



Supplier Sustainability Rating Survey 2018

First Name * _____ Last Name * _____

Company * _____ Vendor ID _____

Street Address * _____

Address Line 2 _____

City * _____ State/Province * _____

Zip/Postal Code _____ Country * _____

Since you selected "Other" as your Country, please enter your Country here: * _____

Job Title _____

Email Address * _____

Please select all that apply. My company supplies the following Johnson Controls division(s): *

- Buildings (Including legacy Tyco)
- Power Solutions
- Corporate

Select the location of your headquarters: *

- Asia (China, Japan, Korea)
- South East Asia (India, Thailand, Malaysia)
- Europe (EU, South America, South Africa)
- North America
- Other

Which industry best describes your company's primary business? *

- Aerospace/Information Technology
- Automotive
- Chemical
- Computers & electronic products
- Consumer Products
- Diversified Industrial Goods and Services
- Electric Utility
- Electronics
- Energy
- Food/Agri Industry
- Forest Products
- Health Care & Health Care Products
- Imaging Products & Services
- Industrial & Institutional Appearance Protection
- Oil and Gas Production
- Packaging
- Pharmaceutical
- Semiconductor
- Transportation
- Construction, Chemical and Petroleum
- Travel & Leisure (Cruise)
- Other _____

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Please answer the following social and environmental questions to the best of your knowledge.

F1. Supplier Ethics

F1.1 Does supplier comply with the Johnson Controls Ethics Policy or equivalent policy? *

- Supplier is unwilling to or does not comply with Ethics policy or equivalent.
- Supplier complies with most aspects of the Ethics Policy or equivalent, but is unsure that all aspects of the policy is communicated. Compliance throughout the supplier organization is not confirmed.
- Supplier fully complies with Ethics Policy or equivalent.
- Supplier fully complies with Ethics Policy (i.e., provides or has on public web copies of Ethics Policy and requires documented compliance from management level employees, Ethics Certification / training records.
- Supplier has developed an Ethics policy that fully complies with Johnson Controls Ethics Policy, provides or has on public web copies of their Ethics Policy and requires documented compliance from management level employees, Ethics Certification / training records.

F1.2 Does supplier ensure that its suppliers are compliant with the Johnson Controls Ethics Policy or equivalent? *

- Supplier is unwilling to determine or is unsure if its suppliers comply with the Johnson Controls Ethics policy or equivalent.
- Supplier believes most of its suppliers comply with the Johnson Controls Ethics policy or equivalent, but is unable to provide documentation that the supplier actually complies.
- Supplier knows most of its suppliers comply with the Johnson Controls Ethics policy or equivalent and is able to provide documentation that the supplier actually complies.

F2. Environmental Management Systems

F2.1 Does supplier have an Environmental Management System (EMS) or is supplier certified /compliant with ISO 14001? *

- Supplier is not compliant or has no plans to be certified to or compliant with ISO 14001 within one year.
- Supplier is not compliant with ISO 14001, but plans to be certified or compliant within one year.
- Supplier is compliant with ISO 14001.
- Supplier is compliant with ISO 14001 and plans to be certified or compliant within one year.
- Supplier is certified to ISO 14001 and can provide documentation about the certification.

F3. Energy and Climate

F3.1 Does supplier have programs in place to effectively reduce its energy consumption? *

- Supplier has no energy reduction program in place.
- Supplier has initiated efforts to reduce energy consumption.
- Supplier has an energy reduction program in place, which includes having reduction goals, action plans and trend data.
- Supplier has an energy reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses its energy reduction goals.
- Supplier has an energy reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses both its energy reduction goals and reduction results.

*Reduction Programs	Supplier's own policy, regulations, rules regarding energy consumption, water consumption, waste production (also in office) could be considered a Reduction Program.
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F3.2 Does supplier have programs in place to effectively reduce its greenhouse gas emissions (*GHG)? *

- Supplier has no GHG reduction program in place.
- Supplier has initiated efforts to reduce GHG emissions.
- Supplier has a GHG reduction program in place, which includes having reduction goals, action plans and trend data.
- Supplier has a GHG reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses its GHG reduction goals.
- Supplier has a GHG reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses its GHG reduction goals and results.

