

**REQUEST FOR QUALIFICATIONS #R10-1143 FOR:  
ENERGY AND CONSERVATION PERFORMANCE  
CONTRACTING SERVICES**

October 7, 2022

**Section Two :**  
Proposal Submission, Questionnaire and  
Required Forms

# Proposal Form Checklist

## The following documents must be submitted with the Proposal

---

The below documents can be found in Section 2; Proposal Submission and Required Bid Forms and must be submitted with the proposal.

### QUESTIONNAIRE & EVALUATION CRITERIA :

PROPOSAL FORM 1: QUESTIONNAIR E & EVALUATION CRITERIA

### OTHER REQUIRED PROPOSAL FORMS:

- PROPOSAL FORM 2: CERTIFICATIONS AND LICENSES
- PROPOSAL FORM 3: CLEAN AIR AND WATER ACT
- PROPOSAL FORM 4: DEBARMENT NOTICE
- PROPOSAL FORM 5: LOBBYING CERTIFICATION
- PROPOSAL FORM 6: CONTRACTOR CERTIFICATION REQUIREMENTS
- PROPOSAL FORM 7: ANTITRUST CERTIFICATION STATEMENTS
- PROPOSAL FROM 8: IMPLEMENTATION OF HOUSE BILL 1295
- PROPOSAL FROM 9: BOYCOTT CERTIF ICATION AND TERRORIST STATE CERTIFICATION
- PROPOSAL FORM 10: RESIDENT CERTIFICATION
- PROPOSAL FORM 1 1: FEDERAL FUNDS CERIFICATION FORM
- PROPOSAL FORM 1 2: ADDITIONAL ARIZONA CONTRACTOR REQUIREMENTS
- PROPOSAL FORM 1 3: OWNERSHIP DISCLOSURE FORM (N.J.S. 52:25 -24.2)
- PROPOSAL FORM 1 4: NON -COLLUSION AFFIDAVIT
- PROPOSAL FORM 1 5: AFFIRMATIVE ACTION AFFIDAVIT (P.L. 1975, C.127)
- PROPOSAL FORM 16: C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM
- PROPOSAL FORM 17: STOCKHOLDER DISCLOSURE CERTIFICATION
- PROPOSAL FORM 18: GENERAL TERMS AND CONDITIONS ACCEPTANCE FORM
- PROPOSAL FORM 19: EQUALIS GROUP ADMINISTRATION AGREEMENT
- PROPOSAL FORM 20: OPEN RECORDS POLICY ACKNOWLEDGEMENT AND ACCEPTANCE
- PROPOSAL FORM 21: VENDOR CONTRACT AND SIGNATURE FORM

(The rest of this page is intentionally left blank)

**PROPOSAL FORM 1: QUESTIONNAIRE & EVALUATION CRITERIA**

**Instructions:**

Respondents should incorporate their questionnaire responses directly into the green cells below. Failure to provide responses in this format may result in the proposal being deemed as non-responsive at the sole discretion of Region 10.

Respondents may incorporate additional documents as part of their response which may be utilized by Region 10 as part of the evaluation. Additional documents must be consolidated as part of this Section 2 at the end of your response.

Region 10 has associated the evaluation criteria with the question that most closely aligns with that respective evaluation criteria. Region 10 reserves the right at its sole discretion to base its evaluation and specific evaluation criteria on any part of the respondent’s proposal.

Evaluation Criteria	Question	Answer
<b>Basic Information</b>		
Required information for notification of RFP results	<i>What is your company’s official registered name?</i>	Johnson Controls, Inc.
	<i>What is the mailing address of your company’s headquarters?</i>	5757 N. Green Bay Ave. Milwaukee, WI 53209
	<i>Who is the main contact for any questions and notifications concerning this RFP response, including notification of award? Provide name, title, email address, and phone number.</i>	Mary Beth Alexander Sr Business Development Manager, Cooperative Contracts <a href="mailto:Mary.alexander@jci.com">Mary.alexander@jci.com</a> (262) 226-9808

**Performance Capability (30 Points)**

Breadth of products and services provided

*Describe the products and services your company offers in response to the scope of this RFQ.*

Johnson Controls provides the widest spectrum of innovative products, expert installation and services, and systems integration to help improve operational and energy outcomes for clients worldwide. Equalis Group/Region 10 ESC and its members will benefit from the wide range of energy conservation solutions our organization provides. Our service offerings maximize the return on investment and function as one integrated solution rather than a series of disjointed services. Within the pages that follow, we have provided a description and overview of the products and services we offer as it pertains to the scope you have detailed within Section One: Part A of the RFQ.

**PERFORMANCE CONTRACTING**

Johnson Controls is one of the pioneers of performance contracting. We established the concept of performance-based contracting in the area of energy conservation for institutional, public, commercial, and industrial. We then perfected the energy performance-based contracting concept over the next decade, and it became an official line of business for Johnson Controls in 1983. Since then, we have implemented more than 3,500 energy performance contracting projects. This track record is your assurance that Johnson Controls plans, develops, and implements realistic energy efficiency projects that achieve the expected results.

Johnson Controls has an unparalleled record in delivering successful guaranteed energy savings programs to all types of facilities. Throughout our 39-year history in performance contracting, we have guaranteed more than \$17.6 billion in energy and operational savings for our clients. Currently, Johnson Controls has 513 active performance contracting projects in North America. These projects are guaranteed to save more than \$7.13 billion in energy and operational savings over their project terms.

Our team of experts partner with customers to improve the performance of their infrastructure and buildings, so the people within can achieve more. We do this through various improvements, including lighting, water, central utility plants, energy efficiency, storage and distribution, upgrades to HVAC, controls, automation, and much more. We enable the infrastructure improvements through various funding mechanisms including, but not limited to, ESPC and Public-Private Partnerships (P3).

Johnson Controls delivers innovative infrastructure improvement solutions that directly contribute to our customer's core mission and their bottom line. Performance contracting is a natural solution to reducing energy and operating costs, improving comfort, and updating building infrastructure for Equalis Group/Region 10 ESC members across the nation.

Each of our projects has required Investment Grade Audits (IGAs), prioritization efforts, strategic alignment with our customers, assessments, and implementation of cost saving solutions with ongoing accountability for outcomes over decades. Our long history and proven capabilities illustrate that we can perform all phases of any project, including acting as a general contractor/project manager and providing Equalis Group/Region 10 ESC members with best value through a coordinated set of impactful Energy Conservation Measures (ECMs), infrastructure upgrades, equipment maintenance and service, IGAs, or any combination of service that you require.

Past results and the manner that your selected ESCO addresses their guarantee should be critical to your selection process. When partnering with Johnson Controls, you can be assured that we will be in this business long beyond your guarantee period. We hold the largest market share in the industry, but we are also the only ESCO that has worked consistently in this business since the industry's beginning. Even some of the larger ESCOs have varied their focus on performance contracting,

depending on the marketplace or disruption when a company is acquired by another entity. Johnson Controls has continuously invested to bring our customers the most comprehensive guaranteed solution to the table.

In the rare case where savings do not match our estimates, we honor our guarantee and provide you with a check for the difference. What's more, our performance contracting customers are realizing energy savings that exceed projections by 15 to 20%.

We have a straightforward process that defines, measures, tracks, and reconciles performance contracts in a fair and transparent manner.

Outlined below is the methodology we have developed and refined over more than 30 years of implementing performance contracts to our customers across all vertical markets. Our focus is on maximizing energy savings and operating cost reductions, as well as addressing additional priorities, including:

#### **Energy Auditing**

The first step of an energy conservation project is to conduct a preliminary assessment of the building. Focusing on the upgrades you have prioritized; this assessment reveals where the most impactful solutions are — from both an operational and financial perspective. Once the preliminary assessment is analyzed, we will jointly determine which buildings and improvement measures deserve in-depth examination during an Investment Grade Audit.

#### **Investment Grade Audit**

Following the preliminary assessment, Johnson Controls will develop an IGA schedule. This schedule will allow us to define the resources needed for the audit. The important components beyond walking through your building will be the need to collect utility data in advance. The IGA involves a Utility Survey and a comprehensive Building Survey.

**Utility Survey.** A very important step in a successful Utility Survey is having a plan or insight regarding what to look for while surveying the building. The Utility Survey provides Johnson Controls' engineers with that insight. By performing the Utility Survey prior to the Building Survey, we gain insight into which systems are consuming the most energy, how the utilities are charging for each unit of energy consumed, and what strategies might be developed to maximize energy savings, consumption, and dollars spent.

**Building Survey.** Once the Utility Survey has been completed, a comprehensive Building Survey will be performed to gain a thorough understanding of the building and its systems. The Building Survey is a critical task to our overall auditing process. The survey includes many tasks such as the review of the as-built construction drawings; identification of equipment operation and building occupancy schedules; measurement of airflow rates, temperatures, and lighting levels; and power demand of equipment and power distribution panels.

### Project Development

Project Development begins when our technical staff conducts the walk-throughs of your building. Johnson Controls uses a variety of industry standard calculations and software tools to subject your potential projects to further scrutiny. Software tools we use for calculating potential savings and selecting projects include:

- **eQUEST** – used widely by utility companies to perform load studies, understand the impact of different rate structures, and prepare incentive packages.
- **DOE.2 Modeling Program** – a widely used and accepted freeware building energy analysis program that can predict the energy use and cost for all types of buildings.
- **Metrix<sup>TM</sup>** – a utility accounting program used to establish a utility bill baseline and subsequent comparative analysis.

We will develop a baseline for each building using the data collected. This procedure establishes the “as-built” energy performance of the buildings. Modifications are implemented, one ECM at a time, with a resultant new energy profile. The model calculates the difference in usage should that particular ECM be implemented. In addition, the cost to install that ECM is determined using industry-standard estimating methods.

At this level, each ECM will be considered independently, as if only that ECM were implemented. This provides a fair evaluation of the economic impact of each ECM. Cost savings will be calculated using the unit costs provided by that particular Equalis Group/Region 10 ESC member. However, evaluating each independently does not reveal the bottom-line energy savings potential if more than one ECM is implemented. Accounting for the interaction between ECMs must occur before an accurate profile can be presented. Our analysis will allow for the “cascading” of ECMs — that is, recalculating the savings from the previous ECM results.

The final step in the Project Development Phase is the preparation of a comprehensive report. To facilitate your decision-making process, we developed a powerful financial modeling tool called Customer Solutions Modeler (CSM) that incorporates building audit results into a detailed, month-by-month cash flow showing the full impact of a performance contracting project. CSM compresses project development time and increases accuracy because formulas no longer have to be created for each new project. It’s also easier to change the project scope and instantly see the financial impact. This is especially useful to view specific options when certain desired ECMs produce less savings than others.

Once Johnson Controls develops a base project and presents it in full detail, different scenarios can be simulated with just a few clicks and keystrokes. For example, individual sites or ECMs can be added or removed – and their financial impact will be visible immediately. CSM significantly compresses the time required to modify the base project, while increasing the accuracy of financial projections. The Equalis Group/Region 10 ESC member will be able to optimize the best set of solutions to meet financial expectations faster and with more confidence in the outcome.

When you have more detail available to select which ECMs are included in the final scope, more informed decisions can be made. Since all of this detail will appear on a yearly cash, you can view a more accurate depiction of Net Present Value and Internal Rate of Return.

### **Savings Calculations: Best Practices Standardized**

Predictability is key when you are counting on results from your energy savings program. To be able to deliver consistent, accurate and therefore predictable energy savings, Johnson Controls has collected a wealth of best-practice energy savings calculations from our extensive engineering talent. This compilation of calculations is packaged in a way that compresses the project development cycle, increases the accuracy of savings calculations, and significantly improves our measurement and verification capability.

Johnson Controls' engineers and project managers have access to a library of calculations for commonly used improvement measures. The industry status quo when not using third-party building modeling software has been to use calculations from a variety of sources (such as spreadsheets, vendor proprietary software or rules of thumb).

At other firms, some engineers generate their own calculations, some borrow them from previous projects, while others purchase calculations. This introduces a great deal of variation — and the quality of the calculations are tied to each engineer's capability to perform the calculations. Recognizing this, Johnson Controls made a significant investment to leverage our collective engineering experience into a standardized calculation tool for the ultimate benefit of our clients.

These calculations work equally well for identifying preliminary savings or investment grade audit savings. They simplify the process of presenting various savings scenarios to our customers to aid in making final decisions regarding project scope.

Our measurement and verification professionals also use these calculations to compare actual savings more accurately to guaranteed savings. Each input parameter and measurable value is presented in an easily identifiable and documentable format. This reduces the risk of a performance contracting program falling short of its financial objectives.

### **BUILDING ENVELOPE SYSTEMS**

Unwanted heat loss or gain through walls, doors, windows, and roofs can 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. We investigate and remedy building envelope improvement opportunities to enhance occupancy comfort and reduce the cooling load required to condition the space. We use infrared photography and blower door tests to identify leaks and missing insulation in areas that are not visible. Typical surveys include the inspection of roof and ceiling joints, windows and doors, roofs and attics, perimeter and subterranean walls, and penetrations. We also patch and insulate penetrations and install or replace new door sweeps, air curtains for loading doors, wall and roof insulation, reflective roofing, windows, and doors.

The following list shows a subset of our building envelope capabilities:

- Window and door multi-glazing
- Installation of storm windows and doors
- Tinted window film
- Roofing
- Insulate building structure and systems, walls, roof, floor, soffit

- Energy efficient windows
- Window and door weather stripping and caulking
- Revolving doors
- Air curtains
- Automatic door closers
- Heat-absorbing and/or heat-reflective glazed and coated windows and doors
- Caulk pipe penetrations
- Weather stripping to seal gaps found in doors
- Seal ceiling to roof gap
- Solar radiation reduction
- Reflective coating to roof
- Weatherproofing

### **BUILDING AUTOMATION SYSTEMS**

Providing a comfortable, safe, and secure environment for Equalis Group/Region 10 ESC members is of the utmost importance. Yet, shrinking operational budgets put tremendous pressure on building managers to find more efficient ways to invest in and operate their facilities. Effective facility management is no longer enough — facilities must be optimized. A state-of-the-art Building Automation System (BAS) puts that control at your facility operators' fingertips.

A Johnson Controls Metasys BAS offers the intelligence, ease of use, and mobility that facility operators need today to optimize your facilities' efficiency, and drive energy and operational savings. A Metasys BAS is an integrated network that monitors and controls disparate systems, equipment, and components within a building, such as HVAC, lighting, security, fire safety, and more. Our goal is to help Equalis Group/Region ESC member's facility operators solve problems faster. Metasys accomplishes this through:

- An easy-to-use interface that provides key information at a glance and with just a few clicks or swipes.
- An intuitive design with data organized by location and equipment, making it easy to identify, troubleshoot and correct issues as they arise.
- A platform that is optimized for mobility, because facility operators don't spend much time behind a desk.

When something goes wrong in your facility, there's no time to waste. Metasys helps your facility operator quickly zero in on a specific space, view the devices and equipment serving that space, and take action to identify and resolve any potential issues.

### **Metasys 30+ Years Proven Performance**

Johnson Controls has been involved in integrated control systems for more than 130 years. The first electric thermostatic controls for commercial buildings were invented by Warren Johnson, the founder of Johnson Controls in 1883. In the early 1980s, we introduced our first true, digital controller, and in the 1990s we introduced our first generation of Metasys control systems. Today, Metasys is the world's leading BAS.

We have provided and installed Metasys controls systems in the world's largest facilities. More than 10,000 Metasys systems operate in buildings large and small throughout the world. These include the Empire State Building in Manhattan, where we integrated the Johnson Controls Metasys BAS to monitor and optimize HVAC, lighting, and other building systems. Recently, we were selected by Willis Tower in Chicago to install BAS systems for the new podium addition, replace and upgrade many parts to the current BAS system, and maintain the current comfort and safety standards for the building's tenants, employees, and visitors. At the Hudson Yards Tower C in Manhattan, Johnson Controls was chosen to create a truly intelligent, converged enterprise campus. That vision started with the BAS (Metasys) becoming the hub of the entire enterprise.



The advanced User Interface capabilities that Metasys offers today were born out of extensive observational research. The team who built Metasys spent hundreds of hours in the field with facility operators. The research provided a deep understanding and great detail about their day-to-day work and the challenges they face. The amount of data facility operators must manage can be daunting — from setpoints, to equipment schedules, to alarms and energy usage. The Metasys User Interface takes all of that data and distills it into actionable information — providing instant access and a summary of any alarm, offline equipment, or potential problem — enabling your building staff to manage more effectively and reduce costs.

### **Simple to Learn and Use**

Superior facility management requires ease of mobility and acting on your feet. For that reason, it is important that the Metasys User Interface works seamlessly across all mobile and desktop platforms. Our engineers designed a device-agnostic interface — that means the simple, intuitive experience is the same whether you're using Metasys on your company-issued desktop, laptop, tablet, or a personal smart phone. With no software installation needed, the Metasys experience is consistent across all devices.

When it comes to navigation, Metasys took its inspiration from consumer apps and software. Its intuitive design and user-friendly functionality make it simple to learn and adopt without time spent in specialized training classes or sifting through thick user manuals.

Metasys users quickly pick up the system and become productive, because it is designed for how they work. Data is organized by spaces and equipment, just as it is in their building, making it easy to understand. Users often can begin working in the system as soon as it's installed, which lowers operational expense and improves productivity.

In addition, the system's mobility makes it easy for facility operators to be where the problem is, rather than having to run back and forth to an office to check a computer when resolving an issue. And when they're not on-site, Metasys is still available when on the go. There's no need to return to the facility to make a correction to the system. Users can log in and make changes from anywhere with an internet connection.

## BUILDING OPTIMIZATION SYSTEMS

### OpenBlue

In our new world we must transform in every way. Johnson Controls is transforming how spaces and places are perceived and enjoyed. Applying data from both inside buildings and beyond, our customers can now manage operations systemically. Introducing the blueprint of the future: **OpenBlue** is a dynamic new space from Johnson Controls. This is how buildings come alive.

OpenBlue is a complete suite of connected solutions that delivers impactful sustainability, new occupant experiences, and respectful safety and security that combines our 135 years of building expertise with cutting-edge technology.

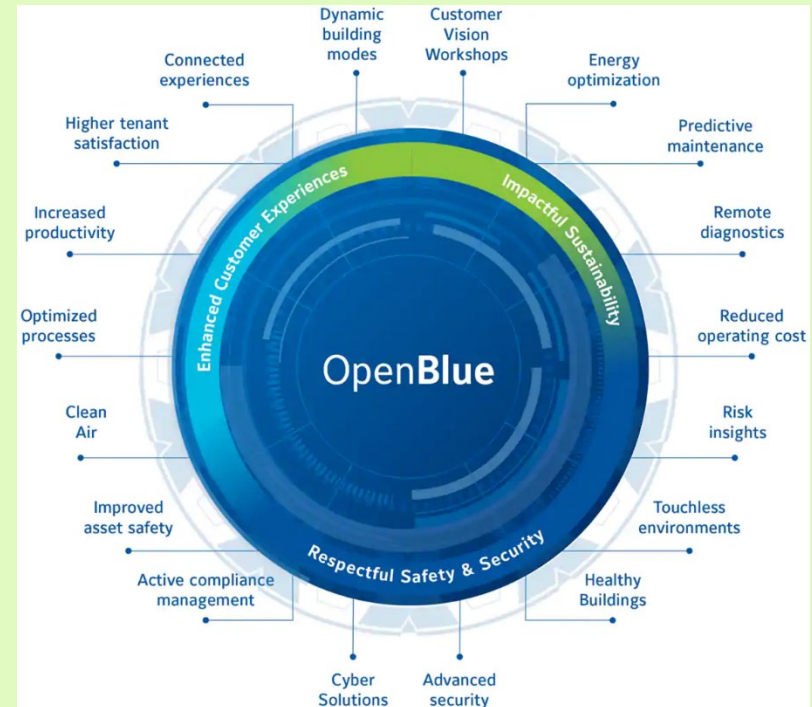
It also features a suite of tailored, AI-powered service solutions such as remote diagnostics, predictive maintenance, compliance monitoring, advanced risk assessments, and more.

#### Building Systems:

- Building Management System
- Access Control System
- Lighting
- HVAC
- Floor plans

#### Integrated Workplace Management Systems:

- Meeting rooms (size, location, amenities)
- Desk (reservable, status)
- Assets (type and location)
- Other spaces
- Frictionless Access Control
- Facial Recognition
- Skin temperature scanning solution
- Facemask detection
- Thermal imaging, UV sanitizing gates, contact tracing, touchless visitor management



Enterprise IT Systems:

- HR & IT System
- Active Directory
- Microsoft Exchange
- CMMS

Third Party Offerings:

- Sensors
- Space Scheduler
- Mobile Access
- Parking management
- Travel options (bus, train, car)
- Weather, traffic, stock prices

OpenBlue serves many different industries: workplaces, hospitals, schools, campuses, stadiums, enterprises, and more. OpenBlue creates value for our customers, from helping patients heal faster to ensuring students re-enter schools with better peace of mind, and from fans experiencing stadiums in a new personalized way to laboratories making major scientific breakthroughs.

Johnson Controls OpenBlue technology powers an innovative suite of new digital solutions with more than 20 uniquely tailored services across HVAC, Fire Protection and Security. The new service offering suite will address unique customer needs including touchless environments, adaptable buildings, contact tracing, and sophisticated ventilation and sanitization systems.

**OpenBlue Enterprise Management**

A planned controls upgrade provides the opportunity for a new, cost-effective energy management technology that can intelligently identify opportunities to reduce energy consumption, extend equipment life through early identification of problems, and display building system information and energy-saving efforts to key stakeholders. The new OpenBlue Enterprise Management is a single-solution platform that empowers you to manage building comfort, reduce operating costs, and improve energy efficiency.



Enterprise Management has an open, comprehensive, analytical platform, with cloud-based versatility, that proactively analyzes building data across an enterprise. It identifies issues, faults, opportunities for improved performance, operational savings, reduced energy consumption, and lower energy costs. Enterprise Management automatically collects, analyzes, and displays information for all configured physical meters and virtual meters located in a facility's operation. Energy demand and consumption is aggregated and displayed using intuitive, customizable dashboards. Powerful analytics root out energy and equipment related problems. These analytics run in the background and identify energy and equipment anomalies. Enterprise Management provides actionable information through the Fault Detection and Diagnostic feature, which provides an easy way for building operators to take corrective action through fault detection and diagnostic-driven work orders.

Asset Maintenance software provides dashboards to display information and status on work orders. Customers can use the information to generate and track work orders and maintenance actions, check service report feedback and status, and measure performance of maintenance teams via key performance indicators at the system level — all from a single platform.

Enterprise Management works with the Metasys® Building Automation System (BAS) and third-party BAS that support BACnet® IP communications to provide a holistic view and insights at every space with respect to equipment operation starting from the portfolio on down to the sub-spaces within the building. Enterprise Management gives customers the ability to get more out of their building investments. Because Enterprise Management uses cloud-based licenses with a variety of subscription options, it is able to meet any organization's needs and budget. Whether you manage one building or an enterprise, Enterprise Management is scalable and able to connect multiple data sources across several geo-locations to a single platform, providing you with meaningful information.

### Central Plant Optimization (CPO)

In many large facilities and campuses, the central plant is the biggest user of energy, the biggest contributor to comfort, and, often, the biggest supplier of energy. Not only do you have to keep it running, but you also have to keep it running at optimum efficiency. That's why we developed the next generation of Central Plant Optimization (CPO) software: to help you make smart decisions when it comes to your central plant.



