across the United States staffed by skilled service technicians, project development specialists, sales engineers, application engineers, installation teams, project/construction managers, and local branch leadership who are empowered to make decisions to quickly resolve any issues and ensure customer satisfaction.

**Types:**
- Preventive maintenance agreements (basic and premium coverage options) for HVAC equipment, controls, security & fire equipment
- Repair services for HVAC, security, fire, technology and building automation systems
- 24/7 emergency service
- Predictive and diagnostic such as Vibration Analysis, Oil Analysis, Refrigerant Analysis
- Replacement parts
- Design and construction services
- Refrigerant compliance reporting
- Connected services such as our Chiller MD
- Remote Operations Center (ROC)

**Description:**
- The “Repair Service with Coverage” portion of this response will provide greater depth into the numerous tasks that are performed on the various pieces of equipment.

**Personnel:**
- In-house personnel and equipment to perform vibration analysis.
- Subcontract Oil and Refrigerant Analysis.

**Project References:**
- Memorial Hermann Hospital System – Tasks performed annually
- UTMB, Galveston – Tasks performed upon equipment repair
- MD Anderson – Tasks performed annually
- Huffman ISD – Tasks performed annually

**Professional Services**

**Type (Engineering, Design, Drafting, Architectural, Data Management):**
- Engineering
- Design
- Drafting
- Architectural
- Data Management

Description:
- Our engineering team will oversee the design drawings and documentation phase. We may use partner organizations for the production of design and construction documents. Our staff engineers will focus on concept, product and system analysis, and plan and specification review. We partner with the most respected architectural and engineering firms for assistance in creation of design and construction documents, building codes, and Fire Marshall review.

Personnel (employed or subcontractor):
- Johnson Controls, Inc. has many employees that hold professional licenses.
- Johnson Controls, Inc. may partner with organizations for the production of design and construction documents

Case Studies:
Professional services are typically provided as an integral component in larger projects.

Site Surveys
Types:
- Equipment condition
- Energy Performance Contracting
- Investment grade building audits
- Security infrastructure surveys
- Technology infrastructure surveys
- Building to business systems integration assessments
- Facility optimization

Description:
Johnson Controls has in-house capabilities to accomplish each of the above types of surveys. Plus we have partnerships with external consultants and Alliance partners to support our efforts.

Personnel (employed or subcontractor):
- Johnson Controls, Inc. has many employees that hold professional licenses.
- Johnson Controls, Inc. may partner with organizations for the production of design and construction documents

Case Studies:
Site surveys are typically provided as an integral component in larger projects.

Packaged Central Plant
Executive Summary:
Modular Central Plants are offered in standard mechanical room sizes, as well as custom equipment selections and scope to meet customer’s exact needs and specifications. Module Configurations are available for chillers, boilers, generators, cooling towers, hydronics, electrical, controls& ancillary equipment.

Cooling, Heating, Cooling/Heating:
- Cooling
- Heating
- Cooling & Heating

**Type of Equipment/Components:**
- Chillers
- Boilers
- Generators
- Cooling Towers

**Brand Names:**
- Johnson Controls and Turbine Air Systems

**Capacity Range:**
- 400 – 4500 Tons

**Standard Warranty:**
- 12 Months Parts & Labor

**Optional Warranty:**
- 1-5 Years via a Service Agreement

**Estimated Lead/Delivery Time:**
- 10 – 12 Months from concept to commissioning

**Range of Full-Load Efficiencies:**
- 0.817 – 0.948 KW/Ton
**Johnson Controls Buildings Product Portfolio**

We help our customers to find the right products for your building needs – whether they own, occupy, manage, distribute or install heating, ventilating, air-conditioning, refrigeration or air distribution systems. Johnson Controls is committed to providing high quality building products that lower energy demand, reduce costs, ensure an easier installation, and provide reliable service for the life of the building.

**Cooling and Heating Equipment Brands**

![Cooling and Heating Equipment Brands](image)

**Refrigeration Brands**

![Refrigeration Brands](image)
TAB 8 – VALUE ADDED PRODUCTS AND SERVICES

Include any additional products and/or services available that vendor currently performs in their normal course of business that is not included in the scope of the solicitation that you think will enhance and add value to this contract for Region 14 ESC and all NCPA participating entities.

Safety and Security

When optimizing a building’s security and fire safety, our customers need solutions that protect people, secure assets and lower operating costs — and that’s what we deliver for businesses worldwide. Our solutions protect businesses by making sure security and fire systems perform on demand as designed. We’re the industry’s most trusted partner for security and fire safety, specializing in complex integrations with more than 50 years of experience serving schools, hospitals, airports, mass transit, government facilities and 30 percent of Fortune 1000 companies. No matter what size or type of facility, we offer flexible, cost-effective solutions to ensure a safe working environment. What differentiates Johnson Controls from other safety and security providers is our ability to provide a full range of services to meet customer needs.

Safety and Security Technologies:

• Key and lock management
• Intrusion detection
• Digital video surveillance
• Access control
• Fire detection and alarm
• Incident management and reporting
• Emergency communications
• Mass notification

Safety and Security Services:

• Site surveys
• Testing and inspection
• Maintenance and upgrades
• Project management and installation
• Emergency response plans
• Remote alarm and video monitoring
• On-site services

Some of the markets we serve:

• Airports / Seaports / Rail
• Corporate and Investment Real Estate
• Financial Services
• Health Care
• Insurance
• Government
• Higher Education
• K-12 Education
• Manufacturing
• Military Sites
• Office Buildings
• Petrochemical
• Pharmaceutical
• Telecommunications
• Utilities

**Filter Program**
Johnson Controls owns Koch Filter to serve our customers’ filters needs. We stock numerous filter sizes to meet our client’s needs. We have a filter cutting system to custom cut filters to fit the non-traditional air units.

**Fabrication and Modification Capabilities**
Johnson Controls has a Fabrication and Modification shop that modifies air-cooled and water-cooled chillers for hazardous duty environments. We also fabricate portable air-cooled chiller skids for temporary or “easy-to-relocate” applications. We have a chiller rebuild shop where we perform complete renovations on chillers up to 7,500-tons. These rebuilds are typically motivated by the substantial energy savings that can be achieved. We have strategic relationships with several sheet metal/fabrication shops to assist us in performing small to large turnkey remodel or renovation projects.

**Air and Water Balance**
We have the personnel and tools to perform air and water balance projects. Jobs of this nature are typically motivated by potential energy savings through more efficient equipment operation. These are often performed in conjunction with our Performance Contracts.