F3.3 Does supplier report its greenhouse gas emissions (GHG) to the [Carbon Disclosure Project \(CDP\)](#)? *

- Supplier does not report its climate change risks and greenhouse gas emissions to the Carbon Disclosure Project.
- Supplier has not reported its climate change risks and greenhouse gas emissions to the Carbon Disclosure Project, but intends to next time the report is due.
- Supplier partially reports its climate change risks and greenhouse gas emissions to the Carbon Disclosure Project.
- Supplier fully reports its climate change risks and greenhouse gas emissions to the Carbon Disclosure Project, but does not make the data publicly available.

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- Supplier fully reports its climate change risks and greenhouse gas emissions to the Carbon Disclosure Project, makes the data publicly available.

*Greenhouse gas (GHG) emissions	Scope 1: Emissions from sources that the company owns or controls, like natural gas-fired boilers or vehicle fleets. These are also called direct emissions. Scope 2: Emissions that are a consequence of the operations of the company, but occur at sources owned or controlled by another company, most typically electricity, heat, or steam. These are also called indirect emissions. Scope 3: Indirect emissions that are not covered in Scope 2, such as employee travel, product transport, supplier's emissions. Also called value chain emissions.
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F.4 Material / Operational Efficiency

F4.1 Does supplier have programs in place to effectively minimize water consumption? *

- Supplier has no program in place to reduce water consumption.
- Supplier has initiated a program to minimize water consumption.
- Supplier has a water consumption reduction program in place, which includes having reduction goals, action plans and trend data.
- Supplier has a water consumption reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses its reduction goals.
- Supplier has a water consumption reduction program in place, which includes having reduction goals, action plans and trend data and publicly discloses both its reduction goals and results.

F4.2 Does supplier have programs in place to effectively minimize wastes such as recycling programs, manufacturing waste, etc. (also applicable in case of non-production facilities/companies)? *

- Supplier has a waste minimization program in place, which includes having reduction goals, action plans and trend data and publicly discloses both its reduction goals and reduction results.
- Supplier has no program in place to reduce waste.
- Supplier has initiated a program to minimize waste generation.
- Supplier has waste minimization program in place, which includes having reduction goals, action plans and trend data.
- Supplier has a waste minimization program in place, which includes having reduction goals, action plans and trend data and publicly discloses its reduction goals.

*Public Disclosure	There are many forms of public communication which includes: Company Handbooks, Visual Metrics that are displayed, shared publicly in employee meetings and on the intranet, etc.
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F.5 Employee Care

F5.1 Does supplier have a safety and health program? *

- Supplier does not have a safety program that is fully compliant with all applicable regulations.
- Supplier does not have a fully compliant safety program but has actions in place to ensure compliance within six months.
- Supplier has a safety program that is fully compliant with all applicable regulations.

F5.2 Does supplier maintain records of employee injuries and accidents and have a program in place to reduce recurrence of similar incidents? *

- Supplier has not documented procedures to monitor injuries and illnesses.
- Supplier has documented procedures to monitor injuries and illnesses.
- Supplier has documented procedures to monitor injuries and illnesses including the investigation of each accident with the goal of identifying permanent corrective actions.
- Supplier has documented procedures to monitor injuries and illnesses including the investigation of each accident with the goal of identifying permanent corrective actions and ensures necessary emergency medical treatment.
- Supplier has documented procedures to monitor injuries and illnesses including the investigation of each accident with the goal of identifying permanent corrective actions, ensures necessary emergency medical treatment, and provides follow up to prevent repeat injuries and illnesses. Appropriate safety data is reported to management and the public.

F5.3 Are supplier's employees at least 16 years old and do all employees work voluntarily? *

- Supplier does not have policies in place that specifically restrict forced labor and prohibit having employees younger than 16 years old.
- Supplier has policies in place that specifically restrict forced labor and prohibit having employees that are younger than 16 years old
- Supplier has policies in place that specifically restrict forced labor and prohibit having employees that are younger than 16 years old and includes measures to verify.