Our CPO solution monitors all kinds of inputs, including data gathered from your connected equipment and systems to external information like weather forecasts, utility rates, and maintenance schedules. Using these inputs, updated every 15 minutes, our algorithms automatically generate optimization decisions and implement them so you can minimize utility costs and maximize available utility incentives.

<https://www.johnsoncontrols.com/digital-solutions/central-plant-optimization>

### OpenBlue Healthy Buildings

At the heart of our vision for a healthy world is a healthy building. OpenBlue Healthy Buildings supports dynamic, smart facilities with connected solutions for healthy people, healthy places, and a healthy planet. This unique combination of industry-leading technology and game-changing solutions drives your business goals, building on all three pillars for maximum impact. See rapid ROI as you improve operating efficiency, boost productivity, increase revenue opportunities, and enhance sustainability.

- **OpenBlue Dynamic Spaces:** a data-driven, people-focused approach to social distancing, contact tracing, and real-time communication. We use location-based data to share insights with building operators and occupants, giving you the flexibility to further integrate your building and locations with our enterprise smart building platform.
- **Face Mask Detection:** Face mask detection is an AI analytics solution designed to help businesses rise to the challenge of operating safely by complying with mask mandates and public health regulations. OpenBlue Mask Detection provides

automated No Mask event notification, for enhanced situational awareness and a quicker response time when a person without a required face mask is detected.

- **Social Distance Monitoring and Contact Tracing:** We evolve our working environments to meet current and future needs. The health and safety of all who enter the workplace is our number one priority. The Johnson Controls Automated Social Distancing Monitoring and Contact Tracing system prepares facilities for reopening and helps safeguard the health and safety of employees — not just now, but into the future, to give us all real peace of mind.
- **Intelligent Frictionless Access Control:** OpenBlue Frictionless Access is an intelligent frictionless access management solution for work environments where there is a requirement for a high level of security without disrupting the constant flow of employees, contractors, and visitors.

#### OpenBlue Clean Air

OpenBlue Clean Air from Johnson Controls is a unique combination of research-based solutions, cost-effective implementation, and ongoing service and support. Clean Air is part of our broader approach to reimagining spaces and places to create safer, healthier facilities. Today that means mitigating COVID-19 risks and meeting evolving ASHRAE guidelines. Tomorrow that means ensuring your facility is healthy, safe, and flexible for what's next.

We help you cut through marketplace confusion to set clear priorities. Our consultative approach is grounded in HVAC expertise, research from our academic partners, and guidance from CDC, WHO and ASHRAE. We analyze your current systems, equipment, and energy use, then help you determine the best way to increase clean air delivery rates in your building. Our solutions include:

- Ventilation methods to increase outdoor air circulation
- Recommended air change rates to mitigate aerosols
- Filtration options that increase particle collection to improve indoor air quality
- Optimal temperature and humidity settings to destabilize pathogen transmission

#### OpenBlue Location Manager

As we continue to evolve to a "next normal," the health and safety of all who enter the workplace is a number one priority. OpenBlue Location Manager provides strategic indoor location insights in relation to people, space, and equipment across a range of high-value industries including financial institutions, life sciences, data centers, manufacturing, hospitals and medical facilities, and smart commercial office buildings. Location Manager provides strategic indoor location insights in relation to people, space, and equipment including:

- Workflow & Space Utilization
- Contact Tracing & Social Distancing
- Equipment Utilization
- Asset Tracking
- Health & Safety
- Enhanced Insider Security
- Temperature Monitoring

## OpenBlue Digital Twin

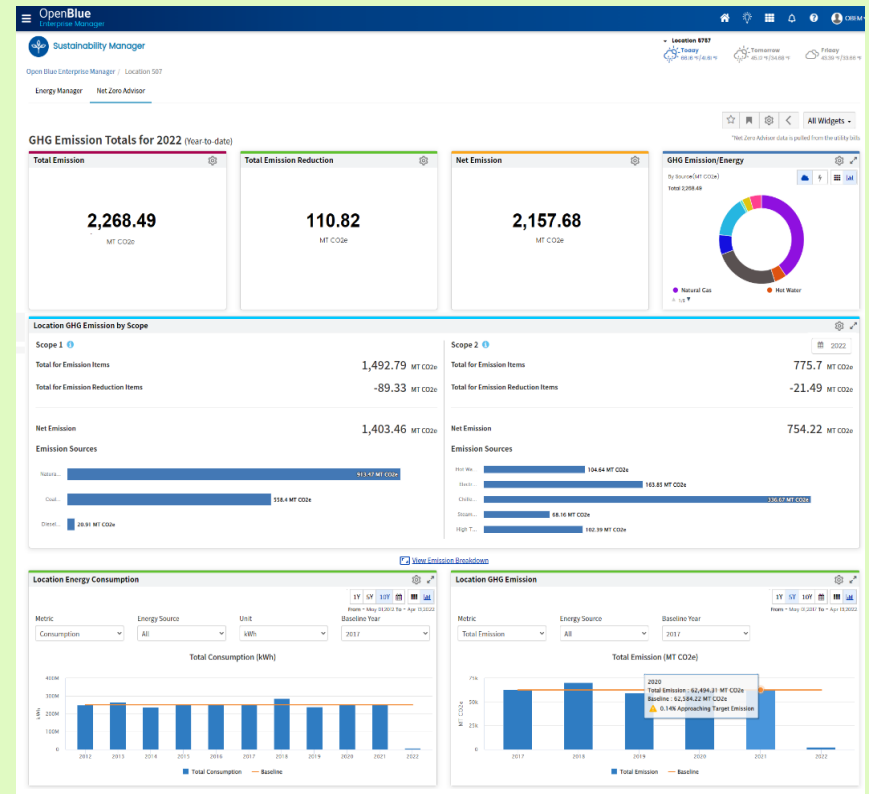
OpenBlue Digital Twin is a managed service for the enablement and mapping of smart, healthy buildings by creating a digital replica of assets, processes, people, places, systems, and devices. While harmonization and the linking of data is its primary use, twins are brought to life by creating a replica environment by leveraging data in and around the building. The buildings' digital twin includes the building structure, location, assets, people, as well as the past, present and future events related to the building and the environment.

- Locations, Events, Assets and People come together with Johnson Control's Digital Twin as the AI-infused foundation to intelligent buildings.
- Digital twins help organize and enrich multiple data silos to provide centralized context for your enterprise while maximizing value.
- AI infusion across the data context and sources help to enable predictive outcomes in real time.
- Using an API-driven approach, OpenBlue Digital Twin is developed on the building blocks of an open architecture. The brick standard is core to our interfaces and data structure.

## OpenBlue Net Zero Advisor

The Net Zero Advisor in OBEM will allow users to monitor their GHG emission for Scope 1 and 2 across their portfolio. By continuously gathering Utility provider data (when available) or manual data uploads via templates, OBEM will monitor the emission of each building, region/location, and portfolio. This can quickly highlight when excess emissions are being produced by a facility. The sample dashboard below shows the total GHG emissions and trends for a location. It provides comparison of GHG scopes 1 & 2, energy sources, reduction amounts, and emission patterns over time. Furthermore, it allows compares current GHG emission against selectable baseline years.

The Net Zero Advisor allows users to analyze emission and energy consumption against a selectable baseline year. Trend graphs allow the sustainability or energy manager to analyze the performance over time and easily identify areas of drift. In situations where the GHG emissions are difficult to understand across your portfolio, OBEM's Net Zero Advisor will capture each building's emission footprint to help paint a clear picture of your portfolio's GHG status. Total GHG emissions for current year, including Scope 1 and Scope 2 emissions are summarized at each level of the





operations. Total emissions reduction for calendar year are captured manual through templates based on renewable energy credits and carbon offsets. Finally, Net emissions helps you track progress toward sustainability objectives.

#### **OpenBlue Secure**

OpenBlue Secure is a software platform that digitizes your Security Operations Centre. Keeping on top of emerging risks and an evolving threat landscape that impacts the safety and security of your employees and assets requires the right tools, processes, and a dedicated team who have security in their DNA. OpenBlue Secure solutions power respectful safety and security and advance your Security Operations Teams to better protect your enterprise.

Security needs are transforming as rapidly as the global threat landscape. From occupants to assets, our complete suite of security solutions is designed to help protect your enterprise.

Our solutions are aligned to our blueprint of the future with digital solutions for enhanced Security Operations Centers such as Active Responder and Risk Insight. Powered by AI and workflow engines to deliver response efficiencies and enhance the capabilities of the SOC team.

#### **OpenBlue Tailored Services Suite**

Highly tailored services for HVAC, fire protection, and security use data-driven insights to support better planning and decision-making, enhanced productivity, and optimized performance. OpenBlue technology powers service the way you want it, with options including predictive maintenance, remote diagnostics, and advanced monitoring.

#### **Companion App**

Productivity is enhanced when people feel empowered and comfortable. The Companion app understands your unique building spaces. It allows you to work your way, automate what you shouldn't have to think about, and apply relevant smart building data to the pursuit of your business mission. You can provide everyone in your building with a single interface to control their comfort, find the people and places they are looking for, reserve a space, see their schedule, and learn about nearby events. When these are easy, or happen by themselves, people have time to do what they came to the building to do.

The Companion app makes your building and campus smarter based on what your people want and need. Rest assured, safety, sustainability, and energy efficiency efforts only get better when informed by direct input from occupants and visitors.

Companion is configured using a secure Web-based interface that correlates people to spaces and integrates systems to work seamlessly together including access control, lighting, authentication, scheduling, comfort. Building teams and owners work together to deliver the experiences and priorities they choose. Data connections are backed by Johnson Controls experts. Companion also allows you to automate building and specialty system responses in unique and useful ways. These use cases don't require Companion app input, but still make occupants and buildings more efficient. For example, keep energy use low in your building spaces until an occupant assigned to that space badges in, triggering the lights to go on and temperature to regulate. Companion doesn't need a person in the space to act.



## CONTROLS

As the industry leader in the design, manufacture, and application and implementation of building management controls, Johnson Controls has the ability to equip facilities with intelligent HVAC, building management, fire and security, lighting, and smart building controls to keep occupants comfortable, run equipment efficiently and optimize operating budgets:

- Actuators
- Control panels and sensors
- Current sensors and transducers
- Thermostats
- Valves
- Variable speed drives

## HVAC and Energy Recovery Systems

Equalis Group/Region10 ESC members can ensure their project produces significant energy savings and the highest return on investment by selecting a company with extensive experience providing energy solutions and a nationwide branch network that ensures expert local service in every market in North America. We are a globally diversified leader that serves customers in more than 150 countries. Operating from 160 branch offices in North America and 473 worldwide, we are a leading provider of performance contracting, equipment, controls, and services for HVAC and refrigeration systems.

Although we have the unique capacity to self-perform most work, we also have the contract management expertise to know when it is appropriate to outsource some functions. Please see our “Subcontracting Scope of Work” document uploaded as an attachment to this response.

## HVAC System Design, Installation, and Service

Johnson Controls designs, manufactures, installs, and services HVAC mechanical systems and their controls. We manufacture award-winning York HVAC equipment and we have negotiated agreements with other major suppliers. This agreement allows us to deliver lower cost products for your project.

As a **vendor neutral partner**, we also have experience servicing and integrating with equipment and systems from other companies. We seek to leverage your existing investments in energy efficiency wherever possible. This experience helps us evaluate your system and provide you with research on different types of manufacturers and equipment to allow you to make the best decision for you and your customers. As a manufacturer and technology developer, we dedicate time and money to research and development to stay ahead of the industry. The knowledge we gain from this investment allows us to make long-range recommendations that help our customers avoid investing in inefficient, outdated, or redundant technologies. We have extensive experience installing and optimizing our equipment in facilities around the world.

Johnson Controls’ Metasys® is the world’s leading system for converging information technology with building technology. Metasys helps control lighting, security, access control, energy management, HVAC, and other monitored systems such as intra-building transportation. We have installed Metasys systems in major buildings throughout the world as documented in numerous case studies on our web site, <http://www.johnsoncontrols.com>. We embrace open systems fully and have solutions across all major protocols. This ensures that our system integrates with controls and equipment from other vendors. The following list shows a subset of our mechanical system capabilities.

**HVAC Systems:**

- Standard Air Handling Units (AHUs), Customer AHUs, AMI Modular AHUs
  - Inefficient air handling unit replacement
- HVAC system redesign
- Energy recovery systems
- Variable frequency drives
- Heat recovery systems
- Low leakage air dampers
- Variable air volume systems
- Inlet vanes for centrifugal fan
- Demand control ventilation
- Exhaust fans
- Fan coil units
- Motor replacement
- Unit heaters/ventilators
- Computer room unit optimization
- Four-pipe system to two-pipe system
- Variable volume system upgrades
- System recommissioning
- Duct Free Mini Split Systems
- Invertors
- Pumps
- Indoor Air Quality Products and Devices: Active polarization, non-ionizing, electronic air cleaning systems intended to replace passive filtration
- Rooftop units
- Heat pumps
- PTACs
- Water source heat pumps
- Air Terminal Devices and Heating Products
- Lighting systems-disinfectant lighting (UVC light tech) for air handlers

**Cooling Systems:**

- Scroll, Rotary, Centrifugal, Reciprocating, Air-Cooled Chillers, Water-Cooled Chillers, Condensing Units, and Absorption Chillers
- Chiller replacements
- Gas fire centrifugal chillers
- Low load chiller
- CFC containment conversions

- Air-Cooled Variable Refrigerant Flow Systems
- Chilled water temperature reset
- Humidity control
- Absorption chiller
- Gas-fired chiller
- Condenser auto-cleaning
- Conversion to primary secondary, including VSD on pumps
- Cooling towers De-centralization/centralization
- Free cooling

**Energy Management and Control Systems:**

- In-room control systems
- Direct digital controls
- Pneumatic control conversion
- Manual valves to automatic valves
- Air compressors
- Lab flume hood control
- Multi-system integration
- Load shedding
- Demand management
- Staging / lead-lag
- Optimum start / stop

**Heating Systems:**

- Heating system redesign and optimization
- Boiler replacement
- Electric to gas fired boiler
- High efficient modular boilers
- Low load boiler
- Burner replacement
- Dual fuel burners
- Oil atomizing burners
- Boiler stack heat reclaim
- Perimeter radiation
- High efficient domestic water heaters
- Gas line turbulators
- Temperature reset control
- Electric heating to gas
- Piping insulation
- Boiler stack reclaim
- Boiler system de-centralization
- Aerator replacement with O2 scavenger

- |  |  |   |
|--|--|---|
|  |  | <ul style="list-style-type: none"><li>▪ Tower free cooling</li><li>▪ Commercial refrigeration</li><li>▪ Cooling tower upgrade</li><li>▪ Two speed fan motors</li><li>▪ Variable pitch blade cooling tower fan</li><li>▪ Thermal energy storage systems</li><li>▪ Reclaim A.C. heat rejection</li><li>▪ Variable flow system upgrade</li><li>▪ Automated water treatment</li><li>▪ Condensate recovery</li></ul> |
|--|--|---|

## LIGHTING CONTROLS AND RETROFIT

Johnson Controls specializes in providing intelligent lighting solutions that meet and exceed our customers' expectations. We understand that energy efficient lighting is not just about replacing light bulbs, but truly creating a human-centric lighting experience.

### Energy Savings

If controls are added while switching from fluorescent to LED, the project can realize additional energy savings.

### Waste Heat Reduction

LEDs emit a small amount of heat as compared to incandescent lamps and CFLs that, in contrast, release 90% and 80% of their energy as heat.

### Maintenance Savings

Most LEDs are designed to last 10 years or longer. This helps to reduce maintenance and improve total cost of ownership.

### Lighting Retrofits

Extensive LED lighting retrofits and lighting controls upgrades will generate significant savings and reduce maintenance costs while also increasing light level quality, flexibility, and efficiency. Better outdoor lighting will support greater safety in your outside spaces and parking areas.

**Lighting Products:** Intelligent lighting, connected lighting, streetlighting, intelligent street lighting, decorative lighting, human-centric lighting, specialty lighting, safety lighting, disinfectant lighting, and commercial lighting.

#### **Interior Lighting:**

- Linear Fluorescent Upgrades: New LED fixtures, LED retrofit kits, LED tubes
- CFL/INC/HID Upgrades: New LED fixtures, LED retrofit kits, LED re-lamps
- High Bay Fixtures: New LED fixtures

#### **Exterior Lighting:**

- Building Mounted: Wall packs, floods, canopy
- Pole Mounted: Area and streetlights, Post top decorative, High mast, Parking garages

#### **Lighting Controls:**

- Room based controls: occupancy sensors, Photocell sensors
- Stand-alone Networked controls
- Integrated Networked controls with BAS
- Smart City controls

**Human-Centric Lighting (HCL):** HCL systems combine intelligent lighting control with LED lamps and fixtures that have the ability to change their color temperature and intensity. Light varies during the day according to the natural lighting cycle:

- Low light levels and low CCTs (Correlated Color Temperature) in the early morning
- High light levels and high CCTs at midday (up to 10,000 K)
- Low light levels and low CCTs during evening
- Extremely low light levels and a medium CCT under moonlight

Human-Centric Lighting seeks to enhance human performance, comfort, health, and well-being by balancing visual, emotional, and biological benefits of lighting for humans.

**Smart Building-Wide Lighting Control:** By implementing networked controls, Equalis Group/Region 10 ESC members will be able to implement lighting asset management and analytics features. In addition to making spaces easier to reconfigure, networked lighting also enables greater savings, automatic color tuning, and personal environment management.

- **Building Automation System Integration:** When your networked controls are integrated into your Building Automation System, you enable centralized scheduling, greater control of your lighting which provides greater savings, and the ability to let the lighting interact with other building systems.
- **Business Optimization:** Implementing advanced digital sensors enables you to use asset and people tracking technology with Bluetooth tags on equipment, enable intelligent space utilization, heat mapping, and support your personnel with greater safety and security features.



## ELECTRIC SYSTEM IMPROVEMENTS

Johnson Controls' electrical system solutions focuses on energy conservation through the electrification, energy development and management, and storage of energy loads.

### Electrification to Support Green Energy Goals

The goal of electrification is to de-couple the thermal energy requirements of a facility from combustion. Because on-site combustion equipment will always emit GHGs, by changing the heating fuel to electricity, the associated GHG emissions are based on the electrical grid's GHG intensity. In locations with a clean electric grid, the electrification of building systems is a popular solution to increase efficiency, lower costs, and reduce GHG emissions.

Our electrical design team uses a TCO (total cost of ownership) method to determine the optimal mix of electrical hardware to introduce electrification within a facility. We consider not only product cost, but also reliability, maintenance, and installation costs to ensure that the system will operate for 25 years with minimal downtime for repairs and maintenance.

Examples of electric system improvements that are focused on electrification include:

- Energy efficient transformers
- Heat recovery living units and rebalancing
- Electric hot water boilers
- Electric Steam Boiler
- LED lighting retrofits
- Medium voltage distribution units
- Medium voltage standby generator systems

## Energy Storage

### Distributed Energy Storage

Participating Agencies can generate additional utility cost savings and expand your sustainability efforts through our innovative energy storage system. Combining the expertise Johnson Controls brings in batteries and buildings, our distributed energy storage systems are driven by intelligent and adaptive controls and are easily integrated with existing building automation systems to provide a holistic approach to efficient energy management.

The system will reduce the kW demand, especially during on-peak time periods when the peak demand for the month typically occurs. It will also optimize your solar PV arrays by mitigating spikes in instantaneous demand (kW) caused by brief decreases in solar output (from passing clouds, etc.).

Our systems offer:

- **Building Integration** – Our approach to energy storage is to integrate batteries (for battery storage) with the buildings to optimize whole-building performance. By integrating into building automation systems and leveraging these assets, our energy storage systems enhance the return on investment and provide the greatest economic value.
- **System Sizing Flexibility** – Scalable design of our systems means you do not pay for storage you don't need. Both in-building and containerized energy storage systems can be configured to ensure the right amount of storage is deployed for your facilities.
- **Utility Compatibility** – Integration with utility systems is required to monetize an energy storage system for certain applications, including demand response. Johnson Controls energy storage solutions will integrate with the utility provider systems via standard utility protocols.
- **Remote System Monitoring** – We extend our remote monitoring and onsite service capabilities to our energy storage systems, providing local and remote real-time monitoring, diagnostics, and control of the storage system via cellular networks, wireless Internet monitoring, for 1G Ethernet interface.

### Battery Power Stationary Storage

Stationary Storage has improved to the point where customers are seeing significant economic benefit from employing battery systems to provide a hedge against spiking demand charges. Our stationary battery systems store excess energy when the power-generating systems are running and provide power when the power-generating systems are offline.

### Energy Storage System - In-Building

In-building distributed energy storage systems help to manage energy use, cut costs, and provide backup power for single buildings as well as entire campuses or enterprises.

### Modular Container Distributed Energy Storage System

This scalable system can provide hours of high-energy output within a proven modular design, drawing on our decades of experience in modular data centers and chiller plants. The result: an efficient, cost-effective solution that can be integrated into the energy control system of a utility, regional transmission organization or facility, at the lowest total lifecycle cost.

### Thermal Energy Storage Systems

Thermal Energy Storage systems reduce on-peak electrical demand and energy costs. With adequate access to unobstructed sunlight, solar thermal energy can be created by absorbing the sun's heat with devices such as flat-plate solar energy

collectors. A heat transfer fluid passes through tubes within the solar collectors where it is warmed and then distributed to the heating system.

### **Ice Storage**

Ice storage air conditioning is the process of using ice for thermal energy storage. This system provides efficient cooling during the day by circulating refrigerant through coils in its ice storage tank, eliminating the need to run an energy-intensive compressor during peak daytime hours. The system re-freezes ice each night when electricity generation is cleaner, more efficient, and less expensive.

### **Sewer Heat Recovery**

Johnson Controls also has experience providing sewer heat recovery solutions. At the Beaufort-Jasper Water & Sewer Authority in South Carolina, Johnson Controls used finished water (i.e. potable or drinking water) as a heat sink via a plate and frame heat exchanger for controlling the environment within their administrative building.

This concept is similar to a Geothermal HVAC. By using reversible heat pump chillers to meet their heating/cooling needs, Johnson Controls was able to provide both heating and cooling for water source heat pumps in the older building section as well as newer VAV/Air Handling system in the newer part of the facility. This project qualified for local utility incentives of approximately \$132,000 and had an annual expected energy savings of approximately \$48,000 per year.

### **Distribution Systems and Cogeneration Plants**

Johnson Controls is the largest, non-utility-owned providers of central plant projects in North America. We have implemented well over 1,000 energy and central plant projects – most of which included guaranteed savings and a financial solution. Information resulting from analysis of this data, combined with the experience of over 1,000 engineering professionals, allows Johnson Controls to identify potential areas of risk, and create guaranteed central energy plant outcomes at a lower cost.



### **Central Utility Plants**

Johnson Controls has designed, built, and operated central energy plants for a wide array of mission critical and social infrastructure facilities – including research facilities, industrial sites, universities, hospitals, and governmental entities.

As the largest, non-utility-owned provider of utility plant services in North America, we have unmatched experience developing and operating central plants at the highest possible efficiency.

We compiled data from our more than 1,000 projects into a proprietary database, which is the world's largest repository of utility plant performance data. Information resulting from analysis of this data allows Johnson Controls to identify potential areas of risk and create guaranteed thermal service outcomes that address our clients' goals and objectives.

### **Cogeneration/CHP Systems**

Using natural gas, biomass, biogas, and landfill gas as fuel sources for heat and electric power generation systems installed by Johnson Controls, our customers have experienced considerable economic savings, reduced environmental impact/GHG emissions, and increased operational efficiency and reliability.