**Network Integration Solutions - NIS**
The convergence of IT systems, building systems and specialty systems along with the proliferation of wireless devices has resulted in customers looking for new best practices for ensuring technology performance and outcomes. Our customers require systems that communicate with each other and with enterprise applications, anytime, anywhere. To help customers address their need for ubiquitous enterprise connectivity, Johnson Controls offers Network Integration Solutions.

Johnson Controls provides a single point of responsibility to deliver these disparate yet interoperable technology systems, reducing the cost of technology design, implementation and operation.Enterprise organizations see network integration as a means to maintain a competitive edge, improve productivity and facilitate organization collaboration.

**Geothermal**
Located just feet below the Earth’s surface is a renewable and consistent source of heat known as geothermal energy. At a depth of approximately six feet, for example, soil temperature in most of the world’s regions is stable between 45 – 58 degrees Fahrenheit. Johnson Controls offers geothermal
energy solutions that allow you to tap into this natural energy source for use in heating and cooling systems.

With geothermal systems, there is often no need for traditional mechanical heating or cooling. Instead, ground-source heat pumps take advantage of the earth’s natural heating or cooling through a series of pipes, called loops, installed below ground or submersed in a pond or lake. Fluid in the loop is pumped into the building, where it is compressed by a heat exchanger and released at a higher temperature. In summer this process is reversed, removing heat from the building to cool the facility.

Unlike conventional heat pumps, it is much easier for the geothermal heat pump system to capture heat from soil of a moderate temperature than from the frigid air outside in winter. Conversely, in summer, the relatively cool ground absorbs waste heat more readily than warm outdoor air.

In some areas of the country, water below the surface of the ground is hot. This hot water can be used to provide direct heating and it can be used to create steam to run turbines to create electricity. Whatever the situation, we work with you to find the best solutions to your energy needs.

**Geothermal Facts:**
Geothermal energy has been identified as the most energy-efficient and cost-effective space conditioning available today by the Environmental Protection Agency.

**Cost saving benefits:**
- Competitive installation costs
- Lower energy costs by 25-40%
- Utility incentives/rebates
- Free domestic hot water in summer
- Lower maintenance costs Environmental benefits:
- Fewer emissions (little or no fuel burned)
- Requires less electricity
- No danger of groundwater contamination
- Reduced use of refrigerants

**Green-LEED Focus**

There are many options when designing and building green buildings. But we believe there is a single #1 priority: energy efficiency. Efficiency is the fastest, cheapest and most environmentally powerful element to consider when building or retrofitting a green building. It should always come first.

To achieve efficiency, it’s necessary to understand the technical products that deliver the best outcome, the performance requirements of the building as a whole, and the goals and needs of the people behind and inside the building. An integrated design process can put these elements together to deliver a building as efficient as technically and humanly possible. It’s what we can do to help you get the energy efficient green building you desire.

**Green Compass™ and LEED®?**

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One of the tools we developed to help is called Green Compass. This tool can help you analyze new or existing buildings according to the potential score they will receive under the LEED rating system. The Leadership in Energy and Environmental Design (LEED) Green Building Rating System was developed in a consensus-based approach by the US Green Building Council. It is an accepted benchmark for the design, construction and operation of green buildings. LEED promotes a whole-building approach by recognizing performance in five areas: sustainable site development, water savings, energy efficiency, materials selection and indoor environmental quality.

**Air Handler Recommissioning**

Air Handler Recommissioning is the concept of rebuilding an existing air handler rather than replacing. Air Handlers are often times installed in basements, on rooftops or behind numerous interior walls. All of these locations make it very challenging and costly to replace them. Rather than replace we suggest the units be considered for recommissioning. This is accomplished by upgrading the interior components to bring the unit up to original operating conditions. The process saves down-time, disruption and substantial money over replacing.

**Construction Services**

Johnson Controls is pleased to offer to the clients of National Cooperative Purchasing Alliance a product called Construction Services. This is Johnson Controls’ tool to perform an unlimited size and scope project for our customers. Johnson Controls has the depth in personnel, years of project experience and strength in resources to assist clients in any and all construction, renovation and modification projects. We see a need for a tool that would enable clients to complete projects faster, with the comfort of a regulated pricing structure and the security of a partnership approach to the project. This fulfillment method will allow clients to move quickly in time of crisis or otherwise remedy problems that might grow worse or more costly while waiting for traditional construction methodologies to progress. The benefit to the client is faster repairs which typically lead to reduced cost.

**Remote Operations Center**

The Remote Operations Center (ROC) in Milwaukee is Johnson Controls Inc.’s center of excellence for facility performance. Significant Investments have been and are continuing to be made in serving our customers through reliability centered facility information. The ROC is staffed with seasoned professionals who use sophisticated technology and our company’s collective knowledge to gather performance information about our customers’ facilities for use in optimizing the operation of a facility. Through access to better information, we help our customers make better decisions and achieve better outcomes for their facilities.

The Remote Operations Center (ROC) monitors customer building systems and equipment 24 hours a day, 7 days a week through a UL- and Factory Mutual – certified for central station monitoring environment. For our customers, our adherence to these certification requirements mean:
• Higher operational reliability through standards compliance;
• Protection and integrity of data
• Infrastructure that supports uninterrupted service Rapid response to critical facility alarms

Our quality assurance process includes:
• Frequent (minimum daily) system integrity checks for all locations.
• Detailed records of transactions are stored in central database and available through standard reports.
• All phone conversations recorded for on-going training purposes.

The Remote Operations Center staff relies on proven processes, state-of-the-art technology and the experiences gained through centralized expertise to deliver services that impact the performance of our customers’ facilities. Today our staff is comprised of over 40 individuals, with each person bringing a unique perspective from to his or her role derived from educational background and work experience. This blend of engineers, facility operations experts and experienced automation system technicians, ensure that the right expertise can be utilized to maximize our role with a customer’s building or systems. In addition, this staff is supported by dedicated 24/7 IT resources who focus on center uptime and reliability, ensuring the integrity of proprietary systems and communication networks.

**Service Function Descriptions**

*Building Operators* are responsible for monitoring fire, security and building automation system (BAS) alarms and responding to alarm conditions consistent with customer requirements. Typical duties include account/site set-up and commissioning; communications testing and monitoring; and, on-going alarm monitoring, documentation and reporting.

Our *Building Operators* possess a minimum of a 2-year technical degree, as well as additional certification in HVAC Systems, Chillers or Boilers and average 8 years of experience in building operations and maintenance.

*Remote Operations Technicians* are responsible for the remote interrogation of building automation systems to proactively identify potential issues and mitigate problems that will affect overall operational performance. Typical duties include managing customer alarms and direct requests for service; interrogating customers’ building automation systems to troubleshoot and diagnose system problems (determining status and criticality); and, remotely resolving issues when possible.