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F.5 Employee Care

F5.4 Does supplier maintain a workplace free of physical and mental harassment, abuse and discrimination? *

- Supplier does not have a program to maintain a workplace free of physical and mental harassment, abuse and discrimination.
- Supplier has a program to maintain a workplace free of physical and mental harassment, abuse and discrimination.
- Supplier has a program to maintain a workplace free of physical and mental harassment, abuse and discrimination and there are no regulatory issues regarding discrimination.
- Supplier has a program to maintain a workplace free of physical and mental harassment, abuse and discrimination, there are no regulatory issues regarding discrimination, and has additional programs in place to actively encourage diversity in the workforce.

F5.5 Does supplier maintain fire detection, suppression equipment and adequate exits as required by regulations? *

- Supplier does not have programs to maintain fire detection, suppression equipment and adequate exits as required by regulations.
- Supplier has programs to maintain appropriate fire detection, suppression equipment and adequate exits as required by regulations.
- Supplier has programs to maintain appropriate fire detection, suppression equipment and adequate exits as required by regulations. Has documented emergency plans as well as worker training and drills.

F5.6 Does supplier allow employees a right to organize and bargain collectively in a manner that is legally compliant and workers' representatives are not subject to discrimination and have appropriate access to workplaces necessary to carry out their respective functions? *

- Supplier does not have policies and procedures requiring its employees to respect voluntary freedom of association and guarantee the right to organize and bargain collectively within the applicable laws and regulations.
- Supplier does have policies and procedures requiring its employees to respect voluntary freedom of association and guarantee the right to organize and bargain collectively within the applicable laws and regulations.
- Supplier does have policies and procedures requiring both employees and suppliers to respect voluntary freedom of association and guarantee the right to organize and bargain collectively within the applicable laws and regulations.

F.6 Environmental, Health & Safety Inspections and Audits

F6.1 Does the supplier have an effective Environmental, Health & Safety (EHS) management system? *

- Supplier has no EHS Program involving periodic inspections or audits.
- Supplier has an EHS Program, but only conducts inspections or audits of selected workplaces.
- Supplier has an EHS Program.
- Supplier has an EHS Program and conducts inspections or audits of all workplaces annually.
- Supplier has an EHS Program, conducts inspections or audits of all workplaces annually and includes reduction goals, action plans, and trend data.
- Supplier has an EHS Program that has produced consistent annual improvements in safety and environmental outcomes/metrics.

F.7 Supply Chain Management for Sustainability

F7.1 Does supplier have a method to ensure that its own suppliers follow social, environmental, and economic practices that support overall sustainability efforts, including on site audits as deemed appropriate? *

- Supplier does not have a policy and/or procedures supporting sustainability within its supply chain.
- Supplier does have a policy and/or procedures supporting sustainability within its supply chain.
- Supplier does have a policy and/or procedures supporting sustainability within its supply chain and requires an assessment of their suppliers' capabilities with regard to social and environmental sustainability as part of sourcing decisions and performance indicators.
- Supplier does have a policy and/or procedures supporting sustainability within its supply chain, requires an assessment of their suppliers' capabilities with regard to social and environmental sustainability as part of sourcing decisions and performance indicators, and shares information about best practices, technology, and resource sharing programs where applicable.

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F7.2 Has supplier provided Conflict Minerals Report as requested by Johnson Controls describing the presence of 3TG's (Tin, Tantalum, Tungsten, Gold) in product(s) provided to Johnson Controls? (Out-of-scope suppliers, e.g. service providers, MRO suppliers, etc., are not requested to report on Conflict Minerals, please select "Other" below and state that you are an Out-of-scope supplier.) ***

- Supplier has not provided any Conflict Minerals data.
- Supplier's Conflict Minerals Report is in progress.
- Supplier has provided Conflict Minerals Report, but needs to collect additional information and therefore claims status DRC Conflict Undeterminable.
- Supplier has provided Conflict Minerals Report and claims status Not DRC Conflict Free, however, is in transition of moving the source and to be DRC Conflict Free.
- Supplier has provided Conflict Minerals Report and claims status DRC Conflict Free.*
- Supplier's product(s) does not contain any of the 3TG's (Tin, Tantalum, Tungsten, Gold) and supplier has provided the CMRT Template and/or a Full Material Disclosure

** Other _____

DRC Conflict Undeterminable	Sources of 3TG either: • Unknown or • From DRC but not yet determined to be conflict free
DRC Conflict Free	All sources of 3TG are: • Known and • Determined to be conflict free (including those within DRC)
Not DRC Conflict Free	At least one source of 3TG: • From DRC and • Determined not to be "DRC Conflict Free"

F.8 Diverse Business Development

F8.1 Does supplier understand and support strategies to work with diverse-owned businesses? Please select all that apply to your company.