We have been involved in over 120 cogeneration plant projects, including a recent installation of 3.5MW at a Canadian Military Base in Ontario and 7.9 MW at the National Institute of Standards and Technology research labs and office buildings.

We recently completed design of a new natural gas cogeneration plant for the U.S. Army at Aberdeen Proving Ground (APG). This plant helps APG make significant progress toward energy resiliency, a critical mission for Army installations around the world.

Johnson Controls has conducted extensive research regarding cogeneration technologies and have developed high performance partnerships with industry leading manufacturing and engineering firms. Johnson Controls employs a stringent, rigorous, scalable, and repeatable process that allows us to be successful in the management of unique, innovative, and large-scale projects.

The following list shows a subset of our distribution system and cogeneration plant capabilities:

- Complete analysis of the loads and evaluating multiple design alternatives for best lifecycle cost
- Water side economizers (free cooling)
- Thermal energy storage systems
- Chiller, boiler, cogeneration installation
- Chiller plant redesign
- Chiller plant optimization
- Heating system redesign and optimization
- Cogeneration/CHP systems
- Variable volume pumping
- Distribution piping and connections
- Central plant controls and optimizing operations
- Biomass cogeneration plant
- Central cooling plant
- Steam to hot water system conversion
- Steam trap retrofits
- Steam pressure control
- Reduce steam pressure

### **WATER AND SEWAGE SYSTEMS**

Johnson Controls helped expand performance contracting to water utilities nearly 20 years ago and have implemented more than 100 water metering upgrade projects and 37 water and wastewater treatment plant upgrade projects, all totaling \$500 million worth of new equipment and systems. Our Municipal Utility Solutions team is a national center of excellence whose experts bring an average of 20 years of water utility experience. We have implemented numerous renewable energy projects for utilities as well, focusing on solar PV arrays to take advantage of land with limited other use at treatment plants. We implemented a 500kW FOG program at Evansville and a 2.4MW cogen plant in Baltimore that use the residual of treated wastewater as fuel to save \$1.4 million annually.

We are fully capable of designing and installing plumbing, irrigation, water distribution, wastewater, and related systems. We have the ability to deliver meaningful energy reductions to water and sewage systems through our core competency and experience in energy conservation. Johnson Controls will team with strategic partners to deliver process-related expertise.



### **Water Conservation**

The following list shows a subset of our water conservation capabilities:

- Retrofit flush valves, showerheads, faucets, toilets
- Automated water systems
- Cooling tower retrofits
- Ice machine upgrades
- High efficiency domestic water heaters
- Waste heat recovery

### **Water Supply/Treatment/Collection/Distribution**

- Raw water pumping
- High service pumps
- Backwash water pumps (filtration plants)
- Water control systems
- Plumbing systems
- Irrigation systems
- Domestic water
- Rainwater harvesting

### **Wastewater Collection and Treatment**

- Wastewater lift pumps
- Aeration system improvements (diffusers, controls, blowers)
- Digester gas to energy projects
- Digester improvements

### **Rainwater Harvesting**

Johnson Controls is prepared to provide a variety of innovative rainwater harvesting solutions. In one recent project, we removed the entire existing flat roof up to the structural deck in order to replace it with a semi-intensive green roof system (4 to 8 inches of soil), with drainage layers made out of recycled and reused materials, connected to a rainwater collection system which serves the maintenance of the landscape as well as the irrigation of an on-site greenhouse. We are also prepared to use a series of water collection techniques to collect, store, and distribute harvested rainwater for a number of non-potable uses including the routing of these water resources to flush bathroom toilets.

### **Flood Control**

- Flood control systems
- Flood monitoring systems
- Integrated traffic control and monitoring systems

Pumping is an excellent candidate for low-cost/no-cost improvements. Pumps are most frequently over-designed to ensure that future hydraulic capacity is available. Facilities that have operated over time have found that the available pumping capacity in

many systems is underutilized and may not provide the low-flow service characteristics desired. By evaluating the needs and method of operation of a facility, we often replace existing pumps with much smaller ones that can provide the low-flow characteristics desired for the system. Variable speed drives, higher efficiency pumps, and improved debris removal systems often serve to improve energy consumption.

Johnson Controls is highly experienced in cooling tower modifications and other chilled water systems since these are central to our business of saving energy for customers.

### **LANDSCAPING/SOIL MEASURES**

Many local governments and cities currently dispose of their dewatered sludge via landfill at a specific cost based on wet ton. Not only costly, but this also represents a lost opportunity to reclaim the nutrient-rich organic content of the biosolids. This digested sludge is likely a Class B status, representing biosolids that have been treated to reduce pathogen reduction and volatile solids. Class A biosolids, in contrast, are a value-added product that receive treatment beyond Class B regulations via thermal treatment or otherwise. Class A designation for treated sludge meets U.S. EPA guidelines for land application with no restrictions. Thus, Class A biosolids can be viewed as value-added products, with applications such as fertilizer for agriculture and landscaping. Sludge drying facilities both reduce the volume of sludge generated and also reduces the cost of hauling and disposal.

Our team has the ability to construct a sludge drying facility using either mechanical or passive techniques, as determined through a preliminary evaluation. We have the ability to explore opportunities to reuse existing site or building space to house the equipment.

Using this refined material will reduce landscaping material cost by converting biosolids and green waste into usable soil amendment.

Another cost and efficiency measure we have employed with customers is a system that we have experience with. A compact glass bottle crusher turns empty glass bottles into usable sand.

Glass of all types and colors with no cleaning or pre-sorting are pulverized and reduced to an aggregate with rounded edges through a series of mechanical steps – crushers, pulverizers, trommel screens, conveyors, and hoppers. This recycled glass sand has a wide variety of uses. It is safe enough to use as a substitute anywhere sand is utilized such as in landscaping applications, or as filtration media in public pools, wastewater treatment filtration systems, and are suitable for a road base or additive to concrete for roads.

### **UTILITY METERS**

Johnson Controls brings the knowledge and expertise of a Municipal Utility Solutions team, which serves as a national center of excellence for turnkey water utility projects. Our industry experts have an average of more than 20 years of experience, having worked with municipalities across the country on more than 100 similar projects. We have extensive experience with water and wastewater utilities, Automatic Meter Reading (AMR) and Advanced Metering Infrastructure (AMI).

Solutions include:

- Water Meters
- Electric Meters

- Utility billing analysis
- Utility rate improvements
- Meter consolidation
- Electric power factor correction
- Automatic Meter Reading (AMR)
- Advanced Metering Infrastructure (AMI) technology – Full scale implementation
- Meter accuracy improvements
- Meter typing & sizing upgrades
- Automatic leak detection system
- Customer web portal
- SCADA upgrades

### RENEWABLE ENERGY SOLUTIONS

Our Advanced Solutions Team focuses on helping our customers develop solar, wind power, energy storage, geothermal, or biomass solutions. To date, we have been involved in more than **500 renewable energy projects** including biomass, solar, and geothermal technologies. Our solutions have reduced carbon dioxide emissions by **17.4 million metric tons** and generated savings of **\$7.5 billion** since 2000.

From small school districts to large cities – even our own corporate offices – Johnson Controls has vast experience with renewables.

Our renewable energy team has the capability to evaluate, design, and develop a diverse array of renewable energy technologies, such as solar, wind, biomass, landfill gas, and geothermal. We have made a significant investment in expert resources to develop this critical technology in all of our energy projects.

The following list shows a subset of our renewable energy system capabilities:

- Solar photovoltaic
- Wind turbines
- Geothermal heat pumps
- Microgrid
- Energy storage
- Solar daylighting
- Biomass plants
- Solar thermal pool heating
- Solar thermal domestic water heating
- Solar transpired walls

### Solar PV Team

The Solar PV team is responsible for engineering design oversight on solar PV projects, including product selection, vendor relationships, output modeling for PV systems, and preliminary cost estimation. This team has implemented over 100 Solar projects, including recent projects at Tulare, CA where we installed a 30 Kw PV system on a carport and a 1 MW system on land that generates 1,860,000Kwh annually.

In **Cache County School District**, administrators recently found themselves with a challenge all too familiar to the nation's K-12 districts: a desire to conserve energy and reduce costs that is hindered by a lack of resources that could bring about significant change. Johnson Controls is currently managing three different phases of work totaling more than \$13 million. We were also able to secure \$778,255 in grants and rebates. The scope of work included LED lighting retrofits, lighting controls, building automation, new high school auditorium air conditioning, power factor correction, new drop ceiling, upgraded fire alarm systems, plug load management, and building envelope improvements. In addition, there is solar PV being installed at two of their sites generating over 610kW. These projects were developed and implemented in a way to create the greatest value for the School District with the very least disruptions to the students and staff. Phase I was accelerated to try to get as much lighting, and power factor correction work completed before school started. Phase II of was developed and engineered during the same time that Phase I was being constructed. Phase II started construction approximately six months after Phase I started. By developing their energy program this way, the work will be completed earlier with less interruptions to the students and staff. We were also able to secure additional rebates and grants for the School District.



*Twentynine Palms, we achieved:*

- *\$5.8M in annual energy cost savings from the cogeneration plant provides payback for construction costs in just four years*
- *\$1.1M in annual energy cost savings from the photovoltaic solar array*
- *\$138M in total energy cost savings*

*"I would highly recommend Johnson Controls as a partner on any infrastructure project. It was very important that they listened to the needs and concerns of our facilities staff, school board and administration. Then they provided solutions that maximized our energy savings through a variety of different energy conservation measures. These projects will save us over \$16 million in future energy and operational costs."*

– Steve Norton, Superintendent of Schools, Cache County School District

Smithtown Central School District (Smithtown CSD), located in Long Island, New York, has partnered with Johnson Controls for over 60 years to maintain the district's commitment to providing a safe, clean, and comfortable learning environment for their 8,647 students and work towards their goal of being the third District in New York to reach Energy Star status through the Environmental Protection Agency's Energy Star Buildings Program.

In 1998 the district awarded Phase I of the performance contracting and energy savings project to Johnson Controls and has worked with Johnson Controls since then to assess, design and implement Phase II and Phase III guaranteed energy savings projects to their 1.4 million square feet of facility space. The results of the partnership reduced the district's operational and energy expenditures by more than \$270,000 per year, totaling over \$4.5 million in savings in the next 18 years; successfully achieved the creation of a comfortable, productive learning environment for both teachers and students; replaced and/or upgraded over 16,500 fixtures in 15 schools improving classroom lighting levels by over 50%.

District's Challenges:

- Address years of deferred maintenance
- Provide students and teachers with a safe, clean, comfortable learning environment
- Improve overall quality of the learning environment for comfort and safety with no net costs to local taxpayers
- Johnson Controls' Solution:
- Invest in a \$4.0 million Performance Contract that includes replacing 3 boilers, converting 4 oil burners from oil to dual fuel, and performing a complete lighting retrofit on all schools
- Secure a Johnson Controls Service Agreement to ensure the quality upkeep of system equipment

Other projects include the State of Utah, Mount Wachusett Community College, the U.S. Bureau of Land Management, and the Marine Corps Air Ground Combat Center in Twentynine Palms, California.

**At the U.S. Marine Corps Air Ground Combat Center at Twentynine Palms**, Johnson Controls implemented a solar array as an energy source to a central utility plant.

Johnson Controls installed a Metasys Building Automation System (BAS) to control the energy use of a 7-megawatt, dual-fueled cogeneration plant, and an on-site 1.2-megawatt, single axis-tracking photovoltaic solar array. The plant produces electricity and heat, helps reduce energy costs and energy consumption, and increases power reliability and self-sufficiency. The solar array provides a renewable energy source.

The cogeneration plant provides enough power to meet all critical needs for up to six days. If an outage occurs on the utility company's distribution line, the base operates without interruption. The dual-fueled cogeneration plant also makes it possible to switch seamlessly between diesel and natural gas should there be an interruption of either fuel supply, thereby ensuring a reliable, continuous source of electricity independent of the grid.

### Waste Heat Recovery and Urban Biogas Utilization

Many of our projects make use of waste heat recovery technology. For the **City of Baltimore Back River WWTP**, Johnson Controls developed a combined heat and power plant that uses the remainders of treated wastewater as fuel.

The plant will generate more than 2.4 megawatts of electricity per year, provide steam to offset process-heating requirements and produce hot water for boilers. As an added benefit, the digester gas cogeneration plant will reduce emissions, save taxpayer dollars, address workforce development, and support the local economy.

Johnson Controls also designed and constructed a 1,000-kW ground-mount PV system located at the Back River Wastewater Treatment Plant. Using SolarWorld modules and leveraging a grant from the Maryland Energy Administration, this project supports the City's objectives toward self-generation of 30% of all energy. This is a fixed-tilt, custom racking system suitable for the site's topography.

At the **City of Fort Worth**, Johnson Controls began an energy efficiency partnership in 2003 that has grown to seven phases of major infrastructure improvements in 107 city-owned facilities. The \$69 million investment will save the City \$93 million over a 15-year period. Johnson Controls guarantees these savings under the Energy Savings Performance Contract (ESPC) funding vehicle authorized by the State of Texas for public entities.

The largest of the seven projects occurred at the **Village Creek Water Reclamation Plant** – a \$35 million initiative that has significantly

benefitted the City's goal to establish Village Creek as a Net Zero Energy Facility. This ESPC project reduced electrical consumption by 39%, which has taken more than \$2.5 million off the plant's electric bills each year. In addition, Oncor Electric provided \$1.3 million in rebates to the City due to electric demand reductions.

For this project, Johnson Controls developed and implemented a 50,000 lb/hour, 235-psig steam system. Heat was recovered from combustion turbine exhaust and supplemented with heat created by burning biogas produced at the wastewater treatment plant in a duct burner. This project also involved improvements to increase the production of biogas through the addition of high-strength waste to the digesting bio solids.

### Electric Vehicle Charging Stations

Electric Vehicle (EV) charging stations are critical infrastructure to be included along with the electrification of Equalis Group Region10 ESC members' vehicle fleets. Johnson Controls recommends and is prepared to manage the installation of EV charging stations for Equalis Group/Region 10 ESC members' exclusive use, in terms of buses, trucks, vans, and other fleet vehicles, and also for public-facing use at sites.

The savings generated from gasoline and maintenance cost reductions from the vehicle swap not only pays for the purchase of the electric fleet vehicles, but also offsets some of the installation cost of electric vehicle charging stations. Additionally, there





are opportunities for Equalis Group/Region 10 ESC members to realize additional savings through establishing a rate schedule to charge the general public for any of the public-facing EV chargers.

Renewable Natural Gas (RNG) expansion is gaining momentum rapidly, as federal programs are widely available for alternative fuel standards and pipelines are widely available to connect producers and end users on a voluntary basis. However, other communities are relying on RNG as an alternative to shipped, fossil-fuel based resources. RNG can be a powerful, locally produced fuel for driving the Equalis Group/Region 10 ESC members' fleet vehicles. Especially for large and heavy-duty vehicles, for which electrification is not always a strong option, RNG can be a sound financial investment and a long-term, cost-stable fuel. An RNG fueling from wastewater biogas is estimated to be able to produce approximately 600 diesel gasoline equivalents per day.

**Specialized Expertise in Energy Efficiency, Solar + Storage with Grid Services, Wastewater Treatment, Vehicle Fleets and Streetlights.** We are often consulted by the Johnson Controls California team for advice on how to solve energy problems for clients. Our wastewater treatment engineers have implemented \$250 million worth of process, building and renewable energy improvements at more than 60 water and wastewater treatment utilities across the country. We have helped electrify fleets and install charging stations and were the first firm in Hawai'i to deliver electric vehicles through a performance contract. Johnson Controls also retrofitted more than 53,000 streetlights to networked LEDs across O'ahu and more than 22,000 across DOT, including Maui, Lanai, and Moloka'i.

#### **Microgrids**

With our strong background in designing and building renewable applications, Johnson Controls develops or participates in many microgrid implementations.

For example, at **Isle Royale National Park** Johnson Controls installed Distributed Generation and Control Systems to operate as a remote microgrid. This project included three separate locations up to 40 miles apart from one another, including Mott Island, Windigo, and Rock Harbor.

Johnson Controls installed 23 solar thermal domestic hot water pre-heating systems including 61 collection panels across various facilities at the Rock Harbor and Windigo campuses. The solar thermal systems provide approximately 78% of the estimated annual energy required for domestic hot water at Windigo.

At the Rock Harbor site, the systems displace 87% of the estimated annual electricity use and 45.7% of estimated fuel oil use for domestic hot water. They conducted energy efficient lighting upgrades, and installed solar PV hybrid system, solar attic fans, and water conservation system.

The project will alleviate dependence on diesel and showcase the island as a model of sustainability for other Government agencies to follow. The total facility size for Phase 1 is 66,931 square feet. This will result in 2,724 million Btus saved annually and 19,000-gallon reduction in annual diesel fuel consumption.

#### **Renewable Energy Supply Services**

Johnson Controls provides the capabilities and expertise in energy supply markets to help Equalis Group/Region 10 ESC members meet their energy and decarbonization need through Renewable Energy Supply Services. We will help you find the

right choices that result in reliable, economic energy procurement. Our team of energy experts will work with you to evaluate your total energy requirements and implement a procurement plan that is tailored to the members' operation. Services include:

- Renewable Energy Advisory.
- Power Purchase Agreements (PPA)
- Virtual Power Purchase Agreements (vPPA)
- Renewable Energy Certificates
- Renewable Natural Gas
- Carbon Offsets.
- Renewable Finance, Development and Trading
- Energy Supply (Budget) & Billing Management.

**Renewable Energy Certificates (REC) & Carbon Offsets:** Johnson Controls sources RECs and Carbon Offsets appropriate for the customer based on technology and geography. Johnson Controls RECs and Carbon Offsets are certified by Green-e Center for Resource Solutions or equivalent. RECs and Carbon Offsets can be purchased quickly, easily, and only involves short-term commitments. Simple contracts are available in all markets.

**Retail Renewable Sleeve:** Johnson Controls offers one price for firm, shaped power (including congestion) coming from the renewable energy resource. Johnson Controls partners credit is used—not the customer in order to secure a PPA w/ the developer. Risk for unit contingency, congestion and developer credit is managed through retail supplier. Simple, standard retail contracts available in competitive markets.

**Power Purchase Agreements & Virtual PPAs:**

Johnson Controls partners to originate and manage a grid-scale renewable project and finances it, with no capital expense from the customer. For PPAs, power is physically scheduled from the project developer to the customer thru the utility or retail supplier with option for Renewable Energy Certificates. For VPPAs, power is financially settled on customer behalf with no physical supply (i.e.virtual) while customer retains option for Renewable Energy Certificates.

**Community Solar & Utility Green Tariffs:** Johnson Controls partners to originate and manage a small grid-scale renewable project and finances it, with no capital expense from the customer. For community solar, Johnson Controls partners to facilitate customer enrollment in program with option to retain Renewable Energy Certificates for utility green tariff, Johnson Controls partners to facilitate enrollment in utility program on customer's behalf.

**Electricity Procurement:** Johnson Controls can help maximize your savings on electricity by finding the right procurement solution regardless of your meter type and size. You can take your pick from a wide array of supply products that include fixed price, blended, index and pool options, from the broadest and most well-respected group of energy suppliers. Our process evaluates the unique usage characteristics of your meter, including load factor, load shape, on-peak and off-peak usage patterns, transmission, and capacity tags.

**Natural Gas Procurement:** Johnson Controls can help Equalis Group/Region 10 ESC obtain better pricing through our diligent and transparent procurement method. You will have clear visibility to competitive bids from qualified potential natural gas suppliers that participate in our Request for Proposal (RFP) process. This approach also forces incumbent suppliers to adjust their pricing, credit, balancing, and other terms to more accurately reflect the ever-changing market. Whether you need tactical



		<p>or strategic procurement solutions for your natural gas, we will work with you to ensure that we address your total energy spend with the best, most economical solution for your needs.</p> <p><b>Putting Our In-depth Inflation Reduction Act Analysis to Work</b>  Johnson Controls has analyzed the potential impacts of the Inflation Reduction Act (IRA) and has created a plan to help customers take advantage of the incentives being made available by this program to Equalis Group/Region 10 ESC members. To learn more about IRA and how it applies to Equalis Group/Region 10 ESC members , please visit the following link: <a href="#">STATE FACT SHEETS: How the Inflation Reduction Act Lowers Energy Costs, Creates Jobs, and Tackles Climate Change Across America - The White House</a>. We look forward to helping you to uncover those opportunities made available by IRA that could positively impact your project.</p> <p><b>POWER PURCHASE AGREEMENT (PPA)</b>  Through Johnson Controls or a third-party ownership, a Power Purchase Agreement, or PPA, provides customers the ability to purchase electricity generated by on-site renewable energy systems for a period of 15-25 years. This method is advantageous because no upfront funding is required, the customer is not responsible for operations and maintenance of the systems, and it allows for predetermined electricity pricing. A PPA can also leverage federal and state tax incentives not available to some customers.</p> <p>Under this program, Equalis Group/Region10 ESC members would make no upfront capital investment. Together, with our funding partners, Johnson Controls would pay for the cost to engineer and install the solar arrays. Once the project is completed, Equalis Group/Region 10 ESC members would pay for the benefits that it receives over the contract term through a program that offers off-balance sheet financial treatment. This program is a “pay for performance” program, where Equalis Group/Region 10 ESC members only pays for the energy and/or resiliency benefits realized, should Equalis Group/Region10 ESC members want to further consider energy storage as part of the program.</p> <p>Equalis Group/Region 10 ESC members gets the benefit of new infrastructure without the burden of ownership. Johnson Controls covers the operational and maintenance costs during the contract term. At the end of the term, Equalis Group/Region10 ESC members can choose to either extend the service contract or purchase the improvements for fair market value (FMV).</p> <p>Note: Additionally Johnson Controls acknowledges the Other Requirements in Section One: Part A 5.2 of the RFQ.</p>
<p>Demonstrated ability to provide best-in-class products and services to the Equalis Group membership</p>	<p><i>Please provide an overview of your products and services. Please be specific; your answer to this question, along with products/services provided in your</i></p>	<p><b>Please Note: Below are offerings that Johnson Controls provides in addition to those listed in the above section (“Describe the products and services your company offers in response to the scope of this RFQ”). These two sections incorporate our complete offering. In an effort to be concise, our intention is that the above response is included in this section as well.</b></p> <p>Johnson Controls offers an extensive listing of additional products and services that are available to Equalis Group/Region 10 ESC members.</p>

pricing file will be used to evaluate your offering.

## COMPREHENSIVE LISTING OF PRODUCTS

Johnson Controls creates quality products, services, and solutions to optimize energy and operational efficiencies of buildings; and lead-acid batteries and advanced batteries for hybrid and electric vehicles. Johnson Controls is organized as a C corporation.

The Sustainable Infrastructure business unit of Johnson Controls – the business unit that provides performance-based contracting services – 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.

Johnson Controls, through its own forces or through subcontractors, designs, manufactures, installs, services, operates and maintains mechanical and electrical systems (both those made by Johnson Controls and its competitors) that control energy use, HVAC, lighting and security and fire management for non-residential buildings. Johnson Controls 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 government buildings, manufacturing facilities, commercial buildings, hospitals, schools, libraries, museums, sports complexes and more. Finally, we offer performance-based contracting services which is a unique model where the State will use guaranteed energy savings to fund building improvement costs over a number of years.