The educational requirements for *Remote Operations Technicians* are: minimal requirements include a 2-year technical degree and/or 4 year BS engineering degree; demonstrated knowledge of HVAC equipment, building automation systems and facilities garnered through prior work experience. The people in this group average 15 years of in-field experience related to the service, operation and installation of HVAC, fire and security systems.
Shift supervisors are responsible for the supervision of operations activities and staff, as well as ongoing performance management. In addition to supervising 24/7 activities, they are responsible for service start-up scheduling, documentation management, process management, quality control, and ensuring compliance with all certification requirements, including those for UL and Factory Mutual.

In addition to holding 2- or 4-year technical degrees, our shift supervisors average 20 years of hands-on experience in the building operations industry, including work in application engineering, control system design, and commissioning.

Predictive Diagnostics Engineers are responsible for monitoring primary HVAC equipment performance. Typical duties include monitoring the performance of products or operations; analyzing data; recommending changes to improve quality, reliability and efficiency; and, refining analysis techniques based on historical data.

Our Predictive Diagnostics Engineers possess a BS in Engineering with 2-5 years related engineering experience with experience in predictive technologies as well as general mechanical equipment and repair knowledge. In addition, we require Level II or III certification from the Vibration Institute.

Core Monitoring Services

While not a requirement for all remote enabled services, having a Johnson Controls Metasys® building automation system onsite increases the level of service that can be provided.

Remote BAS Monitoring — Utilizes a customer’s Metasys® building automation system (BAS) to remotely monitor any or all of their building systems, including HVAC, access control, electrical, fire (as secondary notification) and security. The service can provide partial schedule coverage (for example, third shift) or on a 24-hour basis. Alarms are received, recorded and responded to according to the customer's defined response plan. Connections are normally made via dial-up, but may utilize higher reliability/higher speed options if warranted by project size, complexity or risk.

Remote Fire and Security Monitoring — The Remote Operations Center meets or exceeds all requirements for both Underwriters Laboratories (UL) and Factory Mutual (FM) certification for central station monitoring of fire and security systems. Remote Fire and Security Monitoring provides round-the-clock monitoring of fire and burglary alarms with alarm panel and communication supervision. When an alarm is received, we acknowledge it, and our UL-certified system automatically recognizes the customer site and call list. We then notify according to the prioritized call list until contact is made.

The ROC central monitoring station meets all UL Listing as indicated below:

UL Listing (Central Station) Requirements

• Floors, walls, ceilings must have a fire rating for external and internal walls and roof.
• Must have single occupancy for basic requirements (if multiple occupancy, telecommunications, wiring and electrical requirements differ).
• Must have a supervised sprinkler system.
• Must prevent visible access from outside through windows.
• Must have backup generator power.
• Must have UPS (uninterruptible power supply) power capable of 4 hours of power and a backup generator, or two generators, or a battery bank that can carry the load for 24 hours minimum.
• All doors must have automatic door closures and a lock that remains locked at all times.
• Positive ID must be maintained at all times for people going in and out of the control room.
• Must perform one hour a month, manual mode operations for all operators with a logbook kept onsite.

Renewables
Johnson Controls is leading the country in a push to serve our clientele in an environmentally responsible manner. We are focusing on ways to bring Green products and ideas to the market place. Below are five products we are currently working with. We are achieving great success in the Renewables Market and will continue to do research to find better ways to preserve our planet.

Solar energy can be converted directly (photovoltaic) or indirectly (thermal solar) into electricity and heat through photovoltaic devices and thermal collectors. The resulting electricity or heat can offset utility costs and reduce, or possibly eliminate the need for water heaters.

Lighting
Indoor and outdoor lighting systems, lighting controls, daylighting strategies, parking lot and sports complex lighting, etc.

Johnson Controls’ lighting design options are not limited to standard indoor light fixtures but include exterior lighting, street lights, lighting controls and occupancy sensors, emergency lighting, and lighting maintenance strategies. Appropriate lighting is a major factor for reducing eye strain, increasing productivity and providing a safe and secure environment. Daylighting is also another important factor in the overall lighting design of facilities and could be incorporated into lighting retrofits, where appropriate.

Building Envelope Systems
Windows, insulation, weatherization, infiltration reduction, window glazing, etc.

Unwanted heat loss or gain through walls, doors, windows, and/or roofs of buildings can significantly increase energy use and costs. Correct application of thermal insulation and weather stripping plays an important role in reducing these energy costs in many situations. Johnson Controls can implement improvements to windows such as caulking, tinting, or window replacement. Roof treatments can be made such as the application of reflective coatings. Other areas for heat gain or loss such as doors and other penetrations can also be addressed when identified.

Water Systems
Water, like gas and electricity, is an environmental issue and a cost consuming utility. Johnson Controls can provide the services to identify, recommend, and implement water conservation measures for Harris County. Conservation and cost reduction measures may include, low-flow faucets, toilets, and waterless
urinals, sub-metering, sewer user credits for things such as vehicle washing and cooling tower evaporation and irrigation control strategies for heavy water users.

Additionally, water treatment is an often-overlooked opportunity for improvements and savings. Correct water treatment is vital to the safety of building occupants as well as the life of mechanical equipment. Johnson Controls will evaluate water quality and treatment options in all water containing systems including boilers, chilled water systems, cooling towers, evaporative cooling, laundry facilities, swimming pools, and domestic water systems.

**Utility Management**

*Demand and Usage: Metering, Monitoring and Reporting* Energy information is assuming a critical new value as customers move away from the supply services of the traditional utility. No longer is the customer’s supply priced exclusively as an anonymous smidgen of a utility’s production and/or purchases. Customers are seeing the risks and rewards of pricing catered specifically to their unique load characteristics.

Johnson Controls recognizes this transformation and the opportunity it presents to facility managers using Facility Management Systems. Facility Management Systems are equipped with tremendous capacity to trend and store data. In increasing frequency, that data is energy demand and usage.

At the facility level, that data has some interesting applications. Operators can see immediately the demand impact of running controls measures and optimize those programs to the resulting load profiles. Alarms can be set to alert operators of energy demand and usage levels outside of normal, acceptable ranges. The following is a list of a few of the most requested data reports:

- Load Profiling
- Bill Calculation
- Savings Analysis
- Automated Exception Discovery
- Measurement and Verification
- Energy Reliability Reporting

**Recommissioning**

Recommissioning is the process of inspecting, testing, and adjusting a building’s mechanical and electrical systems to ensure building performance consistent with the original design intent and the owner and occupants’ needs. We can ensure items such as proper air flow and rebalancing the system, replacing motors and variable speed drives, restoring economizer cycles, and enabling hot deck and cold deck reset.