Definition: A diverse-owned business is defined as a company that is at least 51 percent owned, managed and controlled by one or more minority persons, or persons from a historically underutilized population groups, or non-minority women, or a business that conforms to guidelines established by the National Minority Supplier Development Council (www.NMSDC.org) and its [global affiliates](#), the Women's Business Enterprise National Council (www.WBENC.org) and its [global affiliates](#), or the National Veteran Business Development Council (www.NVBDC.org). The designation of historically underutilized population group is based on local country definitions outside the United States. *

- Supplier does not understand and support strategies to work with diverse-owned businesses (please invite me to a supplier diversity webinar)
- Supplier supports diversity business involvement as evidenced by designating a supplier diversity leader
- Supplier supports diversity business involvement as evidenced by reporting spend with diverse-owned businesses at www.johnsoncontrols.com/supplierdiversity
- Supplier supports diversity business involvement as evidenced attending a supplier diversity event hosted by non-government organizations listed below:

National Minority Supplier Development Council (NMSDC) Global Affiliates



Women's Business Enterprise National Council (WBENC) Global Affiliates



National Veteran Business Development Council (NVBDC)



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F.9 Slavery & Human Trafficking

F9.1 Does supplier have a compliance plan in place to ensure that human trafficking and forced labor are not used and that risks of worker exploitation are mitigated. *

- Yes
- No

F.9.2 Please select *all that apply* to your company, where selecting the item means the sentence *does* reflect reality at your company and not selecting the item means the sentence *does not* reflect reality at your company. *

- As an employer or agent, supplier does not hold or destroy employees' identification or immigration documents, such as government-issued identification, passports or work permits, unless the holding of work permits is required by law.
- Supplier does not restrict workers' freedom of movement in the facility or restrict entering or exiting company-provided facilities.
- In the supplier's organization, all employee work is voluntary and workers are free to terminate their employment and leave work at any time.
- Supplier does not use misleading or fraudulent practices during the recruitment of employees.
- As part of the hiring process for the supplier's organization, workers are provided with a written employment agreement in their native language that contains a description of terms and conditions of employment and the hazardous nature of the work, prior to the worker departing from his or her country of origin.
- The supplier's workers do not pay recruitment fees or other related fees for their employment.
- If any such fees are found to have been paid by workers, such fees are repaid to the worker.

F9.3 Is supplier willing to be more transparent about its ethical recruitment policies, including how these policies are implemented and what indicators are used to measure success? *

- Supplier is not willing to be more transparent about its ethical recruitment policies, including how these policies are implemented and what indicators are used to measure success.
- Supplier is willing to be more transparent about its ethical recruitment policies, including how these policies are implemented and what indicators are used to measure success.

F9.4 Does supplier ensure that recruitment agencies in its supply chain are audited relative to unethical recruitment practices? *

- Supplier does not ensure that recruitment agencies in its supply chain are audited relative to unethical recruitment practices.
- Supplier ensures that recruitment agencies in its supply chain are audited relative to unethical recruitment practices.

F9.5 Does supplier have a process to monitor the above practices, assess risk to workers of unethical recruitment practices, and train procurement staff, suppliers and auditors on how to identify and address those risks? *

- Supplier does not have a process to monitor the above practices, assess risk to workers of unethical recruitment practices, and train procurement staff, suppliers and auditors on how to identify and address those risks.
- Supplier has a process to monitor the above practices, assess risk to workers of unethical recruitment practices, and train procurement staff, suppliers and auditors on how to identify and address those risks.

Please feel free to add comments or suggestions to improve this questionnaire.