Our offerings include the following:

- Energy efficiency and sustainability solutions
- Building automation system
- Security and fire safety solutions through our Tyco merger
- Commercial and residential HVAC systems
- Technical building services including a frontline team of 15,000 service providers
- Commercial and industrial refrigeration
- Brands: Frick®, Metasys®, Sabroe®, York®

We have been involved in more than 500 renewable energy projects including solar, wind and geothermal technologies. Since 2000, total Johnson Controls guaranteed energy savings performance contracting projects have reduced greenhouse gas emissions by over 21 million metric tons, which is the equivalent of annual emissions from 5.5 coal-fired power plants or 1.9 million single-family homes.



## In-house Products and Services

Johnson Controls provides the widest spectrum of innovative products, expert installation and services, and systems integration in-house to help you improve your operational and energy outcomes. Below is an overview of our offerings.



### HVAC EQUIPMENT

Draw on the most comprehensive HVAC portfolio for commercial and residential buildings of all types, ages, and sizes to enhance sustainability, energy use and the indoor environment.

- Chillers: air-cooled; water-cooled; connected
- Condensers and condensing units
- Dedicated outdoor air systems (DOAS)

### FIRE, LIFE-SAFETY & HAZARD PROTECTION

Help keep people and assets safe with comprehensive solutions, design, installation, service and monitoring from a world leading fire and life-safety systems provider.

- Fire alarm systems
- Fire sprinkler systems
- Fire suppression systems
- Mass notification system

- Duct-free mini-split systems
- Indoor packaged equipment
- Rooftop units
- Variable refrigerant flow (VRF) systems

**ENERGY STORAGE**

Rely on our innovative distributed energy storage products to better manage energy use, cut costs, and ensure electrical back-up for a building, campus or enterprise.

- In-building distributed energy storage system
- Modular distributed energy storage system

**SECURITY**

Help protect and enhance working and living environments today and tomorrow with integrated, customer-specific solutions from the world’s leading security company.

- 24/7 remote monitoring
- Access control
- Advanced video surveillance
- Intrusion detection
- Managed services

**LIGHTING CONTROLS & RETROFIT**

Save energy, minimize costs, and meet organizational goals with a range of services, from business remodels to new construction lighting design, to municipal streetlights.

- Lighting retrofits
- Street and roadway lighting
- Turn-key lighting upgrades

- Special hazard solutions

**CONTROLS**

Equip facilities with intelligent HVAC controls to keep occupants comfortable, run equipment efficiently and optimize operating budgets.

- Actuators
- Control panels
- Control sensors
- Current sensors and transducers
- Thermostats
- Valves
- Variable speed drives

**OPTIMIZATION & RETROFIT SERVICES**

Make the most of existing building and financial assets through cost-effective upgrades, central plant strategies, and financing solutions.

- Central chiller plant optimization
- Clean energy assessments
- Energy performance contracts
- Energy retrofits
- Equipment financing
- Healthcare environment optimization
- Public/private partnerships
- Technology refresh services
- Turnkey upgrades and retrofits

**BUILDING AUTOMATION SYSTEMS**

Connect commercial HVAC, lighting, security, and protection systems on one platform. Vital data and insights improve efficiency, productivity, and occupants’ comfort and safety.

- Metasys® building automation system
- Metasys Enterprise Optimization applications

### **BUILDING SERVICES & PARTS**

Tap into resources of the industry's largest service network for HVAC, security and life-safety system installation and product support. More than 12,000 technicians working out of nearly 500 local offices can provide 24x7x365 proactive monitoring, remote and on-site service and repair, and replacement parts.

- Aftermarket parts
- Building remote monitoring
- Building system and HVAC repair
- Planned and preventive maintenance
- Predictive and diagnostic services
- Security and life-safety system repair

### **OPERATIONAL INTELLIGENCE & ASSET PROTECTION**

Helps minimize costs, maximize operational performance, and enhance return on investment in security programs with business intelligence solutions.

- Video based analytics
- Real-time location systems (RTLS)
- Information management systems

### **CONNECTED TECHNOLOGIES**

Johnson Controls provides integrated control systems, security systems, fire-detection systems, equipment, and other Connected Technology integration services. These include:

- Audio-Visual
- Data Cabling
- LAN/WAN/Voice
- Distributed Antenna Systems
- Nurse Call Systems

### **AIR SYSTEMS**

Use efficient air flow building-wide to create healthy, comfortable and visually appealing environments that increase work productivity and occupant satisfaction.

- Air handling units
- Air measuring
- Chilled beams
- Dampers
- EcoAdvance™ HVAC load reduction (HLR) module
- Energy recovery ventilators
- Fan and blower
- Fans
- Filtration
- Grilles and diffusers
- Heating coils and cooling coils
- Louvers
- Under floor air distribution
- Unit ventilators
- Variable air volume (VAV) terminals
- Variable speed drives

### **BUILDING WIDE SYSTEMS INTEGRATION**

Construct a smarter building by converging building, business/IT and specialty systems on an intelligent infrastructure. Let us streamline the process to measurably improve initial and lifecycle costs, enhance function, ensure connectivity, and create an innovative, optimized, sustainable environment.



- Security Systems
- HL7 Integrations

We are a leader in connected technologies, routinely installing and servicing connected equipment for clients worldwide. We are taking “Smart Buildings” to the next level with our OpenBlue Technology that is a complete suite of connected solutions that deliver impactful sustainability, healthy living experiences, and increased safety and security with our cutting-edge technology. It features an AI-powered solution that includes remote diagnostics, predictive maintenance, compliance monitoring, advanced risk assessments, and more, all focused on enhancing interior environments.

**Smart Connected Chillers**

This technology gives our team 24/7 read only access to chiller operational data remotely via iPhones and desktop computers to maximize uptime, help you manage costs, and make informed decisions about your equipment. Connected Services will notify Johnson Controls personnel if the York chillers are not operating properly. Additionally, it allows our technicians direct access to the Johnson Controls internal intranet for access to all York chiller application data, service manuals and bulletins, parts manuals, and direct access to the York Factory Engineering team.

**SMART CITY PROGRAMS**

Johnson Controls has developed a smarter way to implement smart city programs using a proven, repeatable technology implementation process based on our expertise from more than a decade of integrating building, business/IT, and specialty systems.

It often begins with a connected streetlight system for better visual acuity while significantly reducing energy and operational costs.

A Johnson Controls lighting system offers an intelligent, adaptable, and future ready solution that can then be connected to other systems highlighted on the right that provide a wealth of new municipal services needed for a world class capital city.

Solutions include:

- Traffic analysis
- Security Cameras
- Proximity Sensors
- Pedestrian Counters
- Digital signage and speakers
- Gunshot detection



**Traffic Analysis**



**Security Cameras**



**Proximity Sensors**



**Pedestrian Counters**



**Digital Signage & Speakers**



**Gunshot Detection**

## **BUILDING SERVICES and PARTS**

### **Startup and Commissioning Services**

#### **Define process for validation of system or equipment operation to design:**

Johnson Controls specializes in providing continuous commissioning programs focusing on the specific requirements of the customer. We believe that a Continuous Commissioning Plan is a critical part of establishing a long-term Energy Management program. Due to our extensive experience in Building Management and Controls Automation, we offer unparalleled value in the design and implementation of continuous commissioning programs. However, we allow the customer to choose whether to outsource this ongoing service to Johnson Controls or perform it in-house. We pride ourselves on educating customers during all of our commissioning activities – whether initial or ongoing – so that they may assume the commissioning role in the future if they desire.

Each retrofit will be validated by a qualified technical representative and will be in accordance with the sequence of operations and contract requirements. As further assurance, our Operation Managers will certify each retrofit in accordance with the approved Johnson Controls Project Commissioning Plan.

The purpose of a Commissioning Plan is to provide a clear scope and format of the commissioning process for all project team members to reference and follow. The Commissioning Plan for a project will guide the installation contractor and commissioning team through an effective process. The Plan aids the project development, construction, and operations teams to ensure the quality of the project. The team may modify and adapt the plan to meet unforeseen quality control issues and opportunities throughout the project.

The plan includes the following items:

- Performance Testing Procedures
- Equipment Operating Parameters
- General Commissioning Schedule
- Warranty Walk-Through and Other Requirements
- Project Requirements and Design Intent
- Testing Certification Requirements
- Roles and Responsibilities

### **Service and Maintenance**

Johnson Controls owns and operates over 160 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)

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



	SERVICE COMPLETE	
	BASIC	PREMIUM
<b>DESCRIPTION</b>	Factory recommended inspection and maintenance program designed to identify issues preventing covered systems from running efficiently. Recommendations will focus on Johnson Controls 5 Values of Planned Maintenance.	Factory recommended inspection, maintenance and repair program for customers who want budget predictability and protection from unplanned failures of covered systems.
Recommended Number of Visits	4 annual visits (3 operational, 1 comprehensive - customizable to your needs)	4 annual visits (3 operational, 1 comprehensive - customizable to your needs)
Scheduled Operational Inspections	✓	✓
Scheduled Comprehensive Maintenance and Data Backup (if applicable)	✓	✓
Scheduled Service Parts*	✓	✓
Prioritized Unscheduled Service	✓	✓
Unscheduled Repair Parts*		✓
Unscheduled Repair Labor*		✓
24/5 or 24/7 Extended Service Hours		Optional
After-Hours Emergency Call Center	✓	✓
Industry-Leading Safety Program	✓	✓
Factory-Trained Technicians	✓	✓
Dedicated Customer Service Representatives	✓	✓
Customer Portal - Online Access to Service History And Documentation	Optional	Optional

The graphic above offers an example of some of the options available for a controls service agreement. We typically 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.

An example of some options available for mechanical equipment preventive maintenance has been provided below. Again, this is just a starting point and easily customizable to the needs of the individual customers.

	SERVICE COMPLETE	
	BASIC	PREMIUM
<b>DESCRIPTION</b>	Inspection and maintenance program designed to identify issues preventing covered equipment from running efficiently. Recommendations will focus on Johnson Controls 5 Values of Planned Maintenance.	Inspection, maintenance and repair program for customers who want budget predictability and protection from unplanned failures of covered equipment.
Recommended Number of Visits	4 annual visits (3 operational, 1 comprehensive)	4 annual visits (3 operational, 1 comprehensive)
Scheduled Operational Inspections	✓	✓
Scheduled Comprehensive Maintenance	✓	✓
Scheduled Service Parts*	✓	✓
Prioritized Unscheduled Service	✓	✓
Unscheduled Repair Parts*		✓
Unscheduled Repair Labor*		✓
24/5 or 24/7 Extended Service Hours		Optional
After-Hours Emergency Call Center	✓	✓
Industry-Leading Safety Program	✓	✓
Factory-Trained Technicians	✓	✓
Dedicated Customer Service Representatives	✓	✓
Customer Portal - Online Access to Service History And Documentation	Optional	Optional

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 embedded into our Computerized Service Software System.

### **Parts**

Inventory parts assessments are an essential component of providing a responsive maintenance program. While there are many valid reasons for retaining a particular spare part, the primary reasons are predictability, vulnerability and availability. We use a decision tree to logically determine the optimum level of spares to be housed at our local branch offices based on these parameters.

A particular spare part should be retained primarily to avoid lengthy downtime of critical systems or facilities. When the continuous operation of a facility or system is critical for life safety or profitability, the system must be protected by an accurate inventory of spare parts. Our approach ensures that the spare parts inventory is developed with a sense of balance. We assess the risk of failures with the attendant cost of procuring and storing the item.

There are a few options for parts programs that can be discussed:

- Standard Program – All parts are provided locally through our 250 + York distributors and branches.
- National Account Factory Direct Parts – Parts can be provided direct from our factory.
- Online Self Service Parts Ordering Tool

Johnson Controls will work directly with Equalis Group/Region10 ESC members to establish definitions between critical and non-critical spare parts in order to ensure we have the critical parts ready for immediate shipment and installation at a specific location should they not be on hand at a local branch. These discussions will help to establish costs associated with the provision of spare parts. For instance, if the part is seen as a staple to ensure ongoing operation of our equipment and is included within the Planned Service Agreement, that part will then be included in the PSA contract cost.

### **SECURITY**

Help protect and enhance working and living environments today and tomorrow with integrated, customer-specific solutions from the world's leading security company.

- 24/7 remote monitoring
- Access control
- Advanced video surveillance
- Gunshot & Weapons detection solutions and integrations
- Intrusion detection

### **FIRE, LIFE-SAFETY & HAZARD PROTECTION**

Help keep people and assets safe with comprehensive solutions, design, installation, service, and monitoring from a world-leading fire and life-safety systems provider.

- Fire alarm systems
- Fire sprinkler systems

- Fire suppression systems
- Mass notification systems
- Special hazard solutions
- Extinguishers
- Mass Notification
- Fire Alarm 24/7 remote monitoring

## **CYBERSECURITY OFFERINGS**

For more than five decades, our master systems integrators have helped customers integrate security technology into complex facilities. Our security maintenance and monitoring services can help protect your people and assets, and lower operating costs.

- **Experienced:** We serve 30% of Fortune 1,000 companies and are responsible for advanced security solutions in over one billion square feet of commercially leased property.
- **Flexible and Scalable:** Our robust security management platform is built on an open, standards-based protocol, enabling countless integrations for future expandability.
- **Dependable:** We're both global and local, so there are hundreds of local offices available to provide the level of customer service you require.
- **Innovative:** Our membership with the Industry Consortium for Advancement of Security on the Internet (ICASI) connects us with other global leaders in the cybersecurity realm. This collaboration allows us to remain on the leading edge of innovating secure networks, designing protections for software, and developing secure cloud infrastructures that keep data safe.
- **Knowledgeable:** Our network of industry cybersecurity advocacy groups, such as our membership with Open Web Application Security Project (OWASP) and Forum of Incident Response and Security Teams (FIRST), enables us to stay ahead of the latest in security threats and be a trusted advisor in our industry.

Trust Johnson Controls with these security maintenance and monitoring services:

- Maintenance for access control, video surveillance, intrusion, and intercom/emergency call systems.
- Test and inspection for access control, video surveillance, intrusion, and intercom/emergency call systems.
- Security consulting, risk assessment and security surveys.
- Remote security monitoring.
- Network analysis to determine vulnerability to cyberattacks.

## **OPERATIONAL INTELLIGENCE & LOSS PREVENTION**

Helps minimize costs, maximize operational performance, and enhance return on investment in security programs with business intelligence solutions.

- Information management solutions
- Real-time location systems (RTLS) for asset management
- Video and traffic analytics

## **INFRASTRUCTURE AS A SERVICE**

Our Infrastructure as a Service (IaaS) program is one-way public entities can redirect operating expenses into capital improvements without diminishing their borrowing capacity or cash reserves. Under this program, Equalis Group/Region 10 ESC members would make no upfront capital investment. Together with our funding partners, Johnson Controls would pay for the cost to engineer and install improvements that optimize the utility, operational, and capital costs for the energy infrastructure (and for that matter, any other building technology). Once installed, Equalis Group/Region 10 ESC members would pay for the benefits that it receives over the contract term.

Infrastructure as a Service is a “pay for performance” program. A key difference is the inclusion of maintenance and lifecycle replacement throughout the term of the agreement. Johnson Controls will refurbish and repair all equipment throughout the agreement but will not ask Equalis Group/Region 10 ESC members for more funds. You get the benefit of new infrastructure without the burden of ownership. We pay all operations and maintenance costs during the contract term. At the end of the term, Equalis Group/Region 10 ESC members can choose to either extend the service contract or purchase the improvements for fair market value. Equalis Group/Region 10 ESC members also have contractual hand back provisions at the end of the agreement so that Johnson Controls honors our Facility Condition Index (FCI) at end of term. IaaS clients have strong credit ratings and can afford to traditionally finance the projects but consider the packaging of maintenance, lifecycle and FCI on a per unit basis a set-it-and-forget-it model.

## **FINANCING EXPERTISE**

Our Structured Finance department, through our captive finance company Johnson Controls Capital LLC (JC Capital), is dedicated to identifying customized financing options for clients. We can provide general information relating to all available financing options to assist with your analysis of each financing option. Johnson Controls can also provide detailed and project-specific information on contingent payment, leases, and grants and incentives. In providing you such information, you should understand that we are not recommending a course of action on any of the financing options, nor are we acting as an advisor to you. Johnson Controls is not registered as a municipal advisor with the Securities and Exchange Commission pursuant to Section 15B of the Securities Exchange Act of 1934.

If you are considering financing your project through the use of municipal securities, you should engage and rely on the advice and recommendations of independent municipal advisors, bond counsel and underwriters with respect to the aspects of such financing. Should you need, Johnson Controls can provide you a list of such advisors with whom it has worked with in the past and have experience in providing such advice on energy efficiency and facility improvement projects. Johnson Controls has no arrangement or understanding, formal or informal with, and receives no benefit, directly or indirectly, from such parties by providing you with their names or should you choose to use their services.

Should you decide to finance your project through the issuance of municipal securities, Johnson Controls Sustainable Infrastructure team can assist in connected you with our Structured Finance team as needed with factual information your bond counsel or underwriters may need on a description of your project, project scope, cost, and overall projected benefits. Our Structured Finance team wants to match the right financing structure with what is best for that Equalis Group/Region 10 ESC member, and most appropriate for the project.

## ENGINEERING, CONSTRUCTION, PERFORMANCE- OUR DESIGN-BUILD MODEL

**Design-Build Services** which consists of a partner that has the ability to design, build, and manage start-to-finish construction of a project for any Equalis Group/Region 10 ESC member. Johnson Controls also provides typical design and build construction services outside of design build contract classification.

Our experience includes completing over 3,100 design build projects as well as designing, installing, and maintaining more than 15,000 mechanical systems, 15,000 electrical systems, and 13,000 natural gas heating and cooling systems. And just in the last five years, we have completed over 250 design build projects with customers across a variety of markets including: K-12 schools, higher educational facilities, local and city governments, state institutions and many more. Johnson Controls has the experience and skill to reduce costs and improve the educational experience.

As part of the project design, our team will fully evaluate various solutions to consider for each facility given the existing building conditions and infrastructure. The lifecycle impact (comfort, safety, first cost, operational cost, energy savings, and reliability) of each specific improvement and how it will impact the staff, residents, visitors, students, etc. will be considered and evaluated together with your team. Building improvements must also enhance and protect existing investments in facility assets.

Our focus as part of this solution does not end with design. Working in a busy and at times occupied environment requires experience and commitment by the successful contractor. Protecting occupants means creating a flexible work schedule that aligns to each customer's needs, validating subcontractors' qualifications, and ensuring that all work is reviewed for quality before and after completion. We have specific procedures in place to ensure everyone is safe and to keep disruption to a minimum. When work is done in classrooms or work area, we will ensure that those areas are complete and 100% functional when classes or a new workday begins.

Johnson Controls has over 135 years of experience pioneering innovative solutions in the industry. Applying our core experience in mechanical systems and design, energy efficiency and optimization, we have the capabilities and experience to provide the best, most cost-effective solutions to Equalis Group/Region10 ESC members that meet their overall project objectives.

### Phase 1: Preliminary Analysis

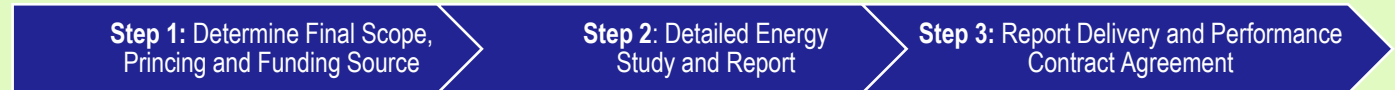


The steps in Phase 1 lead to a comprehensive analysis of the opportunity with a resulting study that clearly lays out the options available to the Equalis Group/Region 10 ESC member. This phase is used to identify project objectives, target systems for improvement, and determine the potential overall benefit of implementing the project. At the end of this step, we will have a clear idea of the benefits available for each option analyzed, the financial implications for the Equalis Group/Region 10 ESC member, and most importantly clear alignment with their goals will be established.

**Benefits:** Clear open communications with the Equalis Group/Region 10 ESC member from day one. We are with you from the day they approve the project, construction phase, and the life of this project. We jointly identify project objectives, target systems for improvement, and determine the potential overall benefit of implementing the project. The value of our process to

the Equalis Group/Region 10 ESC member is: 1) promotes effective communication that results in project success, 2) facilitates getting the comprehensive project that they want, 3) improves time management, 4) keeps key participants collaborating, informed and engaged in the process, 5) reduces potential problems, 6) ensures flexibility to focus on what's important to the Equalis Group/Region 10 ESC member, and 7) provides agreement on specific project issues as the project is developed.

### Phase 2: Detailed Analysis and Design



Once the Equalis Group/Region 10 ESC member has made a decision on the most desirable options, Johnson Controls will execute the detailed financing/funding model and engineering phase of our process. These steps will result in a defined scope of work and a budget that will serve as the foundation of the project. The documents that Johnson Controls delivers will ensure that we have a clear map for success, that subcontractors have the information they need to bid effectively, and that the member is protected from surprises that will impact your budget or your savings. Having complete clarity of rebate and grant funding will be an essential element of this phase.

### Project Design

Upon the approval of the comprehensive report, Johnson Controls begins the required design tasks to implement the ECMs and solidifies the approach to completing these project tasks. Johnson Controls may also hire a small team of design consultants to assist with project design that ensures all applicable solutions are considered and incorporated into the final project scope. We will publish the designs and any subsequent updates to the design requirements for use in preparing the scope of work for internal resources and for any local subcontractors. Final designs are completed using the team resources that produce the most cost-effective solution.

Final designs and detailed project schedules will be presented to that Equalis Group/Region 10 ESC member for review and approval. Any issues affecting the implementation will be resolved at this time. Once detailed procedures for final project acceptance are established, these will be verified against the established project goals and your requirements as well as the performance specifications of each ECM. No ECM is listed in the final project scope unless you agree to its inclusion, which includes equipment type as well.

**Benefits:** Professionally engineered solutions tailored for the Equalis Group/Region 10 ESC member delivering: 1) a local engineering team unmatched in design experience, and 2) resident resources to design, install, and service your selected ECMs. The best ECM would be of no use to the Equalis Group/Region 10 ESC member if it cannot be implemented or serviced after installation. Understanding the uniqueness of your local climate enables a program designed to be successful in their conditions. Johnson Controls is uniquely positioned to bring this holistic approach to Equalis Group/Region 10 ESC, allowing for a true single source of accountability for every aspect of the project.



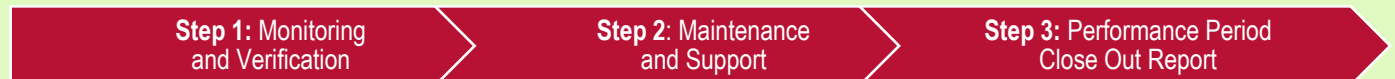
### Phase 3: Implementation



Johnson Controls uses its construction/installation experience to ensure that a project is driven to completion on time and within budget. We have scheduling, cost management, and subcontract management programs that have proven effective on over 3,000 projects, and these tools give us visibility over the progress of the total job and control of the resources. Our program involves diverse subcontractors who have a vested interest in the community. Our management program ensures they succeed. When the job is done, the member will have a reliable, easy to maintain, and productive system that will deliver benefits for years to come.

**Benefits:** Effective coordination; quality, on-time implementation: work will be performed in a cohesive, effective manner – on time, and with the quality, we both demand – allowing cost savings to be realized as soon as possible. We provide a local single point of contact for all facets of the construction process and can promise minimal disruption to the Equalis Group/Region 10 ESC member’s buildings, employees, and visitors. We have experience working in environments with significant visitor traffic.