**Energy Efficiency through Operational Strategies**

In addition to recommissioning, which deals with making the components of the mechanical and electrical system operate correctly, operational strategies can generate significant savings and are typically low cost to implement. Johnson Controls evaluates systems in a holistic manner, both the components and the operations. Operational strategies can generate savings through new hot deck and cold deck reset schedules, and new methods for ensuring the correct amount of outside air, along with training for the facilities staff on the new operations.
Tab 9 – Required Documents

- Clean Air and Water Act / Debarment Notice
- Contractors Requirements
- Antitrust Certification Statements
- FEMA Standard Terms and Conditions Addendum for Contracts and Grants
- Required Clauses for Federal Assistance by FTA
- State Notice Addendum

New Jersey vendors are also required to comply with the following New Jersey statutes when applicable:


Compliance with Prevailing Wage Act, N.J.S.A. 34:11-56.26, for all contracts within the contemplation of the Act.

Compliance with Public Works Contractor Registration Act, N.J.S.A. 34:11-56.26

Bid and Performance Security, as required by the applicable municipal or state statutes.
Clean Air and Water Act & Debarment Notice

I, the Vendor, am in compliance with all applicable standards, orders or regulations issued pursuant to the Clean Air Act of 1970, as Amended (42 U.S. C. 1857 (h), Section 508 of the Clean Water Act, as amended (33 U.S.C. 1368), Executive Order 117389 and Environmental Protection Agency Regulation, 40 CFR Part 15 as required under OMB Circular A-102, Attachment 0, Paragraph 14 (1) regarding reporting violations to the grantor agency and to the United States Environment Protection Agency Assistant Administrator for the Enforcement.

I hereby further certify that my company has not been debarred, suspended or otherwise ineligible for participation in Federal Assistance programs under Executive Order 12549, “Debarment and Suspension”, as described in the Federal Register and Rules and Regulations

<table>
<thead>
<tr>
<th>Potential Vendor</th>
<th>Johnson Controls, INC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Print Name</td>
<td>David Clark</td>
</tr>
<tr>
<td>Address</td>
<td>5757 N. Green Bay Avenue</td>
</tr>
<tr>
<td>City, State, Zip</td>
<td>Milwaukee, WI 53209-0591</td>
</tr>
<tr>
<td>Authorized signature</td>
<td>[Signature] 3-25-16</td>
</tr>
<tr>
<td>Date</td>
<td>March 29, 2016</td>
</tr>
</tbody>
</table>
Contractor Requirements

Contractor Certification
Contractor’s Employment Eligibility

By entering the contract, Contractor warrants compliance with the Federal Immigration and Nationality Act (FINA), and all other federal and state immigration laws and regulations. The Contractor further warrants that it is in compliance with the various state statutes of the states it is will operate this contract in.

Participating Government Entities including School Districts may request verification of compliance from any Contractor or subcontractor performing work under this Contract. These Entities reserve the right to confirm compliance in accordance with applicable laws.

Should the Participating Entities suspect or find that the Contractor or any of its subcontractors are not in compliance, they may pursue any and all remedies allowed by law, including, but not limited to: suspension of work, termination of the Contract for default, and suspension and/or debarment of the Contractor. All costs necessary to verify compliance are the responsibility of the Contractor.

The offeror complies and maintains compliance with the appropriate statutes which requires compliance with federal immigration laws by State employers, State contractors and State subcontractors in accordance with the E-Verify Employee Eligibility Verification Program.

Contractor shall comply with governing board policy of the NCPA Participating entities in which work is being performed

Fingerprint & Background Checks

If required to provide services on school district property at least five (5) times during a month, contractor shall submit a full set of fingerprints to the school district if requested of each person or employee who may provide such service. Alternately, the school district may fingerprint those persons or employees. An exception to this requirement may be made as authorized in Governing Board policy. The district shall conduct a fingerprint check in accordance with the appropriate state and federal laws of all contractors, subcontractors or vendors and their employees for which fingerprints are submitted to the district. Contractor, subcontractors, vendors and their employees shall not provide services on school district properties until authorized by the District.

The offeror shall comply with fingerprinting requirements in accordance with appropriate statutes in the state in which the work is being performed unless otherwise exempted.

Contractor shall comply with governing board policy in the school district or Participating Entity in which work is being performed

Business Operations in Sudan, Iran
In accordance with A.R.S. 35-391 and A.R.S. 35-393, the Contractor hereby certifies that the contractor does not have scrutinized business operations in Sudan and/or Iran.

Authorized signature  

Date  

March 29, 2016
Antitrust Certification Statements (Tex. Government Code § 2155.005)

I affirm under penalty of perjury of the laws of the State of Texas that:

(1) I am duly authorized to execute this contract on my own behalf or on behalf of the company, corporation, firm, partnership or individual (Company) listed below;

(2) In connection with this bid, neither I nor any representative of the Company has violated any provision of the Texas Free Enterprise and Antitrust Act, Tex. Bus. & Comm. Code Chapter 15;

(3) In connection with this bid, neither I nor any representative of the Company has violated any federal antitrust law; and

(4) Neither I nor any representative of the Company has directly or indirectly communicated any of the contents of this bid to a competitor of the Company or any other company, corporation, firm, partnership or individual engaged in the same line of business as the Company.

<table>
<thead>
<tr>
<th>Company name</th>
<th>Johnson Controls, INC.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address</td>
<td>5757 N. Green Bay Avenue</td>
</tr>
<tr>
<td>City/State/Zip</td>
<td>Milwaukee, WI 53209-0591</td>
</tr>
<tr>
<td>Telephone No.</td>
<td>414 524 5498</td>
</tr>
<tr>
<td>Fax No.</td>
<td>N/A</td>
</tr>
<tr>
<td>Email address</td>
<td><a href="mailto:David.R.Clark@jci.com">David.R.Clark@jci.com</a></td>
</tr>
<tr>
<td>Printed name</td>
<td>David Clark</td>
</tr>
<tr>
<td>Position with company</td>
<td>VP of Sales for Systems &amp; Services North America</td>
</tr>
<tr>
<td>Authorized signature</td>
<td>[Signature] 3-25-16</td>
</tr>
</tbody>
</table>
OWNERSHIP DISCLOSURE FORM
(N.J.S. 52:25-24.2)

Pursuant to the requirements of P.L. 1999, Chapter 440 effective April 17, 2000 (Local Public Contracts Law), the offeror shall complete the form attached to these specifications listing the persons owning 10 percent (10%) or more of the firm presenting the proposal.

Company Name: Johnson Controls, Inc.

Street: 5757 N. Green Bay Avenue

City, State, Zip Code: Milwaukee, WI 53209-0591

Complete as appropriate:

I __________________________, certify that I am the sole owner of __________________________, that there are no partners and the business is not incorporated, and the provisions of N.J.S. 52:25-24.2 do not apply.