### Phase 4: Performance



If the customer chooses a guaranteed savings project delivery, we will provide a validation methodology and program tailored to the system installed for the Equalis Group/Region 10 member. Our program is based on the Federal Energy Management Program (FEMP) and the International Performance Measurement and Verification Protocol (IPMVP). We have dedicated performance assurance personnel to ensure the professionalism and continuity of support essential for a task of this importance. With proven tools and experienced personnel, we have the program to measure and verify savings and they will have tangible evidence that savings and other benefits have been realized.

**Benefits:** A results-driven project managed by dedicated performance engineers: a local performance engineer will track savings during construction so you can see the immediate impact of the project; we provide continuous monitoring and identify additional energy savings opportunities throughout the performance period; we will produce periodic M&V reports with annual reconciliation confirming savings achievement so that you can communicate the positive impact of the project.

### PUBLIC-PRIVATE PARTNERSHIPS (P3)

At Johnson Controls we are always looking forward to what’s next. As a company, Johnson Controls recognized the need to diversify its business offerings in order to help find ways to create meaningful impact to our customer’s goals and objectives. Today’s business challenges are evolving and require alternative delivery methods in order to provide cost effective solutions which transfer more risk to Johnson Controls while yielding long term funding relief to customers. We recognize that change is inevitable in keeping pace with the unprecedented times we now live in and want to collaborate with our customers to find new ways which help them the most.



Since 2004, Johnson Controls has become a North American leader in the implementation of Public-Private Partnerships (P3s) by taking the risk to deliver new building infrastructure under a design, build, finance and maintain business model and managing project delivery for 30 years or longer.

We are a leader in the implementation of the P3 model in the marketplace with 40 projects in various asset classes, including higher education facilities, K-12 schools, hospitals, civic buildings, detention centers, data centers, transportation, and courthouses. In fact, we implemented the very first P3 project ever, which was at the Long Beach Courthouse in Long Beach, California. We also implemented the first full risk transfer P3 project in an institution of higher education: University of Kansas.

We have provided financial surety packages to support over \$4.5 billion of social infrastructure for these customers' projects through Design Build Finance Operate and Maintain structures across North America. These projects require us to provide performance guarantees of future Operations & Maintenance (O&M), asset life cycle management, and over \$850 million in energy consumption.

P3 can be a combination of different types of long-term contracts with a wide range of risk allocations, funding arrangements and transparency requirements. The public sector leverages the knowledge of the private sector while reaping the benefits/rewards of a building(s) that produces sustainable business results. Johnson Controls P3 customers are able to enjoy a total cost of occupancy model while transferring the risk to us under a fixed price agreement. The benefits of P3 include:

- Better infrastructure solutions than initiatives that are wholly public or wholly private.
- Faster project completions and reduced delays on infrastructure projects. P3s may include early completion bonuses and operational expectations to further increase efficiency.
- ROI tends to be greater than with traditional wholly public fulfillment. Innovating design and financing mechanisms become available in a P3.
- Risk transfer from the public entity to the private sector - risks are fully appraised early on in the project development to determine project feasibility.
- By increasing the efficiency of the public entity's investment, a P3 allows the customer funds to be redirected to other important areas - focusing on their mission. This can help reduce the public customer's budget and budget deficits.
- High quality standards are better obtained and maintained throughout the lifecycle of the project.

### **BUILDING CONSULTATION VIA OPENBLUE ENTERPRISE MANAGER**

The OBEM application contains comprehensive, consultative, analytical and optimization modules that proactively analyze building energy and space data. It provides insights to identify issues, faults, and opportunities for improved performance and operational savings. Powerful analytics root out energy-related problems 24x7.

The solution can look at abnormalities detected by fault detection diagnostics (FDDs) and recommend proactive actions to address the faults. Equalis Group/Region10 ESC members can then normalize the building performance to mitigate any negative impact on energy or operational aspects before it's being felt by the occupants. Also with continuous commissioning, the solution evaluates your building's energy performance based on continuous monitoring of data from baseline to operating.

This added value helps resolve operating issues, improve occupants' comfort levels, and optimize the performance of your buildings.

**Highlights:**

- OBEM is a completely scalable solution for single site to multi-site enterprise-level view.
- Our app-based approach gives the Equalis Group/Region 10 member's facility personnel the ability to scale up and scale down on functionality based on requirements and applicability.
- OBEM's cyber-secure architecture is agnostic to BMS and OEM equipment, easily incorporating into your existing building environment.

**High Level Benefits:**

- Energy KPIs and trends provide consumption details for electricity, thermal, water etc., such as EUI, WUI, consumption, and per capita consumption.
- Energy Fault Detection and Diagnostics provide for energy monitoring of high unoccupied loads and non-working day consumption.
- Alarm analytics help identify most critical alarms raised by your BMS.
- Asset Manager provides a system that allows easy enterprise performance comparisons and life-cycle management, providing detailed visibility into site operations.
- Space Performance analysis helps visualize the space usage and areas of activities throughout the building, enabling decisions based on how occupants truly use the space.
- Map selection helps to select the desired location/building and navigate using Maps at the Portfolio and Location levels. The user can select Google or Bing maps.
- Information for energy demand and consumption can be aggregated and displayed using baselines with various out-of-the-box dashboards. Custom dashboards can also be configured to the Equalis Group/Region 10 ESC member's needs.
- Easy-to-understand summary reports can be generated from the dashboard data utilizing the built-in automated reporting tool.
- The Energy Prediction Model helps the system learn from the data it provides and helps predict future energy demands.
- Different types of custom dashboard charts, such as Line chart, Area chart, Column chart, Stacked Column chart, Pie chart, Heat Map chart, can be used based on the individual needs of the Equalis Group/Region 10 member.
- Using advanced machine learning algorithms, OBEM can accurately predict energy consumption and peak demand.
- OBEM gathers data sets from various sources along with other Equalis Group/Region 10 ESC member's-specific data and normalizes them in a central location. The data can then be analyzed to look for anomalies and potential problems that identify opportunities for improvement or optimization.
- The Service Manager feature provides specific dashboards to display information on work orders, service reports, and maintenance KPIs.
- Intrinsic Work Order management within the app allows for creation and tracking of work orders created based on FDD output from the Asset Manager.
- OBEM Green Hub is a powerful public-facing tool that enables building owners to showcase their properties' energy conservation and sustainability measures.

- Microsoft's Power BI application is embedded into OBEM, providing the most powerful report creation capability for the world of smart buildings.
- The Tenant Portal allows a Tenant to track energy spend and consumption, compare the Consumption/Demand with other Tenants, make after-hour consumption requests, and provide a ranking of the building facilities and services.
- Work Order Manager provides ability for integration with the Equalis Group/Region 10 member's preferred CMMS/CAFM platform for a seamless maintenance workflow.
- The Baseline feature is a reference tool allowing comparison of actual energy use to a predefined baseline for all energy parameters for a space or meter.

### **ALTERNATIVE FUNDING TEAM**

With tight budgets, many of our customers need creative financial relief. Our Alternative Funding Team has one shared goal: to find money for you. The team identifies and helps apply for applicable grants, rebates, and incentives so you can make more improvements to your facilities and infrastructure, reduce total cash outlay, and realize greater savings.

#### **Leverage our grant expertise**

Countless customers have turned to our dedicated grant experts. With your permission, we are ready to help you. We can collaborate to identify qualified funding opportunities, facilitate, and develop grant applications, and provide support to help manage reporting and compliance requirements.

Sample opportunities include but are not limited to: energy efficiency improvements; compressed natural gas buses; security equipment and emergency operations planning; renewable energy projects; professional development; environmental education; landscaping; and parks, playgrounds, and recreational facilities.

At your request, we will use the following process to help you identify and secure funding:

1. Conduct customized research and identify organizational and project-specific government and private grants, as well as subsidized loans and bonds.
2. Generate a funding opportunity report that highlights potential sources.
3. Create a project management plan for application development.
4. Manage the grant application process from start to finish.
  - Implement strategy to develop and gather appropriate information for competitive and responsive proposals.
  - Coordinate completion of required attachments.
  - Write, edit, and format response documents.
5. Review final content to ensure compliance with requirements, ensuring project schedules are met.

We work together throughout this process. Your organization will focus on identifying subject matter experts, obtaining application review and approval from executive leadership, contributing key program and organizational information, and submitting a final application. This close collaboration strengthens the final application.

### **Capitalize on rebates and incentives**

Our incentive and rebate professionals work to offset your capital costs and increase your purchasing power. Our experts work with some of the most complicated and stringent utility providers so you can remain focused on your core mission.

The Alternative Funding Team routinely assists our customers to secure the following types of rebates and incentives from utility companies and regional energy efficiency programs:

- Prescriptive efficiency equipment rebate programs (boilers, heat pumps, furnaces, water heaters, etc.).
- Custom incentives for energy efficiency or energy resiliency projects outside of the utility company's traditional prescriptive rebate program.
- Instant incentives, which are allocated funds to pay for qualified equipment purchases at the time of purchase versus other programs that are normally paid 4-6 weeks after installation.
- ENERGY STAR equipment and appliance rebates.
- Rebates and incentives for renewable technologies (solar, wind, geothermal, distributed energy storage, etc.).

### **Project development due diligence**

We apply the following structured process to make sure that all possible opportunities are captured.

- Research and identify all potential opportunities.
- Recommend qualified products that have the greatest incentive potential to our development engineers.

Work with utility program representatives to:

- Understand utility processes and goals to help streamline member's internal processes.
- Define critical rebate and incentive timelines and milestone requirements.
- Determine status of utility funding levels, availability for each program year, and payment ceilings.
- Verify member's participation requirements and availability of incentives.
- Provide rebate and incentive estimations to Equalis Group/Region 10 ESC member based on proposed project scope and options and adjust as needed.
- Request that manufacturers submit their products for the utility's qualified products list.
- Review each Equalis Group/Region 10 ESC member's application with utility representatives to ensure compliance and confirm all available opportunities are included.

### **Turnkey services during project implementation**

You can count on us to:

- Obtain pre-approvals, rebate fund reservations, and utility program acceptance.
- Communicate timelines and milestones with the entire team to ensure we comply with program requirements.
- Finalize required incentive and rebate submittals for project completion.
- Update, submit, and track final applications until the member receives the funds.

## **SPECIALTY SYSTEMS**

Throughout our many years in energy efficiency, we have gained a lot of experience providing additional services for our customers. Below we have highlighted a few of these services.

### **Kitchen/Laundry Equipment**

We bring experience redesigning, replacing, and installing major kitchen ventilation, cooking, heating, and refrigeration equipment. We have extensive familiarity with large use washing and drying laundry equipment and other specialty equipment for facilities of all sizes. Measures associated with these specialty areas include:

- High efficiency water heating and ice-making
- Instantaneous hot water heating and removal of storage tanks
- Waste heat recovery for dryers and chillers
- Conversion of electric equipment to gas
- Water savings measures for recreation, kitchen, and laundry
- Ozonated laundry upgrades

### **Pool Systems/Environment and Recreational Spaces**

We have experience with HVAC, indoor air quality, chlorine management, chemical detection and measurement, lighting, locker room water improvements and related equipment in pool and recreational facilities. Our experience includes the implementation of several improvement measures such as swimming pool de-humidification systems and gymnasium ventilation improvements.

### **Additional Systems**

The following list shows a subset of our specialty system capabilities:

- Loading dock air curtains
- Ceiling systems
- Electrical power systems
- Emergency generators
- Turbine generators
- Switch gear
- Elevator modernization
- Waste management
- Waste compactors
- Pool covers and pool heat recovery
- Air and water balance
- Power factor correction
- Fleet management
- Start-up and commissioning
- High efficiency water heating
- Instantaneous hot water heating and removal of large storage tanks
- Waste heat recovery for dryers and kitchens
- Conversion of electric kitchen equipment to gas
- Water savings measures for kitchen and laundry
- Ozonated laundry upgrades
- Kitchen equipment
- Dishwasher replacement
- Walk-in coolers optimization
- Exhaust system optimization
- Kitchen design
- Laundry systems

	<p><i>Describe how you administer your financial Guarantee. Please include your insurance or other financial backing to support the guarantee.</i></p>	<p>Past results and the manner that your selected ESCO addresses their guarantee should be critical to your selection of process. When partnering with Johnson Controls, you can be assured that we will be in this business long beyond your guarantee period. We hold the largest market share in the industry, but we are also the only ESCO that has worked consistently in this business since the industry's beginning. Even some of the larger ESCOs have varied their focus on performance contracting, depending on the marketplace or disruption when a company is acquired by another entity. Johnson Controls has continuously invested to bring our customers the most comprehensive guaranteed solution to the table.</p> <p>Last fiscal year, our payout for shortfalls was less than 0.02% of total guaranteed. This overall number illustrates our high level of performance. In the rare case where savings do not match our estimates, we honor our guarantee and cut you a check for the difference. What's more, our performance contracting customers are realizing energy savings that exceed projections by 15 to 20%.</p> <p>We have a straightforward process that defines, measures, tracks, and reconciles performance contracts in a fair and transparent manner.</p> <p>Our process, outlined below, has been refined through the implementation of more than 3,000 projects: Johnson Controls guarantees the savings amount in the contract.</p> <p>We begin monitoring the savings performance at the onset of the construction period and continue throughout the guarantee period. At the same time, we suggest and implement operational enhancements to fine-tune the overall performance.</p> <p>We monitor savings during the year, produce scheduled reports that describe the results, and reconcile the guarantee at the end of each year (or as dictated by the M&amp;V plan).</p> <p>If the dollar savings are equal to or greater than the guaranteed amount, customers receive all of the excess benefit. If there is a shortfall, Johnson Controls will pay the difference between the actual and the guaranteed amount in the form of a check or as additional equipment and services.</p> <p>We repeat the annual tracking and reconciliation process each year throughout the term of the agreement.</p>
	<p><i>Please outline any other services you provide such as consultation, software, equipment rentals, financial services, etc.</i></p>	<p><b>Financial Services</b></p> <p>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 clients to ensure that any and all incentives are identified and utilized to their full potential.</p> <p>Our approach to financing is to assist in identifying a lender through competitive procurement from a group of qualified lenders and work closely with our clients to provide the most favorable financing package for the project. Johnson Controls receives no commissions or finder's fees for bringing financing institutions to our clients.</p>

Most public entities that we've worked with have selected a tax-exempt capital lease structure. This structure has the least amount of transaction costs and is offered at rates comparable to other forms of public sector financing.

Johnson Controls will help members:

- Obtain the lowest interest rate
- Obtain the lowest cost of financing
- Protect against interest rate fluctuations
- Minimize your time devoted to financing issues
- Explore available alternative funding sources

The following table shows some of the financing options used by our customers.

Financing Option	Description*
Installment Purchase (Buy)	No down payment required. The customer makes even payments monthly over a number of years (typically 5 years). Customers own their equipment. Typically used with projects \$25,000 and up. Flexible payment schedules are available. This is a full term obligation at taxable rates, but financing is done directly through Johnson Controls on a light document package.
Tax Exempt Lease Purchase	Similar to installment purchase, but customer doesn't take title to purchase until the end of the term. Lease terms range from 2 to 10 years depending upon the size of the project and the credit status of the individual customer. Payment frequencies can be matched to fit the Customer need from monthly to annually, in arrears or in advance - again depending upon the Customer criteria.
Operating Lease	Zero money down and low monthly payments. At the end of the term the customer must purchase for Fair Market Value, return, or release the equipment. This type of financing is most often used when an entity has restrictions on ownership or title transfer of equipment.

\* Terms subject to credit approval. Descriptions are for information purposes and should not be construed as financial advice.

## Advisory Services

### Sustainability and Decarbonization

JCI delivers consulting services to global clients on climate solutions and decarbonization strategy. Our comprehensive approach begins with goal setting, mission alignment, and reporting structures. We address occupant behavior and education, building efficiency assessments, carbon-free energy solutions, digital tools for building and asset optimization, and energy storage. Our roadmaps deliver energy and cost savings, financial solutions, and accelerated implementation pathways for measurable outcomes-based results. We utilize a variety of tools allowing us to achieve climate ambitions,



align stakeholders, organize data collection, enable better risk management, establish stronger governance practices, and garner external recognition.

Our advisory services cover a broad spectrum of services that enable organizational transformation. Our services include strategy, technical solutions, implementation guidance, and ongoing governance. We begin with your climate goals for carbon reduction, membership in climate initiatives, resiliency climate assessment, strategy, and roadmap including current state, climate ambition on carbon reduction, net zero, membership in climate initiatives. Our structured approach to leveraging tech solutions including Johnson Controls products and solutions:

- Develop and structure behind-the-meter and front-of-meter carbon-free energy projects
- Data collection, reporting, and governance frameworks
- Continued program monitoring toward climate ambitions

Johnson Controls brings building and infrastructure management services focused on energy efficiency in outcome-based performance contracts and an OpenBlue platform which includes:

- Building and infrastructure performance management services including code certifications
- Savings and outcome-based energy efficiency programs
- Electrification solutions
- Continuous decarbonization operations management planning
- Distributed, renewable, and carbon-free energy strategies
- Training for continuous sustainable operations
- Energy and decarbonization journey management
- Flexible financing options

Our approach brings leading net zero and decarbonization advisory capability and experience with tested energy efficiency success and building and infrastructure management services. We also included advisory services to all aspects of ESG and sustainability master planning to provide a comprehensive roadmap to carbon neutrality. Our Professional Services for Sustainability Advisory Services include, but not limited to:

- ESG Advising and Planning
- Cultural and organization wide alignment.
- GHG Inventory (Scope 1,2,3) baseline.
- Decarbonization roadmap and strategy.
- ASHRAE Level 1, 2, 3 and IGA Audits
- Financial assessment and solutions.
- Peer and market benchmarking.
- Master planning.
- Cost of carbon abatement (MACC)
- Clean energy strategy advising
- Technology and data strategy to support reporting
- SEC Reporting Advisory

- ESG framework and standards consulting (CDP, GRI, TCFD) and reporting assistance
- Goal Setting
- Brand, Mission, Vision
- Stakeholder engagement
- Policy and Regulations Advisory
- Supply Chain consulting
- Diversity, Equity, and Inclusion Policies and Best Practices
- Corporate Social Responsibility
- Carbon offsets strategy advising
- Climate Risk Analysis – physical, transitional, financial, portfolio
- Governance and Risk Management
- Circular Economy

Some of the tools and accelerators we will leverage to develop the decarbonization strategy and roadmap include:

Tool	Purpose / Objective	Application
<b>Auditing and Data Collection</b>		
OBEM Net Zero Advisor	GHG Emissions Baseline and Goal setting	Establishing a green house gas emission inventory, setting baseline year, comparing progress towards goals based on the baseline.
Mobile Auditing Platforms	Efficient data collection via tablets and phones.	Pictures, notes, video automatically upload to templates and SharePoint.
Stand Alone Metering	Acquire key measurements on equipment for power run time, occupancy, space conditions and essential factors of equipment performance.	Fluke meters, occupancy loggers, Motor on/off loggers, temperature/humidity loggers, Vibration analysis (failure analysis), and infrared temperature cameras.
Building Management Expertise	To extract data point trends/alerts from multiple BMS systems.	Model optimal sequences of operations in our energy analysis tools.
<b>Baselines and EUI Comparisons</b>		
Metrix	Utility Accounting System normalizes your energy usage for weather and other variables (such as number of cars produced or school calendar) and presents your true energy savings.	Establishing a usable energy baseline and for Measurement and Verification activities.
CBEC data	The US Energy Information Administration manages a database of building performance across the US.	Compares your performance against your peers to establish meaningful targets for energy savings.

		<p>Energy Star</p> <p>Only applicable for auxiliary buildings but is still a useful tool.</p>	<p>An Energy Star score helps establish a buildings relative performance against your peers.</p>
<b>Whole Building Energy Analysis</b>			
	<p>eQUEST®</p> <p>eQUEST is a sophisticated, yet easy to use, freeware building energy use analysis tool that provides professional-level results with an affordable level of effort.</p>	<p>Perform detailed comparative analysis of building designs and technologies calibrated using ASHRAE 14 Guidelines.</p>	
	<p>Johnson Controls BIN Analytics</p> <p>A proprietary tool, BIN Analytics internally utilizes weather BINs and basic load calculation methods to rapidly model building improvements.</p>	<p>An easier to follow and more customizable than other packaged simulation tools that may not be able to model a unique building function.</p>	
<b>Individual Facility Improvement Measures</b>			
	<p>Helioscope</p> <p>Helioscope is an industry standard tool for modeling the expected output of a Solar PV system at a given location.</p>	<p>New Solar PV.</p>	
	<p>ERSGAP</p> <p>ERSGAP was developed by Johnson Controls to run 15-minute interval analysis of a customer's utility profile and defined rate tariff.</p>	<p>Accurately captures the dollar savings associated with Solar and Battery Facility Improvement Measures (FIMs) specific to your buildings annual usage patterns and rate tariff structure.</p>	
<b>Life Cycle and Financial Tools</b>			
	<p>BLCC:</p> <p>Building Life Cycle Cost (BLCC) conducts economic analyses by evaluating the relative cost effectiveness of alternative buildings and building-related systems or components.</p>	<p>BLCC is used to evaluate alternative designs that have higher initial costs but lower operating costs over the project life than the lowest-initial-cost design. It is especially useful for evaluating energy and water conservation and renewable energy projects.</p>	
	<p>EERC:</p> <p>Energy Escalation Rate Calculator (EERC) computes an average annual escalation rate for a specified time period, which can be used as an escalation rate for contract payments in energy savings performance contracts and utility energy services contracts.</p>	<p>Escalation rates can be computed based on the Energy Information Administration (EIA) energy price projections used for calculating the Federal Energy Management Program (FEMP) discount factors and on EIA projections adjusted by NIST for potential carbon pricing.</p>	

		<p>CRI</p> <p>Customer Solutions Modeler (CSM):</p> <p><b>Professional Services</b></p> <p><b>Engineering Design</b></p> <p>Engineering design begins when our technical staff conducts the walk-throughs of your building. Johnson Controls uses a variety of industry standard calculations and software tools to subject your potential projects to further scrutiny. We will develop a baseline for each building using the data collected. This procedure establishes the “as-built” energy performance of the buildings. Modifications are implemented, one ECM at a time, with a resultant new energy profile. The model calculates the difference in usage should that particular ECM be implemented. In addition, the cost to install that ECM is determined using industry-standard estimating methods.</p> <p>At this level, each ECM will be considered independently, as if only that ECM were implemented. This provides a fair evaluation of the economic impact of each ECM. Cost savings will be calculated using the unit costs provided by the Equalis Group/Region10 ESC member. However, evaluating each independently does not reveal the bottom-line energy savings potential if more than one ECM is implemented. Accounting for the interaction between ECMs must occur before an accurate profile can be presented. Our analysis will allow for the “cascading” of ECMs — that is, recalculating the savings from the previous ECM results.</p> <p>The final step in the Project Development Phase is the preparation of a comprehensive report. To facilitate your decision-making process, we developed a powerful financial modeling tool call Customer Solutions Modeler (CSM) that incorporates building audit results into a detailed, month-by-month cash flow showing the full impact of a performance contracting project. CSM compresses project development time and increases accuracy because formulas no longer have to be created for each new project. It’s also easier to change the project scope and instantly see the financial impact. This is especially useful to view specific options when certain desired ECMs produce less savings than others.</p> <p>Upon the approval of the comprehensive report, Johnson Controls begins the required design tasks to implement the ECMs and solidifies the approach to completing these project tasks. Johnson Controls will also hire a small team of design consultants to assist with project design to ensure all applicable solutions are considered and incorporated into the final project scope. We will publish the designs and any subsequent updates to the design requirements for use in preparing the scope of work for internal resources and for any local subcontractors. Final designs are completed using the team resources that produce the most cost-effective solution.</p>	<p>Capital Risk Index (CRI) tool evaluates equipment based upon age and mission criticality to determine the financial impact of their failure on your operations.</p> <p>CSM was developed by Johnson Controls to model sophisticated project financials including detailed cash flows, net present values, and finance terms.</p> <p>By understanding the possible dollar impact, a clearer picture can emerge of how best to plan for replacement of equipment using a long-term lease model.</p> <p>This tool is unique in that it captures, optimizes, and presents information to key decision makers that a typical simple spreadsheet may not be able to replicate.</p>
--	--	---	---

Final designs and detailed project schedules will be presented to the member for review and approval. Any issues affecting the implementation will be resolved at this time. We will then complete the detailed schedule, including allocation of resources. Once detailed procedures for final project acceptance are established, these will be verified against the established project goals and your requirements as well as the performance specifications of each ECM. No ECM is listed in the final project scope unless you agree to its inclusion, which includes equipment type as well.

### **Architecture**

The Johnson Controls team's in-house Architects and Engineers accurately scope all facets of a project concurrently and apply principles of Value Engineering throughout the design process. After compiling a full scope of work, we utilize our past project experience to develop a "rough order of magnitude" cost estimate to compare against the proposed project budget.

Occasionally, Johnson Controls may need to recommend alternative materials, systems, or methods in order to adhere to the Equalis Group/Region 10 ESC member's guidelines, design specifications, budgets, or schedules. Johnson Controls' architectural team will evaluate alternatives and propose options that are in-line with the original design directive. All recommendations will be presented to member staff and accompanied by a design rationale, estimate and written explanation of the long-term maintenance considerations.

The development of appropriate building systems is critical to the long-term success of a project. It is important to carefully consider what systems are available and look toward the future without forgetting important standards along with lessons from the past. A design charrette process with Equalis Group/Region 10 ESC member stakeholders, architects and engineers and the contractor will enable us to quickly evaluate which systems should be considered and their relative benefits and costs.

Once appropriate systems have been selected, Johnson Controls' architects and engineering partners will work collaboratively to develop a plan that cohesively integrates them into the building structure, architecture, and other systems.

### **Data Management for Water Meter Projects**

JCI Worksite is our comprehensive in-house software suite that gives us total control of ECM installation and data management throughout the project. We start by taking all accounts from the Equalis Group/Region 10 ESC member's billing database and adding the appropriate scope of work to every account. The data resides on redundant servers, accessed through the cloud, so it is accessible to various users with varying degrees of authority. Some of the key benefits of the program involve the utility billing department, installation management, quality control and data management:

#### **Utility Billing Department:**

- Data integration: as every project is different, the setup of the data collection engine specifically for the member's project is a critical step. By working with your billing service provider and the reading system vendor, we will determine exactly what data needs to be added to the billing system to keep it running smoothly and set up the new reading system synchronization files.
- Johnson Controls will have a dedicated individual throughout the installation who will oversee the integration of the new meter data into your billing system.

### **Installation Management:**

- Every installer will be assigned a data-enabled iPad to access JCI Worksite and will have the day's scheduled installs mapped out, as well as the details of what to install at each account.
- All the accounts will be given GIS coordinates and we will set up mapping so that every account can be tracked and filtered through every phase of the install process.
- Pre-install and post-install photos of the meter and surrounding area, as well as final read of the old meter, are taken so if there is a dispute the read can be retrieved easily.
- Quality control protocols will be set up that checks the installer's data against the project inventory, current billing data, the most recent read and much more.
- Additional training will be provided if an installer is not meeting the daily requirements. If there are resident complaints, we can also identify the specific installer and quickly provide re-training as necessary.

### **Quality Control and Data Management:**

- One of the installer's favorite tools is the barcode scanner. This allows the new equipment ID numbers to be scanned in rather than having to be typed, thus eliminating typing errors.
- All of the scheduling will be done through JCI Worksite to provide us with a means to track live installs, including all of the attempts to contact the facility's staff to set up appointments for the ECM installation.
- Once we have completely provisioned and tested JCI Worksite, we will give member employees access so they will be able to see the installations in real time, check the

### **Equipment Rentals**

- Chillers
- Pumps
- Transformers
- Generators
- Cooling Towers
- Package Units

### **Site Surveys**

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

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.

**Advanced technology uses for each type of survey:**

A very important step in a successful and productive building survey is having a plan or insight regarding what to look for while surveying the facilities. We will perform a **utility survey** to gain that insight. By performing the utility survey prior to the building survey, we gain insight into which systems are consuming the most energy, how the utilities are charging for each unit of energy consumed, and what strategies might be developed to maximize energy savings consumption and dollars. In addition, Johnson Controls will evaluate utility and fuel supply opportunities for each project.

After completing the utility survey, we will perform a comprehensive building survey to gain a thorough understanding of the facilities and their systems. This is a critical task to our overall engineering process.

A comprehensive building survey encompasses the following activities:

- General Survey
- Lighting Survey
- HVAC Systems Survey
- Equipment Metering/Performance Survey
- Controls Survey
- Automation System Survey
- Chilled Water System Survey
- Heating Plant Survey
- Water/Sewer Usage Survey
- Renewable Energy Survey
- Security System Survey
- Financial Survey
- Review Master Plans for Additions/Renovation

**End-to-End Subcontractor Management**

Selecting subcontractor partners for your project is conducted on a client-specific basis to ensure we choose the best match for the project.

- We will work collaboratively with your outreach team.
- We will work with preferred contractors.
- We ensure people pass a thorough quality assessment and background check.

This approach gives us the flexibility to reach agreements that provide the greatest benefit to each specific client and site. And, recognizing that each client has a specific culture, we seek to find firms that will complement and align well with the client to ensure a strong working relationship.



### Selection Process

Effective subcontractor management begins with screening through a competitive bid process, maximizing the use of local firms. We evaluate our partners for financial capability, technical excellence, past performance, personnel qualifications, ability to meet specifications and the realism of their cost. Our process, outlined below, also includes reference checks, a financial status review and a site visit to a comparable project where appropriate.



We then work with you to select the partner that can provide the best value for Equalis Group/Region 10 ESC members in terms of quality, cost, community impacts, and responsiveness. We negotiate a contract with the terms and conditions that provide the best mechanism for managing services or materials while being fair to all parties. Our performance-based contracts with partners assure us of obtaining quality service. Our vendor management plans enable us to track and control costs and performance as closely as if we were doing the work ourselves. Most importantly, we retain full responsibility for all work our subcontractors perform.

#### Our Commitment to Local Subcontractors

Our local presence in cities around the world has allowed us to develop strong relationships with contractors who have a proven track record of delivering and meeting our expectations, and those of our clients. Our approach balances best value with local contractor considerations. We always seek to maximize the use of local firms, as well as participation from minority and women-owned businesses.

**Execution/Accountability:** Our operations manager will make every effort to use our local employees, local contractors, and local suppliers, to ensure the project is good for the community, as well as for Equalis Group/Region 10 ESC members.

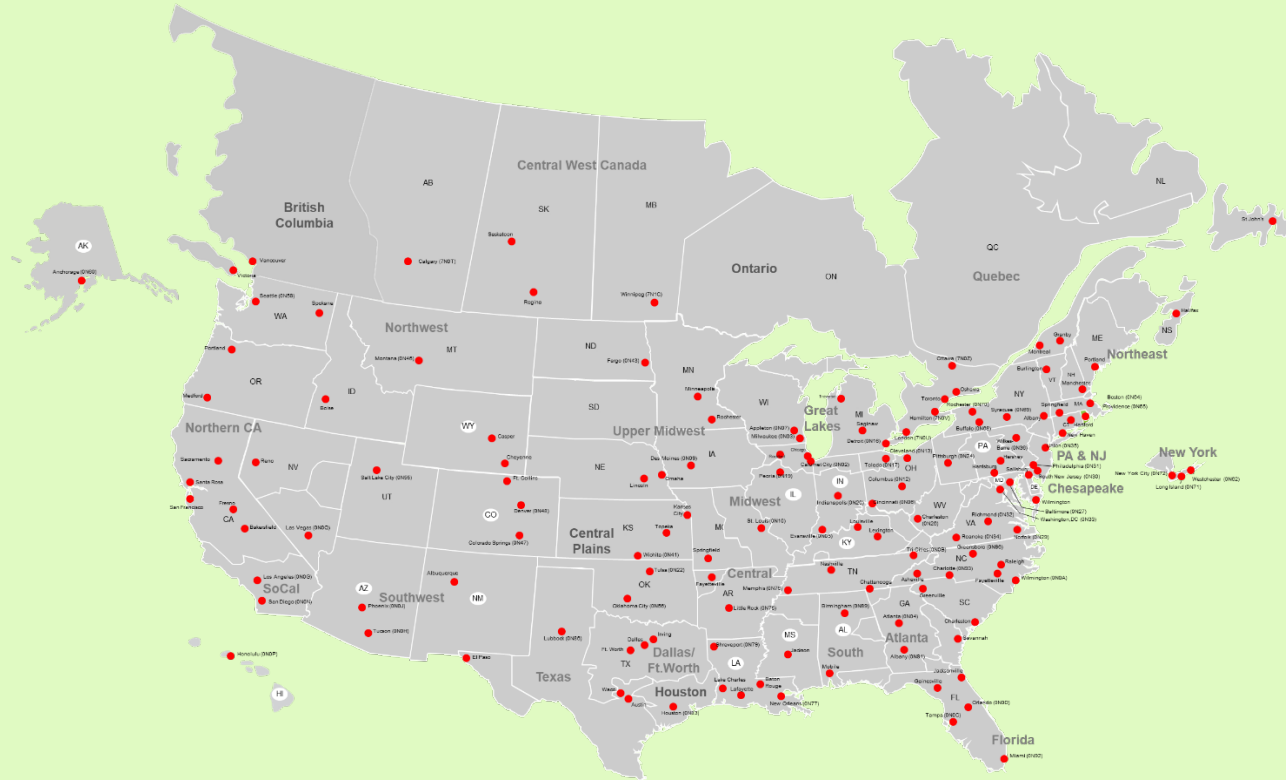
Johnson Controls will also make every effort to partner and subcontract with those firms that have served you well in the past and have earned the right to be associated with the project. Most importantly, Johnson Controls retains full responsibility for all work our subcontractors perform.

#### Management Process

We manage subcontractors using the same tools we use to manage our own costs: defined scope of work, performance reviews, and budget review and analysis.

		<p><b>Defined Scope of Work/Costs</b>  We negotiate fixed-price or time and material contracts with our subcontractors; depending on the structure of the prime contract, we may include performance-based incentives that are directly connected to contract fees. Our subcontracts include a definitive scope of work and specific contract deliverables as appropriate. These subcontracts also include “flow down” provisions from the prime contract. We incorporate our contract clauses for personnel conduct, security, dress codes, etc. into each of our subcontracts. We include a requirement within all of our subcontracts to establish an internal quality control program and agreement that allows us to conduct periodic inspections of subcontractor designated work areas.</p> <p><b>Performance Reviews</b>  We establish a technical point of control for all vendors/service providers. Typically, a manager or a supervisor is charged with reviewing vendor performance to ensure that he or she has delivered timely service at the defined level of quality. The technical monitor also reviews the vendor invoices to ensure realism and accuracy. Whenever the technical monitor finds an anomaly, he or she ascertains whether the charges are justified. This control mechanism helps ensure Equalis Group/Region 10 ESC members are charged only for work done and that costs are fair and reasonable.</p> <p><b>Budget Review</b>  We build yearly budgets that cover all projected costs, including service provider costs. As part of our monthly budget review, our management team identifies any trends or instances of excessive cost and ensures subcontractor compliance to contract terms and conditions. The responsible manager is then tasked to review all costs in this budget area and develop justification or prepare a corrective action process. This control mechanism helps prevent cost creep that might go unnoticed at the individual item level.</p> <p><b>Bill Analysis</b>  The process for administering contracts is described above. Bill paying is done in accordance with our accounts payable process. After the technical manager for the subcontract signs off on the invoice to verify that it is accurate, the invoice is sent to accounts payable. Our system’s processes are designed to identify and correct possible duplicate invoice payments. Commitments and costs are captured within Oracle, down to the lowest level of service activity. Checks are generated as invoices are verified. Johnson Controls issues checks to vendors on a predictable and pre-determined frequency.</p>
History of meeting the shipping and delivery timelines	<i>Outline the method in which your products are delivered to customers, including whether your products are provided through dealers or distributors and how you work with those</i>	<p>We distribute our products and services through our over 160 branch locations in North America and 473 locations worldwide located across 150 countries. The Master Agreement will cover all US territories and outlying areas. Our company does business internationally and has the capability to distribute products to even very remote parts of the globe.</p> <p>We distribute directly as a manufacturer through more than 160 branch offices (shown below). In addition, we have 92 distribution and warehouse facilities in North America.</p>

dealer/distributor  
S.



Various other companies may be involved in shipping products to our customers. The company involved depends on the equipment being purchased, the location of delivery, the location of manufacture, and the time frame involved. We deliver products to all corners of North America, from downtown Manhattan to the islands of Hawaii to remote, northern Alaska.

*Indicate the typical timeframe for products to be received after an order is placed. Outline how you work with customers to schedule shipping time frames.*

Delivery times vary greatly based on the type of equipment and the customer's location. We strive to achieve just in time delivery to avoid storage costs and costs associated with damage that can occur when equipment and parts are stored on site or in a facility for any length of time. Additionally, we do not enforce your warranty until we reach substantial completion. This helps save our customers a little money by not starting the warranty period too early when the system is not yet in use.

Our standardized scheduling processes will assist in preventing schedule setbacks. Each phase must be executed in sequence with the designated critical path schedule as developed by the Operations Manager. Individual conservation measures are labeled with one or more of the following pieces of information:

1. Key retrofit category
2. Critical preceding tasks and linking tasks

		<ol style="list-style-type: none"> <li>3. Construction milestones and necessary deadlines</li> <li>4. Management skills required</li> <li>5. Follow-up responsibility</li> <li>6. Tools</li> <li>7. Special instructions</li> <li>8. Changes, additions, or deletions from original designs or engineering specifications</li> </ol> <p>Our scheduling process allows us to successfully manage multiple measures at multiple sites with minimal deviation. We will schedule installation around all site activities.</p>
Return and restocking fees, shipping charges, and all other fees	<i>Describe your process for handling customer returns, including any associated fees or charges</i>	<p>Return and restocking fees vary according to the equipment purchased. Generally:</p> <ul style="list-style-type: none"> <li>• If we are in the installation phase and the requested change is similar in price and operation to the planned equipment, we will make the change as requested.</li> <li>• If the change is less expensive, we will refund the difference to the customer.</li> <li>• If the change is more expensive, we implement the change with a formal Change Order</li> </ul>
	<i>Is there a minimum order amount before a delivery is made? If so, please indicate that amount.</i>	<p>As part of our Energy and Conservation Performance Contracting solution, there are no minimum quantities related to orders before a delivery can be made. All equipment is shipped to the appropriate location in order to ensure timely installation and commissioning with regard to the scope of the agreed upon program and to ensure conservation and utility savings can be generated as quickly as possible.</p>
	<i>Outline any other charges or fees that may be incurred by customers.</i>	<p>As it relates to this contract, our pricing structure is simple and straightforward.</p> <p>Due to unforeseen conditions and or circumstances on all proposals Johnson Controls includes Proficiency and Risk (PR) Fee be added to all projects.</p> <p>Johnson Controls has the experience and the assets to provide a true performance guarantee. We employ a proven process for definition, measurement, tracking and reconciliation of such a contract. Johnson Controls assumes the risk; we do not “sell” the risk to an outside insurance provider. Therefore, we maintain a stake in the overall performance of the project.</p>
Response to emergency orders and requests	<i>Describe the type of emergency orders or requests your organization typically receives and how you respond to those requests</i>	<p>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. We have processes and programs focused on immediate stock and quick ship programs to meet customer’s emergency needs.</p> <p>Once it is known that an emergency order of a product is needed, the Equalis Group/Region 10 ESC member would contact the Sustainable Infrastructure Project Manager aligned to their account who would then immediately contact the nearest branch office to expedite immediate shipment of this product. In the unlikely event that the product was not on location at the nearest branch, our account management team would work with all surrounding branches and distribution centers to obtain this product and ensure immediate shipment on the first available transportation (available 24/7), to the appropriate Equalis Group/Region</p>

		<p>10 ESC member location. Our local team of technicians would arrive on location once this product has arrived for immediate repair and installation.</p>
<p>Customer service/problem resolution</p>	<p><i>Describe your company's Customer Service Department (hours of operation, how you resolve issues, number of service centers, etc.).</i></p>	<p>Our Sustainable Infrastructure team members take a proactive response to issue management.</p> <p>There are five key areas that keep our project team focused on resolving issues and meeting our commitments:</p> <ul style="list-style-type: none"> <li>▪ A well-conceived master schedule inclusive of all critical milestones.</li> <li>▪ Establishing the protocols and requirements for ongoing communication and collaboration/reporting throughout the life of the project.</li> <li>▪ A list of action items (tied back to the master schedule) maintained by the Project Manager throughout the life of the project.</li> <li>▪ A thorough project analysis that reviews any factors that may influence the project installation planning process or cost.</li> <li>▪ When an unforeseen issue does occur, the Project Manager addresses the issue immediately.</li> </ul> <p>As it pertains to emergency service calls, we have over <b>7,000 front-line service providers</b> nationwide in over <b>160 branch locations</b> which allows us provide local decision-making authority and respond to the emergency needs customers in a timely manner. Local employees will be dedicated to your project to ensure its successful development and implementation.</p> <p>Our extensive branch network is <b>100% company owned</b> and operated. Full ownership of our branch network benefits our customers because we are able to provide:</p> <ul style="list-style-type: none"> <li>• Consistent processes and procedures</li> <li>• Consistent service standards</li> <li>• Consistent on-time delivery</li> <li>• Consistent pricing and training</li> <li>• Consistent long-term support</li> </ul> <p>Our offices are open daily from 8:00 am to 5:00 pm, and 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. All offices are branch offices and owned by Johnson Controls, headquartered in Milwaukee, Wisconsin.</p> <p><b>Remote Operations Center (ROC)</b>      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</p> <div data-bbox="1478 704 1934 911" data-label="Image"> </div> <div data-bbox="1509 886 1917 1101" data-label="Text"> <p>7,000+ front-line service providers nationwide; delivery technical and maintenance services, including controls, mechanical, and electrical. They support over 18,000 current maintenance contracts.</p> </div>

		<p>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, and 365 days a year.</p> <ul style="list-style-type: none"> <li>• Fire &amp; Security Monitoring</li> <li>• Intrusion/burglar alarm monitoring</li> <li>• Critical point monitoring</li> <li>• Elevator phone monitoring</li> <li>• Supervised opening/closing</li> <li>• UL Factory Mutual ensures operational standard are maintained by our Remote Operations Center</li> </ul> <p>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.</p> <p>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:</p> <ul style="list-style-type: none"> <li>• Real-time utility and energy usage as it pertains Performance Contracting projects</li> <li>• Building automation and controls</li> <li>• HVAC equipment</li> <li>• Lighting</li> <li>• Electrical systems</li> <li>• Refrigeration systems</li> </ul>
<p>Capabilities related to ordering, returns and reporting</p>	<p><i>Provide relevant information regarding your ordering process, reporting process. Include any specific consultation you provide to customers during this process.</i></p>	<p>As the Energy Performance Contracting Manager, Johnson Controls will manage the product and materials ordering process on behalf of the Equalis Group/Region 10 ESC member. The appropriate products will be ordered following the ECM selection process and agreed to by both the Equalis Group/Region 10 ESC member and Johnson Controls. Materials will be ordered with adequate lead time to be available on site when required for installation activities. A periodic update of the material equipment list will be generated to ensure compliance with the project schedule.</p> <p>The Project Manager will be vitally concerned about validation of cost, schedule, and technical status. These values will be reported in sufficient time to prompt effective management response. It is important that any issues or variances be communicated to the team immediately for resolution.</p> <p>We recognize that the most successful projects are those where the client is actively engaged in the program. Joint planning, development and open communication are key to a successful partnership. We incorporate specific measures in our project management plan to maximize interaction between our team as well as Equalis Group/Region 10 ESC member engineering and operating staffs.</p>



		<p>They include:</p> <ul style="list-style-type: none"> <li>• Conducting regular workshops or review meetings with member staff to gain input on their preferences and ultimately buy-in on decisions as foundational as selecting the best equipment, other input such as provisions for equipment access and removal for maintenance, as well as the “smaller” but very important design details such as selection of construction materials.</li> <li>• Providing equipment installation references for member staff to contact and in some cases site visits to arrive at decisions about equipment type and manufacturers to be approved for the project.</li> <li>• Participation in quality reviews of the project planning documents and the construction plans and specifications.</li> </ul> <p>We will first develop a list of primary project participants with their contact information to expedite communication. We will also include a distribution list with all reports and documents, and a list of attendees with all meeting schedules. Deliverables to the Equalis Group/Region 10 ESC member will be accompanied by a correspondence letter that outlines the information contained in the attachment, as well as any requested actions. Johnson Controls will also actively issue both written and electronic correspondence to the subcontractors to ensure the proper execution of their coordination items.</p> <p>We will hold weekly meetings with the project team and member personnel to review the schedule, provide an update of the status of all tasks, and develop work plans to mitigate any schedule changes. We will then issue any updates to the schedule to the proper personnel. One of the critical aspects of these meetings is reviewing any external interface points to ensure good coordination between subcontractors. On a monthly basis, we will then conduct a detailed review of schedule performance. This review will be based on the work breakdown structure and variance analysis. We will implement corrective action for elements that exceed established current period or cumulative thresholds. In addition, we will prepare a summary of accomplishments and project issues. These meetings will be critical to ensure good coordination between all parties. Upon completion of the project, member personnel will have been vital members and participants on the project team, assuring their buy-in.</p>
<p>Training &amp; Implementation</p>	<p><i>Describe training or support you provide to help agencies understand how to utilize the spaces and technology equipment being installed.</i></p>	<p>By collaborating with Johnson Controls, Equalis Group/Region 10 ESC members will have the ability to customize additional training to meet our customers' needs.</p> <p>The training information included here provides an overview of the options and methodologies available. This will help to promote the efficient and proper use of the facilities by the staff.</p> <p>Johnson Controls understands that it is our responsibility that the Equalis Group/ Region 10 ESC member staff who will operate and maintain the installed equipment and systems are provided with the knowledge and skills needed to manage those systems and equipment effectively and efficiently. As a leader in technical training, Johnson Controls has the capacity and qualifications for educating the member's staff appropriately. To ensure the success of the project, Johnson Controls will develop a project-specific comprehensive training program. We have outlined our proposed approach below that covers the training to occur during and after construction.</p>



Training would occur during three different phases:

- 1) User group education and collaboration
- 2) Training during the installation phase of the project.
- 2) Ongoing training throughout the life of the performance contract as warranted and during turnover of personnel.

**1) Pre-education and collaboration for user-group**

We normally think of training being delivered to the technicians who will maintain the equipment. However, depending on the final ECM selection, education for the user groups may be equally important. Johnson Controls may recommend and will support a series of training sessions for the user group, risk management team and other stakeholders to gain their understanding and support for the project. Local subject matter experts speaking their language can answer their questions and concerns and address potential issues with this group before they impact the project.

**2) Installation Phase Training**

During the installation phase of the project, Johnson Controls will conduct both centralized and remote field training. The centralized training and the remote field training will be conducted at the Equalis Group/Region 10 ESC member's facilities.