OR:

I __________________________, a partner in __________________________, do hereby certify that the following is a list of all individual partners who own a 10% or greater interest therein. I further certify that if one (1) or more of the partners is itself a corporation or partnership, there is also set forth the names and addresses of the stockholders holding 10% or more of that corporation's stock or the individual partners owning 10% or greater interest in that partnership.

OR:

I __________________________, an authorized representative of Johnson Controls, Inc., a corporation, do hereby certify that the following is a list of the names and addresses of all stockholders in the corporation who own 10% or more of its stock of any class. I further certify that if one (1) or more of such stockholders is itself a corporation or partnership, that there is also set forth the names and addresses of the stockholders holding 10% or more of the corporation's stock or the individual partners owning a 10% or greater interest in that partnership.

(Note: If there are no partners or stockholders owning 10% or more interest, indicate none.)

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
<th>Interest</th>
</tr>
</thead>
</table>

None

I further certify that the statements and information contained herein, are complete and correct to the best of my knowledge and belief.

March 29, 2016

Date

Authorized Signature and Title

DAVID R. CLARK
VP OR SALES - SSNA
APPENDIX

- Johnson Controls Branch List for the United States
- Louisville Metro Case Study
- Oxford High School Case Study
- Andrew Pergande’s Resume
- Johnson Controls Tyco Proposed Merger
- United States Securities and Exchange Commission Form 10-K Annual Report 2015
Johnson Controls Branch List for the United States

A complete list of branch locations, phone numbers, after-hours service phone numbers, addresses, and primary contacts can be found at http://www.johnsoncontrols.com/location-finder
Louisville Metro Case Study

Creating a City of Choice Without Creating a Deficit

From the zoo to the city hall, Louisville is improving the quality of life for all residents and making good on its promise to decrease the city’s per capita energy use 25 percent by 2020.

The energy savings initiative is part of the community’s first comprehensive sustainability plan, designed to move Louisville toward becoming one of the greenest cities in the country. The plan, Sustain Louisville, was launched in 2013 to "protect the environment, reduce the metro area’s carbon footprint, ensure the health, wellness and prosperity of all citizens and create a culture of sustainability."

To achieve its sustainability goals, planners knew they would need to make critical upgrades to inefficient, high-maintenance building equipment that was – in many cases – decades past its life expectancy. Yet, Louisville Metro had limited available capital to make the improvements. So Mayor Greg Fischer and others began the search for a solutions provider that would offer a creative way to finance the effort. "A lot of people said, 'If you buy our products, they'll pay for themselves,'" said Fischer. "But we wanted assurances. Johnson Controls stepped up big time for us."

No-Risk Funding: Energy Savings Performance Contract

The Johnson Controls team designed a plan that would include nearly $27 million in energy-efficient upgrades and repairs to municipal-owned buildings, without the need for Louisville Metro to provide capital or assume financial risk. Under an energy savings performance contract, facility improvements would be paid for upfront by Johnson Controls and guaranteed to generate enough savings to pay for themselves over time. And if the

Project Financials AT-A-GLANCE:

- Location: Louisville, KY
- Population: 750,000
- Project Scope:
  - $27 million in energy-efficient upgrades across nearly 200 buildings
- Projected Savings:
  - $56 million over 25 years
- Capital Outlay:
  - $0 (Project funded through guaranteed energy and operational savings)
savings were to fall short, Johnson Controls would assume financial liability. “When you have limited resources it’s important that you get results, and that you’re only paying for success,” said the city’s Chief Financial Officer Steve Rowland. “This approach with Johnson Controls allows us to meet that objective, and without us having to put up the capital.” And, as an added bonus, because the funding mechanism doesn’t affect Louisville Metro’s bond capacity, it frees up capacity for other critical projects.

With funding in place, energy and infrastructure improvements got underway in late 2013 and will eventually encompass nearly 200 buildings across the metro area. The project includes water conservation efforts, lighting upgrades, HVAC upgrades, solar panels, and building management system controls to improve energy, efficiency, and sustainability in the city’s buildings, libraries, parks and pools.

Combined, the improvements are expected to result in:

- **Reduced energy use**: The performance contract guarantees $27 million in annual energy savings.
- **Reduced water use**: In less than a year, the Louisville Metro buildings used 295,000 fewer gallons of water.
- **Reduced CO₂ emissions**: The improvements are expected to reduce CO₂ emissions by 39,900 metric tons CO₂ annually, which is equal to removing 4,100 vehicles from the road.

In addition to the results guaranteed in the energy savings performance contract, the project is expected to have a positive impact on the Louisville Metro economy, by:

- **Creating jobs**: The project has created 400 jobs with 90% remaining in the community. The program is using local contractors and engineering partners and is also expected to exceed Louisville Metro’s targets for participation from minority- and women-owned businesses.
- **Attracting new business**: As Louisville moves closer to becoming one of the greenest cities in the country, the city’s Director of Sustainability Maria Keofer hopes the efforts will help to foster economic development. “We want potential new businesses to understand we are committed to clean air and clean water and sustainability — today, and for the future.”
- **Encouraging residents to join the effort**: As the city’s energy and water conservation efforts begin to take shape, leaders hope the success of those projects will encourage individuals to become greater stewards of the environment, too. Through citizen engagement and education initiatives, planners are creating a culture of sustainability they hope will ultimately make Louisville a healthier and more desirable city.

For the city of Louisville, energy savings performance contracting makes it possible to create an environmentally sound, vibrant and prosperous future for the metro area and its citizens.

To learn more about the City of Louisville’s comprehensive sustainability plan, visit [www.johnsoncontrols.com/louisville](http://www.johnsoncontrols.com/louisville).
District brings bold vision for learning to life through energy savings & integrated technology approach

Nestled in the hills of North Mississippi, the community of Oxford is home to a small-town high school with a big reputation. Oxford High School students consistently score above the state and national average on ACT exams. Eighty-seven percent of graduates attend colleges and universities. And the Washington Post named Oxford High School the most challenging high school in Mississippi.

There’s a long-standing tradition of excellence at Oxford High School. So it was no surprise that in 2011, when the district needed to accommodate growth in its student population, it set its sights high. Administrators envisioned a high-tech, energy-efficient school that would allow for greater collaboration and better prepare students to “academically compete and successfully thrive in the 21st century world.” Behind the scenes, building systems would work together seamlessly to create a safe and comfortable environment, and flat screen monitors, computers and hand-held devices would connect wirelessly to facilitate learning. In fact, as part of its One-to-One Digital Learning Initiative, the district hoped to put a laptop in the hands of every student in grades seven through 12 beginning in the 2014 school year.