- **Centralized Training.** The centralized training will consist of two 2-day courses on controls, operations, and maintenance. The result will be a detailed understanding of the installed systems and equipment and how they interact with each other. The target audience for this training will be the member's facility operations personnel that operate and maintain the systems.
- **Field Training.** Field training will be conducted on-site at the member's facilities. This training will occur near the end of a particular construction phase and will be tailored to the specific scope installed at that facility. This training will consist of sessions as listed to familiarize the maintenance and operating staff with the various new equipment and systems. Each training session will accommodate 5 to 15 individuals. The training sessions will be facilitated by the Johnson Controls project manager who will have subcontractor representatives available to provide detailed training on their respective scope items.
- **Training Quality.** To ensure the success of our training program and the most efficient process possible, our instructors will offer training review sessions at the end of training sessions to ensure a complete understanding of the topics / equipment covered that day.

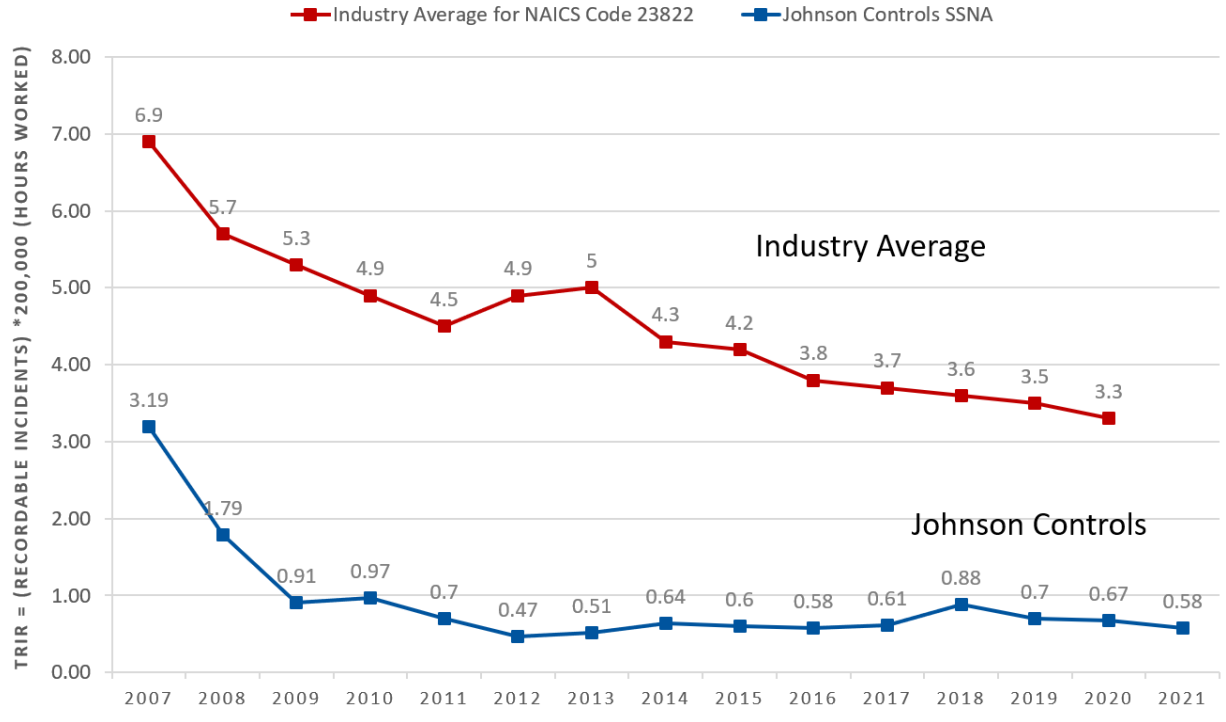
**3) Ongoing Training**

In addition to regularly scheduled training, our performance assurance process often presents ongoing training opportunities as we measure project performance to ensure optimal efficiency and the ongoing success of the project. Our Lead Performance Engineer for the member's project will monitor ongoing performance and will consult with member's staff if any abnormalities or deficiencies are observed that affect the generation of the anticipated savings. These areas may indicate a need for additional training for service personnel. In the course of measurement and verification activities, Johnson Controls also will apprise City staff of opportunities to further enhance project performance and of any additional opportunities for energy savings.

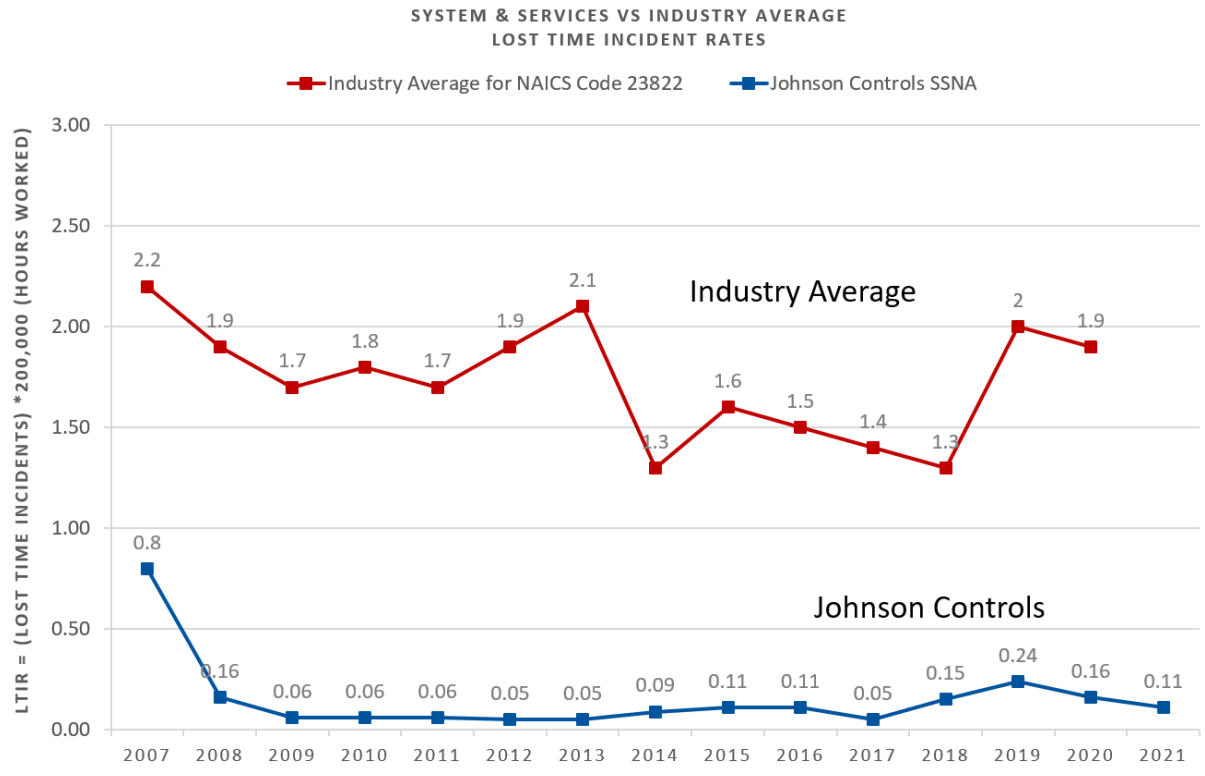
Turnover of personnel also presents training needs that need to be addressed. Johnson Controls will videotape specific training for the member to use for internal training and on-boarding. Any questions or additional training needs can be addressed with

		the lead performance assurance engineer to ensure that new personnel are afforded proper guidance and instruction to perform their jobs.
Other factors relevant to this section as submitted by the Respondent	<i>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</i>	<p>Johnson Controls Inc. will analyze and report on the customers system. This includes control strategies and recommendations for improved system performance via the Performance Verification Tool.</p> <ul style="list-style-type: none"> <li>▪ Review with customer representative current comfort, control, and energy optimization objectives</li> <li>▪ Analyze implemented control strategies for applicability in achieving environmental parameters and control objectives</li> <li>▪ Recommend and discuss cooling, econ, heating systems, optimal run time, night setback strategies, equipment loads, demand limiting and load rolling strategies</li> <li>▪ Review historical trend data and report on control strategy effectiveness as well as make recommendations for improvements</li> <li>▪ Analyze and respond to the day-to-day informational needs of the operations staff</li> <li>▪ Assist in implementation of system status, displays and management reports to aid in the decision support for the facility management staff</li> <li>▪ Recommend alternate operational approaches as opportunities for enhancement are identified</li> </ul>
	<i>Provide your safety record, safety rating, EMR and worker's compensation rate where available.</i>	<p>Johnson Controls uses several tools to measure safety performance over time to evaluate the frequency, severity, and cost of injuries in the workplace.</p> <p>Our company is proud of its unmatched safety record, and it is our goal to have an injury-free workplace. We utilize a mixture of leading and lagging indicators to assess the health and safety performance of our operations. Leading indicators include reporting and disclosure of all Near Miss events and field risk assessments before work takes place. Reported Total Workforce numbers include employees and supervised contractors. Lagging indicators include the OSHA Total Recordable Incident Rate (TRIR) and the Lost Time (or Lost Workday) Incident Rate (LTIR) based upon the number of incidents per 100 employees working 40 hours per week, 50 weeks per year (or per 200,000 work hours). Compared to the industry average TRIR of 3.3 and LTIR of 1.9, Johnson Controls is leading the way in safety with a TRIR of 0.58 and LTRI of 0.11, as shown in the charts below.</p> <p>Another tool used by the insurance industry to evaluate an employer is the Experience Modification Rating (EMR). Safety is a high priority for all Johnson Controls jobs and is reflected in our current EMR of 0.52. The industry average EMR is a 1.0 rating, which means that Johnsons Controls EMR rating is 48% better than the industry average.</p> <p>Compared to industry averages for Total Recordable Incident Rate and Lost Time Incident Rate, Johnson Controls is leading the way in safety. In fact, <b><i>our current safety record surpasses the published future safety goals of most industry leaders.</i></b></p>

SYSTEM & SERVICES VS INDUSTRY AVERAGE  
TOTAL RECORDABLE INCIDENT RATES



\* 2021 industry average data is not currently available from the U.S. Bureau of Labor Statistics



\* 2021 industry average data is not currently available from the U.S. Bureau of Labor Statistics

Other factors relevant to this section as submitted by the Respondent

No answer is required. Region 10 will utilize your overall response and the products/services provided in Attachment B to make this determination

Qualifications and Experience (30 Points)		
Respondent reputation in the marketplace	<i>Provide a link to your company's website</i>	<a href="https://www.johnsoncontrols.com/">https://www.johnsoncontrols.com/</a>
	<i>Please provide a brief history of your company, including the year it was established.</i>	<p>Johnson Controls, a publicly held corporation, was founded in 1885 and trades on the New York Stock Exchange under ticker symbol JCI.</p> <p>Johnson Controls, a 135+ year Global Fortune 500 Company, is a global leader in delivering integrated building control systems, mechanical equipment, fire alarm and life safety products, physical security systems, and both mechanical and technical services. We also provide solutions designed to improve the comfort, safety, and energy efficiency of non-residential buildings and residential properties.</p> <p>Johnson Controls operated under two former names: Johnson Electric Service Company July 31, 1900 to July 10, 1902, Johnson Service Company July 10, 1902, to November 11, 1974. Our company merged with Tyco International in 2016 as Johnson Controls International, PLC.</p> <p>Building Technologies &amp; Solutions sells its integrated control systems, security systems, fire-detection systems, equipment, and services primarily through the Company's extensive global network of sales and service offices, with operations in approximately 60 countries. Significant sales are also generated through global third-party channels, such as distributors of air-conditioning, security, fire-detection, and commercial HVAC systems. In fiscal 2017, approximately 27% of our sales originated from its service offerings.</p> <p>Trusted Buildings brands, such as YORK®, Hitachi Air Conditioning, Metasys®, Ansul, Ruskin®, Titus®, Frick®, PENN®, Sabroe®, Tyco®, Simplex® and Grinnell® give the Company the most diverse portfolio in the building technology industry.</p>
Past relationship with Region 10 ESC and/or Region 10 ESC members	<i>Have you worked with Region 10 in the past? If so, what was the timeframe for that work?</i>	Yes. Johnson Controls Inc. was awarded an HVAC & Facility Systems, Automation, Installation, Service and Related Products & Services Contract #R10-1102A by Region 10 ESC through the Equalis Group Cooperative on November 1, 2020 and is renewable through 2027. JCI has captured large projects utilizing the Region 10 ESC Contract #R10-1102A with Texas State University and Los Angeles World Airports. We have completed a considerable number of projects and service work for Region 10 ESC members.
Experience and qualification of key employees	<i>Please provide contact information and resumes for the person(s) who will be responsible for the following areas. Region 10 requests contacts to cover the following: * Executive Support * Account Manager</i>	<p>We have provided resumes for the following individuals:</p> <ul style="list-style-type: none"> <li>▪ Mary Beth Alexander, Sr Business Development Manager, Cooperative Contracts (responsible for contract management and coordinating billing, reporting, and accounts payable teams)</li> <li>▪ Tom Staves, Sales Manager</li> <li>▪ Paul Poblocki, Director of Marketing and Strategy</li> <li>▪ Maureen Blase, Vice President and General Manager, Sustainable Infrastructure</li> <li>▪ Charles McGinnis, Vice President Sales</li> </ul>

\* Contract  
Manager  
\* Marketing  
\* Billing, reporting  
& Accounts  
Payable

## Mary Beth Alexander

Sr Business Development Manager, Cooperative Contracts

### AREAS OF EXPERTISE

Mary Beth has more than thirty years' experience Selling Solutions and Services to customers of all sizes in all vertical markets. For the past ten years, she has been supporting and training JCI Sales teams to expand our national/state cooperative contracts usage to eligible members across North America. Mary Beth has both the knowledge of the various solutions JCI provides and experience working with all JCI sales teams especially the Sustainable Infrastructure/Performance Contracting Team across North America spanning virtually all vertical markets. She enjoys engaging with the JCI Customers/Cooperative Members to help facilitate purchases using JCI Cooperative Contracts. Mary Beth helped to sell the first cooperative sale within the JCI Cooperative program and since the program has achieved significant year over year growth totaling over \$400M in fiscal year 2022.

In 2021, Mary Beth received the Johnson Controls Chairman's Award for her dedication to serving clients within the cooperative purchasing environment and their customers. The Chairman's Award recognizes employees who go above and beyond to accelerate our growth strategy, better serve our customers, communities, and colleagues, and improve performance as we power our customers' missions and protect the environment.

### RESPONSIBILITIES

Mary Beth will be responsible for business development of this Equalis Group /Region 10 contract #R10-1143. Activities will include but are not limited to:

- Be the subject matter expert to the JCI Sustainable Infrastructure Sales Team on Cooperative Contracts
- All JCI Sustainable Infrastructure Team Cooperative Training including How to incorporate this contract into the SI team sales cycle
- Introducing the Equalis Group team to the JCI sales teams in all markets to form a partnership to increase sales
- Liaison between JCI/Equalis Group to help the member feel comfortable that this is the correct cooperative contract to utilize for their procurement and sign up to become a member if required
- Provide the JCI Sustainable Infrastructure team with all that is required to make sales under this contract
- Provide Equalis Group sales leads to the JCI Sustainable Infrastructure teams
- Help to build out the Equalis Group/JCI internet site for this contract, our internal Equalis Group Sharepoint site, marketing materials, and PowerPoint material for Sales to use in customer presentations.

### EDUCATION / CERTIFICATIONS / MEMBERSHIPS

- BBA, Human Resources, University of Wisconsin – Oshkosh, WI
- National Institute for Certification in Engineering Technologies (NICET)
- Fire Protection Engineering Technology / Fire Alarm Systems / Level II Certification #83829
- Member of WHEA, WASBO and IFMA

### EMPLOYMENT HISTORY

- Johnson Controls: Sr Business Development Manager, State Cooperative Contracts June 2013-Present
- Siemens Industry, Inc - Building Technologies: Senior Service Sales Executive, 2008-2013
- Siemens Industry, Inc - Building Technologies: National Account Executive, 2007-2008

- SimplexGrinnell LP - Tyco International Fire & Security Division: National Account Sales Manager, 2002-2007
- SimplexGrinnell LP - Tyco International Fire & Security Division: Senior Sales Representative, 1995-2002
- SimplexGrinnell LP - Tyco International Fire & Security Division: Service Sales Representative, 1992-1995

## Tom Staves

### Sales Manager

#### AREAS OF EXPERTISE

- Serve as the state government cooperative sales “expert” for the field.
- Be the key communication conduit and contact / liaison point for all State Government vertical / horizontal marketing matters – providing direct support for both regional and district sales and marketing entities, lead and drive the sales effort.
- Identify and prioritize key new opportunities; collaboratively secure commitments from the General Sales Managers on key target customers to pursue; and lead the sales effort
- Continuously train the sales force via monthly webinars to assist in the education gap of how to sell in the state government space.

#### RESPONSIBILITIES

Tom is responsible for direct sales, business development and sales activities in the national state government cooperative vertical for the entire Johnson Controls, Inc. products/service portfolio; and drive and/or assist execution of all market related marketing in order that Johnson Controls, Inc.’s customer perception, brand & market exposure, revenues. and profitability to the company can be fully maximized.

#### EDUCATION / CERTIFICATIONS / MEMBERSHIPS

Onondaga COMMUNITY COLLEGE SYRACUSE, N A.A.S. in Fire Protection Technology 1995

#### EMPLOYMENT HISTORY

- Johnson Controls: Johnson Controls. National Sale Manager, State Government, 2012 to Present
- Simplex Grinnell: National Manager Government Business Development, 2006 to 2012
- Simplex Grinnell: National Accounts Sales Manager, 2001 to 2005
- Simplex Time Recorder, Co.: Service Sales Representative, 1995 to 2000



## Paul Poblocki

Director of Marketing and Strategy

### AREAS OF EXPERTISE

- Business analytics, strategic planning, data modeling, and digital marketing
- Infrastructure renewal, energy efficiency, water efficiency, energy storage, microgrid, and renewable energy

### RESPONSIBILITIES

Paul leads a team to develop and support strategy and integrated marketing efforts for the Performance Infrastructure business at Johnson Controls. He gathers, monitors, and evaluates market intelligence to implement data-driven decision making and long-term strategic planning. He and his team are responsible for driving offerings, such as infrastructure renewal, energy efficiency, water efficiency, energy storage, microgrid, and renewable energy into the sales organization through competitive insight, market analysis and visualization, marketing communications, and inside sales efforts.

### EDUCATION / CERTIFICATIONS / MEMBERSHIPS

- MBA, Marketing/Information Systems, University of Colorado
- BS, College of Business Administration, Marquette University

### EMPLOYMENT HISTORY

- Johnson Controls, Inc., 2010-Present, Director of Strategy & Marketing
- Marquette University, 2018-Present, Adjunct Professor, Business Analytics
- Poblocki Sign Company, 2001-2010, Vice President and General Manager
- Mortgagebot, 2000-2001, Assistant Vice President and Director of Marketing
- Metavante, 1998-1999, Marketing Manager, Electronic Banking Services
- University of Colorado, 1995, Teaching Assistant
- P&S Sign Systems, 1992-1994, Product Development Manager

## Maureen Blase

Vice President and General Manager, Sustainable Infrastructure

### AREAS OF EXPERTISE

Maureen brings more than 30 years of experience and is responsible for managing the business performance, including sales, engineering, and construction activities. She assists account executives, development engineers, project managers and other resources in the development of comprehensive customer-focused solutions.

### RESPONSIBILITIES

Maureen is the Vice President and General Manager of Sustainable Infrastructure for Johnson Controls. In her role on the team Maureen is the authorized representative for Johnson Controls. Maureen will ensure that the resources of Johnson Controls are available to meet the high expectations of Equalis Group/Region 10 ESC and its members.

#### **EDUCATION / CERTIFICATIONS / MEMBERSHIPS**

- BS, Business Administration, Marketing, Bowling Green State University
- Six Sigma, Green Belt

#### **EMPLOYMENT HISTORY**

- Johnson Controls, Inc., Vice President and General Manager, Sustainable Infrastructure, 3 years
- Johnson Controls, Inc., Vertical Market Sales Manager, 11 years
- Frymire Engineering, Business Development Manager/Commercial Sales Manager, 4 years
- Honeywell, Regional Business Specialist-Builder Market, 3 years
- Honeywell, Sales Team Leader K-12 -NW Ohio/Michigan, 3 years
- Honeywell, Performance Contracting Sales Leader K-12, 3 years
- Honeywell, Sales Representative, 3 years

### **Charles McGinnis**

Vice President Sales

#### **AREAS OF EXPERTISE**

Charles (Chuck) has 30 years of experience in sales, marketing, operations, and management in the controls, facilities, and energy services industries. He has been involved in more than \$700 million of energy, construction, maintenance, and operations projects in that time.

#### **RESPONSIBILITIES**

Charles oversees all projects managed by Johnson Controls.

He serves as a liaison to customer institutions and professional associations and uses his insight to consult with project teams regarding trends in the market, challenges faced by administrators and how Johnson Controls can help prepare our customers for the future.