K-12 Project
AT-A-GLANCE:

Oxford High School
Location: Oxford, MS
Enrollment: 1000

Project highlights:
- Reduced Energy Use
- 1:1 Digital Learning
- Enhanced Security & Safety
- District-wide System Standardization
OXFORD HIGH SCHOOL CASE STUDY

- Accepted responsibility for coordinating with contractors and suppliers that provided IP-based components and systems for the building
- Implemented the latest advancements in fire safety and access control
- Took responsibility for on-time delivery and performance testing

The coordinated approach also laid the groundwork for future systems integration with other schools in the district.

Ensuring a safe, secure school

In any learning environment today, teachers can’t teach and students can’t learn if they don’t feel safe. The new Oxford High School was designed to put security and safety first, and the Technology Contracting model made it possible to implement the most advanced security, fire safety and access controls strategy at Oxford.

The Johnson Controls P2000 security management system was installed to help the school reduce risk and keep occupants safe. The P2000 security management system monitors and controls access doors and provides real-time data to security and school personnel. Students are issued ID badges and must use them to get inside or to leave the building. Surveillance cameras monitor and record movement throughout the facility. Digital signage and zoned intercom systems keep students and teachers informed in real time.

And in the event of an emergency or security breach, a one-touch button triggers a lockdown and alerts first responders. As Principal Mike Martin puts it, “I asked a question, I said, ‘Who’s all coming? Is this like the fire department or police?’ And the guy stopped and he said, ‘Everybody. You hit that button and everybody’s coming.’”

“It can be done.”

The Oxford High School experience demonstrates that school districts don’t necessarily have to compromise on their wish list, even when traditional sources of funding fall short. As Oxford School District Superintendent Brian Harvey puts it, “It can be done. This is a tremendous way to upgrade facilities or to improve facilities if you’re planning new construction. We wouldn’t have been able to do it otherwise.”

“[It can be done. This is a tremendous way to upgrade facilities or to improve facilities if you’re planning new construction. We wouldn’t have been able to do it otherwise.”]

Oxford School District Superintendent Brian Harvey
OXFORD HIGH SCHOOL CASE STUDY

The new Oxford High School opened its doors in January 2014 to more than 1,000 students. And as a result of its partnership with Johnson Controls, the school expects to:

- Reduce energy use by the equivalent of more than 200 homes annually
- Decrease its carbon footprint by the equivalent to the carbon sequestered by 537 acres of pine forest annually
- Save $6 million in energy and operational costs over 15 years
- Achieve LEED® Silver certification by the U.S. Green Building Council, the first certification of a high school in Mississippi

The immediate benefits and projected savings are so significant, the district has decided to retrofit its old high school — and perhaps other buildings — to take advantage of the efficiencies that can be gained by standardizing on the Metasys building management system and scaling the high-powered IP network throughout the district.

To learn more about how Oxford High School created a connected learning environment using future energy savings, visit www.johnsoncontrols.com/oxford
SUMMARY OF QUALIFICATIONS

- Proven track record of effectively partnering with management and process owners to implement appropriate strategies and continuous monitoring processes for strategic growth initiatives.
- Accomplished record of designing and implementing global programs to support proactive risk identification, provide controls oversight, and ensure compliance with regulatory and industry requirements.
- Demonstrated ability to combine strong strategic risk management and operational experience to drive corporate value through risk mitigation and business process optimization.
- Extensive history of collecting, analyzing, and evaluating internal and external information to deliver informative management dashboards, concise presentations, and written reports for the Board, senior leadership, management committees, business units, process owners, and clients.
- Experience developing, training, and motivating team members to accomplish departmental goals and assume leadership roles within the organization.

WORK EXPERIENCE

Johnson Controls Corporation, June 2012 – Present

Group Purchasing Organization Manager (November 2015 - Present)

- Establish and maintain JCI’s business with Group Purchasing Organizations across North America
- Lead branch sales and account organization grow with existing GPO relationships while expanding the base of new GPO relationships
- Lead cross selling efforts into GPO accounts across the BE portfolio of products, services, and solutions
- Responsible for the development and implementation of GPO growth strategies
- Enhance the ability to secure and retain customers by actively networking with GPO leadership
- Establish collaborative relationships across the branch business to maximize JCI performance, provide quality customer service, and share best practices for leveraging GPO partnerships to achieve growth goals

Strategic Growth Initiatives Manager (February 2014 – October 2015)
Lead the development and implementation of growth strategies for North American business units ($4.3B annual revenue), while continuously monitoring internal KPI’s / KRI’s, industry trends, market behavior, and competitive threats to achieve predicted growth.

Champion change initiatives to help ensure growth strategies are communicated, embraced, and consistently implemented across the organization.

Create financial and non-financial metrics that are aligned across the business to monitor progress and quickly identify where additional focus or escalation is needed.

Develop reporting to communicate growth associated with strategic investments.

Led the Program Management Office (PMO) activities for the implementation and integration of key business changes:
- Partnered with business leadership and process owners to implement process changes, technology enhancements, and planned training.
- Communicated best practices, ensure consistent implementation of standardized processes, and provide ongoing feedback.
- Quickly identify unexpected results and mitigated risk

**Business Performance Management Sr. Manager (June 2012 –February 2014)**

Design and implementation of the Business Performance Management Program for JCI Building Efficiency. Responsible for assisting business units develop consistent and standardized management processes, analytic capabilities, and reporting practices to measure and manage performance against strategic goals and business requirements. Value driving activities include:
- Improve data quality, consistency, and availability to provide relevant, timely, and accurate information for key risk and performance indicator reporting (KRI’s & KPI’s).
- Provide management consulting to deliver comprehensive, data driven insights and solutions for identified challenges, performance improvement opportunities, and growth realization.
- Drive improved decision support and analysis through standardized tools, analytics, reporting, and management dashboards.
- Identify and lead process optimization and efficiency improvements.

**FIS / Metavante Corporation, 11 Years**

**Risk Management Sr. Manager – Risk Management Division**

Developed, managed, and maintained the Enterprise Risk Management Program at FIS. Responsible for identification, monitoring, assessment, and development of risk response strategies for top organizational risks. Provided reporting to the Audit Committee of the Board, the Executive Risk Management Committee, management committees, and business units.

Developed, managed, and oversaw the Data Protection Program. Responsible for developing the data protection assessment and control monitoring program to meet regulatory requirements and to assist with identification of risks, development of action plans, and continuous improvement within the control environment.

Managed and maintained the Vendor Management Program. Responsible for implementation of control automation and process efficiencies to perform due diligence and on-going monitoring of vendor control environments that had access to our customers non-public personal information.
- Led risk management due diligence for acquisition targets and performed post acquisition reviews to ensure controls related to data privacy and information security were in place and effective.
- Conducted client meetings and presentations to highlight the strength of FIS controls.
- Responsible for maintaining the Risk Management budget, including salaries and expenses for the Risk Management organization (25 professionals).

**KPMG LLP, 1 Year**
**Tax Associate – Taxation Compliance**
**Milwaukee, WI**
- Prepared federal and state income tax returns for a variety of entities, including corporations, partnerships, trusts, and individuals.
- Researched and provided analyses for a wide range of tax issues across numerous industries. Supported industries included manufacturers, healthcare providers, and non-profit organizations.
- Assisted with responses to client and government inquiries regarding tax filing positions.

**EDUCATION & CERTIFICATIONS**

**University of Wisconsin - Milwaukee, 2007 – 2010**
**Masters of Business Administration**
**Area of Specialization: Finance**

**University of Wisconsin - Milwaukee, 2002 - 2003**
**Masters of Business Management**
**Area of Specialization: Taxation**

**University of Wisconsin - Milwaukee, 1998 – 2002**
**Bachelor of Business Administration**
**Area of Specialization: Accounting**
**Graduated Magna Cum Laude**

**Certified Information Systems Auditor, 2006 – Aug 2014**
JOHNSON CONTROLS TYCO PROPOSED MERGER

On Monday, January 25, we announced the merger of Johnson Controls and Tyco. We are excited about this combination, because we are bringing together the complementary strengths of two great companies – Tyco’s world-class fire and security business with Johnson Controls, a global multi-industrial company.

We are creating the leader in building products and technology, integrated solutions and energy storage. Once the merger is complete this fall, we will have brought together best-in-class product, installation and service capabilities across power solutions, fire, security, sensors, controls and HVAC.

The merger also will accelerate our opportunities to drive innovation and capture opportunities in a fast-growing “smart” market to make buildings and cities more secure and energy efficient.

Some key details include:

• The company will be called Johnson Controls.
• The shareholder equity split is about 56% Johnson Controls and 44% Tyco.
• The annual revenue of the new company will be $32 billion.
• Our primary operational headquarters for North America will be in Milwaukee, WI, where Johnson Controls has been based. We see this as a win for Milwaukee.
• Alex Molinaroli, Johnson Controls’ Chairman and CEO, will serve as Chairman and CEO of the combined company for 18 months after the closing.
• George Oliver, current CEO of Tyco, will serve as President and Chief Operating Officer of the combined company and will take over as CEO 18 months after closing; at that time, Alex will become Executive Chair.
• We expect the new company to have 11 board members, 6 from Johnson Controls and 5 from Tyco.
• This is a strategic deal first and foremost. While there are some tax synergies, the motivation for this deal was not driven by tax considerations or location. This is a deal about creating value for our shareholders, customers and employees.
• Tyco is already domiciled in Ireland. There are some benefits for being domiciled there. The majority of our revenue and employee population are based outside of the United States. Keeping the Irish domicile retains maximum flexibility for our balance sheet and ability to invest in growth opportunities everywhere around the world, including in the United States.
• To sum it up, this merger is about a strategic vision for the combined company (after the planned October spin-off of Johnson Controls’ auto business) to bring together two very complementary industries.
• We very much see this merger as a partnership, given the shared leadership, shared governance and overall “best of both” approach.
• It will allow Johnson Controls to remain a vital force for economic development and innovation in the many U.S. communities in which we operate.
• And it will allow us to enhance our commitment to R&D and advanced manufacturing in the U.S. and around the world.

One final point: The combined company will maintain Tyco’s domicile in Ireland. But, as previously stated, the primary operational headquarters for North America will be in Milwaukee.
For an impartial perspective on this announced merger, please read the Forbes article, “Tyco And Johnson Controls Is About Internet Of Things, More Than Tax Inversion” by Kevin O’Mahah:

NO OFFER OR SOLICITATION

This communication is not intended to and does not constitute an offer to sell or the solicitation of an offer to subscribe for or buy an invitation to purchase or subscribe for any securities or the solicitation of any vote or approval in any jurisdiction, nor shall there be any sale, issuance or transfer of securities in any jurisdiction in contravention of applicable law.

ADDITIONAL INFORMATION AND WHERE TO FIND IT

In connection with the proposed transaction between Johnson Controls, Inc. ("Johnson Controls") and Tyco International plc ("Tyco"), Tyco will file with the U.S. Securities and Exchange Commission (the "SEC") a registration statement on Form S-4 that will include a joint proxy statement of Johnson Controls and Tyco that also constitutes a prospectus of Tyco (the “Joint Proxy Statement/Prospectus”). Johnson Controls and Tyco plan to mail to their respective shareholders the definitive Joint Proxy Statement/Prospectus in connection with the transaction. INVESTORS AND SECURITY HOLDERS OF JOHNSON CONTROLS AND TYCO ARE URGED TO READ THE JOINT PROXY STATEMENT/PROSPECTUS AND OTHER RELEVANT DOCUMENTS FILED OR TO BE FILED WITH THE SEC CAREFULLY WHEN THEY BECOME AVAILABLE BECAUSE THEY WILL CONTAIN IMPORTANT INFORMATION ABOUT JOHNSON CONTROLS, TYCO, THE TRANSACTION AND RELATED MATTERS. Investors and security holders will be able to obtain free copies of the Joint Proxy Statement/Prospectus (when available) and other documents filed with the SEC by Johnson Controls and Tyco through the website maintained by the SEC at www.sec.gov. In addition, investors and security holders will be able to obtain free copies of the documents filed with the SEC by Johnson Controls by contacting Johnson Controls Shareholder Services at Shareholder.Services@jci.com or by calling (800) 524-6220 and will be able to obtain free copies of the documents filed with the SEC by Tyco by contacting Tyco Investor Relations at Investorrelations@Tyco.com or by calling (609) 720-4333.

PARTICIPANTS IN THE SOLICITATION

Johnson Controls, Tyco and certain of their respective directors, executive officers and employees may be considered participants in the solicitation of proxies in connection with the proposed transaction. Information regarding the persons who may, under the rules of the SEC, be deemed participants in the solicitation of the respective shareholders of Johnson Controls and Tyco in connection with the proposed transactions, including a description of their direct or indirect interests, by security holdings or otherwise, will be set forth in the Joint Proxy Statement/Prospectus when it is filed with the SEC. Information regarding Johnson Controls’ directors and executive officers is contained in Johnson Controls’ proxy statement for its 2016 annual meeting of shareholders, which was filed with the SEC on December 14, 2015. Information regarding Tyco’s directors and executive officers is contained in Tyco’s proxy statement for its 2016 annual meeting of shareholders, which was filed with the SEC on January 15, 2016.

Johnson Controls Cautionary Statement Regarding Forward-Looking Statements

There may be statements in this communication that are, or could be, “forward-looking statements” within the meaning of the Private Securities Litigation Reform Act of 1995 and, therefore, subject to risks and uncertainties, including, but not limited to, statements regarding Johnson Controls’ or the combined company’s future financial position, sales, costs, earnings, cash flows, other measures of results of operations, capital expenditures or debt levels are forward-looking statements. Words such as “may,” “will,” “expect,” “intend,” “estimate,” “anticipate,” “believe,” “should,” “forecast,” “project” or “plan” or terms of similar meaning are also generally intended to identify forward-looking statements. 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’ or the combined company’s
actual results to differ materially from those expressed or implied by such forward-looking statements, including, among others, risks related to: Johnson Controls' and/or Tyco’s ability to obtain necessary regulatory approvals and shareholder approvals or to satisfy any of the other conditions to the transaction on a timely basis or at all, any delay or inability of the combined company to realize the expected benefits and synergies of the transaction, changes in tax laws, regulations, rates, policies or interpretations, the loss of key senior management, anticipated tax treatment of the combined company, the value of the Tyco shares to be issued in the transaction, significant transaction costs and/or unknown liabilities, potential litigation relating to the proposed transaction, the risk that disruptions from the proposed transaction will harm Johnson Controls’ business, competitive responses to the proposed transaction and general economic and business conditions that affect the combined company following the transaction. 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 fiscal year ended September 30, 2015 filed with the SEC on November 18, 2015 and available at www.sec.gov and www.johnsoncontrols.com under the “Investors” tab. Any forward-looking statements in this communication are only made as of the date of this communication, 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.

Tyco Cautionary Statement Regarding Forward-Looking Statements

This communication contains forward-looking statements within the meaning of the Private Securities Litigation Reform Act of 1995 including, but not limited to, Tyco’s expectations or predictions of future financial or business performance or conditions. Forward-looking statements are typically identified by words such as “believe,” “expect,” “anticipate,” “intend,” “target,” “estimate,” “continue,” “positions,” “plan,” “predict,” “project,” “forecast,” “guidance,” “goal,” “objective,” “prospects,” “possible” or “potential,” by future conditional verbs such as “assume,” “will,” “would,” “should,” “could” or “may”, or by variations of such words or by similar expressions. These forward-looking statements are subject to numerous assumptions, risks and uncertainties, which change over time. Forward-looking statements speak only as of the date they are made and we assume no duty to update forward-looking statements. Actual results may differ materially from current projections.

Forward-looking statements by their nature address matters that are, to different degrees, uncertain, such as statements about the consummation of the proposed transaction. Many factors could cause actual results to differ materially from these forward-looking statements, including, in addition to factors previously disclosed in Tyco’s reports filed with the SEC, which are available at www.sec.gov and www.Tyco.com under the “Investor Relations” tab, and those identified elsewhere in this communication, risks relating to the completion of the proposed transaction on anticipated terms and timing, including obtaining shareholder and regulatory approvals, anticipated tax treatment, unforeseen liabilities, future capital expenditures, revenues, expenses, earnings, synergies, economic performance, indebtedness, financial condition, losses, future prospects, business and management strategies for the management, expansion and growth of the new combined company’s operations, the ability of Tyco and Johnson Controls to integrate their businesses successfully and to achieve anticipated synergies, changes in tax laws or interpretations, access to available financing, potential litigation relating to the proposed transaction, and the risk that disruptions from the proposed transaction will harm Tyco’s business.

Annualized, pro forma, projected and estimated numbers are used for illustrative purpose only, are not forecasts and may not reflect actual results.

Statement Required by the Irish Takeover Rules

The directors of Johnson Controls accept responsibility for the information contained in this communication other than that relating to Tyco and the Tyco group of companies and the directors of Tyco and members of their immediate families, related trusts and persons connected with them. To the best of the knowledge and belief of the directors of Johnson Controls (who have taken all reasonable care to ensure that such is the case), the information contained in this
communication for which they accept responsibility is in accordance with the facts and does not omit anything likely to affect the import of such information.

The directors of Tyco accept responsibility for the information contained in this communication relating to Tyco and the directors of Tyco and members of their immediate families, related trusts and persons connected with them. To the best of the knowledge and belief of the directors of Tyco (who have taken all reasonable care to ensure such is the case), the information contained in this communication for which they accept responsibility is in accordance with the facts and does not omit anything likely to affect the import of such information.

Centerview Partners LLC is a broker dealer registered with the United States Securities and Exchange Commission and is acting as financial advisor to Johnson Controls and no one else in connection with the proposed transaction. In connection with the proposed transaction, Centerview Partners LLC, its affiliates and related entities and its and their respective partners, directors, officers, employees and agents will not regard any other person as their client, nor will they be responsible to anyone other than Johnson Controls for providing the protections afforded to their clients or for giving advice in connection with the proposed transaction or any other matter referred to in this announcement.

Barclays Capital Inc. is a broker dealer registered with the United States Securities and Exchange Commission and is acting as financial advisor to Johnson Controls and no one else in connection with the proposed transaction. In connection with the proposed transaction, Barclays Capital Inc., its affiliates and related entities and its and their respective partners, directors, officers, employees and agents will not regard any other person as their client, nor will they be responsible to anyone other than Johnson Controls for providing the protections afforded to their clients or for giving advice in connection with the proposed transaction or any other matter referred to in this announcement.

Lazard Freres & Co. LLC, which is a registered broker dealer with the SEC, is acting for Tyco and no one else in connection with the proposed transaction and will not be responsible to anyone other than Tyco for providing the protections afforded to clients of Lazard Freres & Co. LLC, or for giving advice in connection with the proposed transaction or any matter referred to herein.

NOT FOR RELEASE, PUBLICATION OR DISTRIBUTION, IN WHOLE OR IN PART, IN, INTO OR FROM ANY JURISDICTION WHERE TO DO SO WOULD CONSTITUTE A VIOLATION OF THE RELEVANT LAWS OR REGULATIONS OF SUCH JURISDICTION.

This communication is not intended to be and is not a prospectus for the purposes of Part 23 of the Companies Act 2014 of Ireland (the “2014 Act”), Prospectus (Directive 2003/71/EC) Regulations 2005 (S.I. No. 324 of 2005) of Ireland (as amended from time to time) or the Prospectus Rules issued by the Central Bank of Ireland pursuant to section 1363 of the 2014 Act, and the Central Bank of Ireland (“CBI”) has not approved this communication.