#### **EDUCATION / CERTIFICATIONS / MEMBERSHIPS**

- Master of Business Administration, University of Wisconsin -Madison
- Bachelor of Science, School of Industrial Technology, University of Wisconsin - Stout
- Associate of Science, Madison Area Technical College

#### **EMPLOYMENT HISTORY**

- Johnson Controls, Inc; Vice President Sales, 2000-2022
- Siemens Building Technologies, Senior Marketing Manager-North America, 1998-2000
- North America Mechanical, Inc., Vice President and General Manager of Services and Controls Division, 1994-1998
- Erie Controls; Marketing Manager, 1992-1994

		<ul style="list-style-type: none"> <li>Honeywell Home and Building Controls; Sales management and account sales, 1986-1994</li> </ul>
Past experience working with the public sector	<p><i>What are your overall public sector sales, excluding Federal Government, for last three (3) years?</i></p>	<p>2022: \$2,289,151,041 2021: \$1,247,560,000 2020: \$2,027,795,425</p>
	<p><i>What is your strategy to increase market share in the public sector?</i></p>	<p>Our primary strategy has always been focused on looking at the products and services that our customers within the public sector have been asking for. While they may have an idea of what they may need today, they do not always have a long-term vision for what they may need long term. By regularly engaging our customers across all vertical markets having conversations about the changes in their specific building environments, we are able to help pinpoint which products or services will best serve them today, but well into the future.</p> <p>JCI has an internal team that is focused on assisting our customers with new equipment and upgrades that will make their facilities more efficient and lower their carbon footprint. This team guides field sales with data for potential opportunities where public sector customers have federal stimulus funds available to them.</p> <p>Johnson Controls is a future-focused corporation, working every day to deliver on the promise of smart cities, smart buildings, and smart communities. Johnson Controls pursues innovation across the enterprise, constantly asking what is next to stay ahead of change and create the solutions that help our customers meet their energy goals.</p>
Past experience in JOC estimation	<p><i>What is your past experience working with JOC estimation, if any?</i></p>	<p>Johnson Controls has had numerous JOC awards including Cooperative Contract JOC awards. Most utilize RS Means as the pricing provision change.</p>
Minimum of 5 public sector customer references relating to the products and services within this RFP & demonstrated ability to provide energy and conservation savings	<p><i>Provide a minimum of five (5) customer references for product and/or services of similar scope dating within the past 3 years. Please include any demonstrated energy and conservation savings. Please try to provide references for K12, Higher Education,</i></p>	<p><b>Northwest Florida State College</b> Contact Name and Title: Randall G. White, Vice President of Business Operations and Chief Financial Officer City and State: Niceville, FL Phone: (850) 729-6404 Years serviced: Contract began 2018- will end 2033 (15-year EPC contract) Services: Energy Performance program including the following ECMs:</p> <ul style="list-style-type: none"> <li>Interior and exterior lighting upgrades</li> <li>Sports arena interior lighting</li> <li>Replacement of two central energy plants</li> <li>Boiler replacements and upgrades</li> <li>Building envelope upgrades</li> <li>Building management system installation, integration, and expansion</li> <li>Water conservation improvements</li> <li>HVAC upgrades and replacements</li> <li>Roof replacement</li> <li>Chilled and hot water piping replacement</li> </ul>

	<p><i>City/County and State entities. Provide the entity; contact name &amp; title; city &amp; state; phone number; years serviced; description of services; and annual volume</i></p>	<p>Annual sales volume estimate to be: \$1.936M</p> <p><b>Florida State University – Phase 6</b>  Contact Name and Title: James Stephens, Former Executive Director  City and State: Tallahassee, FL  Phone: (850) 274-8077  Years serviced: Contract began 2017- will end 2027 (10-year EPC contract)  Services: Energy Performance program including the following ECMs:</p> <ul style="list-style-type: none"> <li>• Upgraded aging Siemens building system controllers</li> <li>• Recommissioned BMS to original sequence of operation, including proper scheduling, outside air damper operation, and exhaust fan operation</li> <li>• Installed CHW bridge modifications to optimize campus/building CHW usage</li> <li>• Installed new BMS points to control heating hot water system, zone humidity, air handling units (AHUs), and heating only distribution boxes</li> <li>• Repaired AHU insulation for proper condensation control</li> <li>• Retrofitted thermal VAV diffusers - replaced existing static pressure controlled thermal VAV diffusers with independently controlled VAV thermal diffusers</li> <li>• Resheaved AHUs to achieve proper air flow</li> </ul> <p>Annual sales volume estimate to be: \$197K</p> <p><b>University of North Dakota</b>  Contact Name and Title: Mark Johnson, Director of Operations and Maintenance  City and State: Grand Forks, ND  Phone: (701) 777-2336  Years serviced: Contract began 2018- will end 2058 (40-year EPC contract = 2-year construction + 38 years operating the plant. Option to renew.)  Services: Energy Performance program including the following ECMs:</p> <ul style="list-style-type: none"> <li>• AHU Control Retrofit</li> <li>• Steam to hot water control retrofit</li> <li>• Zone heating control retrofit</li> <li>• Zone air control retrofit</li> <li>• Interior lighting</li> <li>• Exterior lighting</li> <li>• AHU replacement</li> <li>• Replace water-source heat pumps</li> <li>• Replace air-cooled chiller</li> <li>• Replace water-cooled chiller</li> <li>• Constant volume to variable volume conversion</li> <li>• AHU control sequence optimization</li> <li>• Cooling tower replacement</li> </ul>
--	--	--

- Laboratory control retrofit
- Steam to DHW HX replacement
- Absorption chiller replacement

This project is contracted as a P3 project without a specific guarantee of savings. The new steam plant has an efficiency KPI, which guarantees a certain level of optimum performance in energy generation. It is estimated that retrofitting the campus buildings will reduce the consumption of steam and electricity by over \$1 million per year by upgrading building automation, lighting, steam traps, chillers, and HVAC.

**Georgia Institute of Technology**

Contact Name and Title: Greg Spiro, Senior Mechanical Engineer

City and State: Atlanta, GA

Phone: (470) 351-9867

Years serviced: Contract began 2017- will end 2023 (6-year EPC contract)

Services: Energy Performance program including the following ECMs:

- Chilled Water Plant Improvements
- Chilled Water Plant Optimization
- Cooling Tower Water Improvements
- Delta T Improvements
- Miscellaneous Domestic Water Improvements
- Ongoing Optimization Services

We have ongoing controls service contracts due to this project.

Annual sales volume estimate to be: \$1.740M

**City of Beaufort**

Contact Name and Title: William Prokop, City Manager

City and State: Beaufort, SC

Phone: (843) 525.7078

Years serviced: Contract began 2017- will end 2031 (14-year EPC contract)

Services: Energy Performance program including the following ECMs:

- Lighting Systems Upgrades
- Building Envelope Upgrades
- Building Management System Upgrades
- Mechanical Systems Upgrades
- Solar Photovoltaic Systems
- Security System Upgrades
- Emergency Generator System Upgrades
- Water Heater Replacement

We have an ongoing mechanical service agreement for all buildings due to this project.

Annual sales volume estimate to be: \$327K

### City of Evansville

Contact Name and Title: Duane Gillis, Water Superintendent

City and State: Evansville, IN

Phone: (812) 305-6684

Years serviced: Contract began 2016- will end 2036 (20-year EPC contract)

Services:

- Wastewater improvements: The wastewater improvements included significant biogas utilization infrastructure, as well as new centrifuges for sludge thickening and primary clarifier automation. The improvements installed by Johnson Controls included installation of 465 kW combined heat and power (CHP) system capable of generating electrical and thermal energy from digester gas generated at the West WWTP and a digester gas cleaning and conditioning system to support the CHP. The project also included installation of a fat, oil, and grease (FOG) receiving station to co-digest high-strength organic waste and generate additional digester gas. The energy produced offsets a significant portion of the connected electrical load and generates hot water used for process heating.
- Water loss reduction project: 61,000 residential and commercial water meters, Sensus FlexNet AMI backhaul, automated leak detection sensory network.
- Energy efficiency improvements: pumps, lighting and HVAC upgrades, and power factor correction.

Annual sales volume estimate to be: \$321K

### City of Sanger

Contact Name and Title: John Mulligan, Public Works Director

City and State: Sanger, CA

Phone: (559) 876-6300 ext. 1250

Years serviced: Contract began 2014- will end 2034 (20-year EPC contract)

Services: Energy Performance program including the following ECMs:

- 1 megawatt+ single axis tracking solar PV system
- Abate asbestos and install new built-up roofs at City Hall Campus
- Assess and rebuild of existing effluent pump
- Installation of new exterior lighting
- Installation of turbo technology for wastewater treatment plant processing
- Replace 6,048 aging water meters and install city-wide AMI system for meter reading
- Replace aging rooftop units at City Hall Campus (City Hall, Police, Fire, Annex, Wastewater Treatment Lab)

Annual sales volume estimate to be: \$845K

### University of Hawai'i Maui College – Phase 2

Contact Name and Title: David Tamanaha, Vice Chancellor of Administrative Affairs

City and State: Kahului, HI

Phone: (808) 984-3253

Years serviced: Contract began 2019- will end 2033 (14-year EPC contract)

Services: Energy Performance program including the following ECMs:

- LED lighting retrofits and controls

- Interior transformers
  - Window film
  - Replace outdated controls
  - New Btu submeters
  - New trash compactor
  - HVAC modifications
  - Ground-mount solar PV plus energy storage
- Annual sales volume estimate to be: \$1.2M

**Cache County School District**

Contact Name and Title: Bruce James, Energy Resource Manager  
 City and State: North Logan, UT  
 Phone: (435) 512-1192  
 Years serviced: Contract began 2021- will end 2041 (20-year EPC contract)  
 Services: Energy Performance program including the following ECMs:

- LED lighting (district-wide)
  - Lighting controls (district-wide)
  - New drop ceilings in high school
  - New and upgraded Metasys® building automation systems
  - Building envelope improvements (district-wide)
  - Upgraded Fire and CO alarm systems
  - Air conditioning of two high school auditoriums
  - Plug load control and electrical power factor correction
  - Swimming pool operational improvements
  - New 485.5kW photovoltaic solar systems
- Annual sales volume estimate to be: \$819.4K

**Los Angeles Unified School District**

Contact Name and Title: Peter Yee, Prop39 Program Manager with the Sustainability Department  
 City and State: Los Angeles, CA  
 Phone: (213) 241-6271  
 Years serviced: Contract began 2020- will end 2040 (20-year EPC contract)  
 Services: Energy Performance program including the following ECMs:

- Interior and Exterior Lighting System Upgrades
  - Energy Management System Controls
  - High Efficiency Transformers
  - Stationary Lithium-Ion battery storage systems
- Annual sales volume estimate to be: \$1.8M



**Broward County Public Schools**

Contact Name and Title: Rob Jindracek, Manager, Energy Conservation / Utility Management

City and State: Fort Lauderdale, FL

Phone: Office (754) 321-4212, Cell (954) 260-9746

Years serviced: Contract began 2021- will end 2033 (12-year EPC contract)

Services: Energy Performance program including the following ECMs:

Incorporation of new LED lighting and controls and water conservation at an initial 9 schools totaling 1.5M square feet, with the intent to make improvements throughout the School District in future phases.

Annual sales volume estimate to be: \$375K

**Manassas City Public Schools**

Contact Name and Title: Andy Hawkins, Executive Director of Finance & Operations

City and State: Manassas, VA

Phone: (571) 377-6035

Years serviced: Contract began 2019- will end 2034 (15-year EPC contract)

Services: Energy Performance program including the following ECMs:

- Interior lighting upgrades and occupancy sensors
- Plumbing upgrades
- Building envelope
- Building automation
- AHU replacements
- Bi-polarization
- Boiler upgrades

Annual sales volume estimate to be: \$406K

**Smithtown Central School District**

Contact Name and Title: Daniel Leddy, Director of Facilities and Operations

City and State: Smithtown, NY

Phone: (631) 382-4130

Years serviced: Contract began 2021- will end 2039 (18-year EPC contract)

Services: Energy Performance program including the following ECMs:

- Lighting retrofit interior and exterior
- Energy management system
- Renewable energy – PV electric generation
- Cogeneration
- Weatherization
- Pipe & valve insulation
- Plug load controllers

		<ul style="list-style-type: none"> <li>• Steam traps</li> <li>• Installation of new boiler</li> </ul> <p>Annual sales volume estimate to be: \$ 1.258M</p> <p><b>City of Decatur</b></p> <p>Contact Name and Title: Gregg Zientara, Finance Director/City Treasurer  City and State: Decatur, IL  Phone: (217) 424-2702  Years serviced: Contract began 2016- will end 2033 (17-year EPC contract)  Services: Energy Performance program including the following ECMs:</p> <ul style="list-style-type: none"> <li>• Automated meter reading system installation (30,000 endpoints)</li> <li>• Boiler replacements</li> <li>• Building envelope improvements</li> <li>• Control system upgrades</li> <li>• Cooling system replacements</li> <li>• Destratification fan installations</li> <li>• Frequency drive installation</li> <li>• Lighting improvements in all City facilities</li> <li>• Rooftop unit replacements</li> <li>• Water meter replacement (20,000 meters)</li> </ul> <p>Annual sales volume estimate to be: \$ 1.096M</p>																
<p>Certifications in the Industry</p>	<p><i>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</i></p>	<p>Johnson Controls, Inc. is incorporated in Wisconsin and is legally qualified to do business in all states in the United States and numerous foreign countries. Johnson Controls, Inc. holds all necessary licenses and registrations to conduct its business.</p> <p>With over 140 branch locations throughout North America, we cannot provide a comprehensive list of all relevant licensed personnel. We are licensed to do all covered services in all 50 states, U.S. territories, and in Canada. The following list shows some of the licenses and certifications held by our employees.</p> <table border="1" data-bbox="642 1027 1843 1424"> <thead> <tr> <th data-bbox="642 1027 1476 1127">Professional Category</th> <th data-bbox="1476 1027 1843 1127">Number of Representatives within Johnson Controls</th> </tr> </thead> <tbody> <tr> <td data-bbox="642 1127 1476 1170">Licensed Professional Engineer (PE)</td> <td data-bbox="1476 1127 1843 1170">90</td> </tr> <tr> <td data-bbox="642 1170 1476 1214">LEED Accredited Professional (LEED AP)</td> <td data-bbox="1476 1170 1843 1214">724</td> </tr> <tr> <td data-bbox="642 1214 1476 1258">LEED-Green Associate (LEED GA)</td> <td data-bbox="1476 1214 1843 1258">69</td> </tr> <tr> <td data-bbox="642 1258 1476 1302">Certified Auditing Professional – Hong Kong (CAP)</td> <td data-bbox="1476 1258 1843 1302">1</td> </tr> <tr> <td data-bbox="642 1302 1476 1346">Certified Building Commissioning Professional (CBCP)</td> <td data-bbox="1476 1302 1843 1346">19</td> </tr> <tr> <td data-bbox="642 1346 1476 1390">Certified Building Commissioning Professional International (CBCPI)</td> <td data-bbox="1476 1346 1843 1390">2</td> </tr> <tr> <td data-bbox="642 1390 1476 1424">Certified Building Energy Simulation Analyst (BESA)</td> <td data-bbox="1476 1390 1843 1424">2</td> </tr> </tbody> </table>	Professional Category	Number of Representatives within Johnson Controls	Licensed Professional Engineer (PE)	90	LEED Accredited Professional (LEED AP)	724	LEED-Green Associate (LEED GA)	69	Certified Auditing Professional – Hong Kong (CAP)	1	Certified Building Commissioning Professional (CBCP)	19	Certified Building Commissioning Professional International (CBCPI)	2	Certified Building Energy Simulation Analyst (BESA)	2
Professional Category	Number of Representatives within Johnson Controls																	
Licensed Professional Engineer (PE)	90																	
LEED Accredited Professional (LEED AP)	724																	
LEED-Green Associate (LEED GA)	69																	
Certified Auditing Professional – Hong Kong (CAP)	1																	
Certified Building Commissioning Professional (CBCP)	19																	
Certified Building Commissioning Professional International (CBCPI)	2																	
Certified Building Energy Simulation Analyst (BESA)	2																	

limited to licenses, registrations or certifications. M/WBE, HUB, DVBE, small and disadvantaged business certifications and other diverse business certifications, as well as manufacturer certifications for sales and service must be included if applicable

Certified Business Energy Professional (BEP)	7
Certified Carbon Reduction Manager (CRM)	2
Certified Demand-Side Management Professional (CDSM)	18
Certified Energy Auditor (CEA)	20
Certified Energy Auditor International (CEAI)	2
Certified Energy Auditor In Training	1
Certified Energy Auditor-Master's Level	1
Certified Energy Manager (CEM)	160
Certified Energy Manager International (CEMI)	24
Certified Energy Procurement Professional (CEP)	3
Certified Grant Manager	1
Certified Green Building Engineer (GBE)	5
Certified Indoor Air Quality Professional (CIAQP)	2
Certified Lighting Efficiency Professional (CLEP)	5
Certified Measurement and Verification Professional (CMVP)	66
Certified Measurement and Verification Professional International (CMVPI)	5
Certified Measurement and Verification Professional In Training International (CMVPITI)	2
Certified in the use of RETScreen (CRU)	1
Certified Sustainable Development Professional (CSDP)	6
Distributed Generation Certified Professional (DGCP)	4
Energy Manager in Training (EMIT)	2
Energy Manager in Training International (EMITI)	1
Existing Building Commissioning Professional (EBCP)	7
Performance Contracting and Funding Professional (PCF)	3
Renewable Energy Professional (REP)	3

Furthermore, 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.

**NAESCO Accreditation**

The National Association of Energy Service Companies (NAESCO) has continuously recognized Johnson Controls as an accredited ESCO since 1997. NAESCO designated us as an Accredited Energy Service Provider (ESP) in 2003 (the first year

ESP accreditation was available). We are one of only 13 companies in North America to receive this designation. Our current Certificate of Accreditation is valid through November 2023.

Our Vice President of Sales, Charles McGinnis, is named as NAESCO's Board Chairman, showing our commitment to the industry.

This third-party accreditation demonstrates that we have the technical and managerial competence to do the following:

- Develop comprehensive energy efficiency projects, including lighting measures, efficient motors and drives, and measures involving HVAC systems.
- Provide a full range of energy services, including conducting energy audits, providing, or arranging project financing, completing design engineering, selecting energy efficient equipment, providing operations and maintenance services, and verifying energy savings according to accepted industry practice.
- Implement performance-based projects.
- Supply energy through the development and implementation of build/own/operate distributed generation, cogeneration or combined heat and power projects or the firm contracting energy supply.

Equalis Group/Region 10 ESC members will benefit from our extensive involvement in NAESCO as well as a wide range of accreditations, certifications, and memberships in other professional/trade organizations. We have our finger on the pulse of the industry, and we help drive industry standards and procedures. That knowledge will be instrumental in choosing the most cost-effective Energy Conservation Measures, incorporating the latest technology, and providing some of the highest-trained professionals as part of the solution team.

Our active memberships and affiliations with many of these organizations show Johnson Controls' dedication to improving our clients' operations. Additionally, our participation with facility-based organizations, such as International Facility Management Association (IFMA) and Building Owners and Managers Association (BOMA), enables us to fully understand industry standards and also evaluate Equalis Group/Region 10 ESC members' facilities for solutions that are being implemented successfully in similar facilities.



#### ISO Certification

82% of our building technology manufacturing plants are ISO 9001-2015 certified. The remaining 18% will become ISO 9001 certified as part of our company's manufacturing governance system to attain world-class performance and drive operational excellence.

The figures presented do not include our satellite manufacturing plants because their headcounts are too low to undertake/sustain the process.

We have an Environmental Management System in place — all of our manufacturing locations are expected to adopt a management system compliant with ISO14001.

### Associations and Memberships

We minimize risk for our clients by remaining active in a wide range of associations. Our ability to successfully implement a wide variety of energy efficiency improvements in all facility settings will provide you with the assurance that your project will be successful.

- ASHRAE
- Association of Energy Engineers (AEE)
- Building Office Management Association (BOMA)
- International Facilities Management Association (IFMA)
- National Association of Minority Contractors
- National Minority Supplier Development Council
- Energy Services Coalition (ESC)
- U.S. Green Building Council
  - A national coalition representing all sectors of the building industry (architects, environmental groups, engineers, utilities, product manufacturers, universities, building owners, and Federal, State, Local Government)
  - Promote the design, construction, and operation of environmentally responsible, profitable, healthy places to live and work
  - Launched LEED in 2000, the most complete rating system for green buildings
  - Piloting LEED for Existing Buildings 2002
- American Correctional Association (ACA)
- Association of Physical Plant Administrators (APPA):
  - Johnson Controls is a long-standing active APPA member and education partner. The company's major APPA activities include national, regional, and local conventions in 40 locations; program and event sponsorships; and providing speakers and/or facilitators for business-education forums and workshops. Johnson Controls, Inc. also sponsors engineering co-op and internship programs, and joint product research projects.
- Construction and Maintenance Institute (CMI)
- Energy Efficiency Global Forum



		<ul style="list-style-type: none"> <li>○ Business executives, government leaders and advocates from across sectors and continents convene for actionable dialogues on advancing energy efficiency</li> <li>○ Johnson Controls is a Silver Sponsor</li> <li>● National Association of Colleges and University Business Officers (NACUBO)</li> <li>● National Association of Energy Service Companies (NAESCO)</li> <li>● National Association of State Energy Officials (NASEO)</li> <li>● National Association of State Facilities Administrators (NASFA)</li> </ul>
Company profile and capabilities	<p><i>What best describes your position in the distribution channel? (Manufacturer, Authorized Distributor, Value-Add Reseller, Other</i></p>	Energy Performance Contracting management partner and manufacturer.
Other factors relevant to this section as submitted by the Respondent	<p><i>If your company is a privately held organization, please indicate if the company is owned or operated by anyone who has been convicted of a felony. If yes, a detailed explanation of the names and conviction is required.</i></p>	Johnson Controls, Inc. is a publicly held organization.
<p>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. These will be provided in the space provided in Form 6. No answer is required here.</p>		

Financial Condition of Vendor (20 Points)								
Demonstrated financial strength and bonding capacity	<i>Demonstrate your financial strength and stability with meaningful data. This could include, but is not limited to, such items as financial statements, SEC filings, credit &amp; bond ratings, letters of credit, and detailed reference letters</i>	<p>Johnson Controls International plc has a strong balance sheet with significant financial liquidity. As of September 30, 2021, our parent company has nearly \$41.9 billion in total reported assets. In addition, we continue to generate strong revenue and profitability. For the fiscal year 2021, our company reported net revenue of nearly \$23.7 billion and net income of \$1.6 billion. Our parent company has a long-term credit rating of BBB+/Stable/A-2 from Standard &amp; Poor's Rating Service. This financial strength empowers us to fund our project development activities.</p> <p>Johnson Controls' financial health provides Equalis Group/Region 10 ESC members assurance of our ability to serve our customers. Our capacity to integrate a wide range of services into a cohesive, tailored value proposition for our customers truly differentiates us from our competitors. We have invested millions of dollars to create a robust operational, financial, and technical infrastructure, critical when managing large, widely distributed, and divergent sets of properties that constitute customer portfolios.</p> <p>We continue to focus on profitable growth in all our businesses, as it allows us more opportunities to leverage our volume, leading to improved quality and efficiencies. This enables us to invest in innovation and improve our services, bringing more success to our customers. Our growth goals are supported by initiatives focusing on new technology, optimizing our resources and continuous improvement of quality, reliability, and delivery.</p> <p>Our latest financial report can be found within our Form 10K which is made available using the following link:  <a href="https://investors.johnsoncontrols.com/financial-information/financial-reports?doc=" style="color: blue; text-decoration: underline;">https://investors.johnsoncontrols.com/financial-information/financial-reports?doc=*</a></p>						
	<i>Provide your company's current bonding capacity. Letters may be attached in response to Form 6.</i>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 40%; border-bottom: 1px solid black; padding: 5px;">Current bonding rating</td> <td style="border-bottom: 1px solid black; padding: 5px;">A (AM Best)</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;">Current bonding capacity</td> <td style="border-bottom: 1px solid black; padding: 5px;">\$200 million single \$600 million aggregate</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding: 5px;">Current bonding rate</td> <td style="border-bottom: 1px solid black; padding: 5px;">\$2.50/\$1,000</td> </tr> </table>	Current bonding rating	A (AM Best)	Current bonding capacity	\$200 million single \$600 million aggregate	Current bonding rate	\$2.50/\$1,000
	Current bonding rating	A (AM Best)						
Current bonding capacity	\$200 million single \$600 million aggregate							
Current bonding rate	\$2.50/\$1,000							
<i>What was your annual sales volume over last three (3) years?</i>	<p>2021: \$23.6B  2020: \$22.3B  2019: \$23.9B</p>							
Past litigation, bankruptcy,	<i>Provide information</i>							



reorganization, state investigations of entity or current officers and directors

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

### **Litigation**

Johnson Controls, Inc. is involved in litigation or disputes concerning various aspects of the operation of Johnson Controls, Inc. Johnson Controls, Inc. has been, may currently be and may in the future become 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 Johnson Controls, Inc.'s operations, it would be difficult (if not impossible) to provide a definitive and comprehensive list of litigation relating to Johnson Controls, Inc. However, the Form 10-K annual report of its parent company, Johnson Controls International plc, identifies all litigation that may be material to the financial condition of the Company. The Form 10-K annual report can be obtained through the Company's website:

[https://investors.johnsoncontrols.com/financial-information/financial-reports?doc=\\*](https://investors.johnsoncontrols.com/financial-information/financial-reports?doc=)

### **Bankruptcy**

Johnson Controls has never sought bankruptcy protection.

### **Reorganization**

As a company with a 135-year history, we have undergone numerous changes. Most recently, our parent company, Johnson Controls International plc (NYSE: JCI), was formed in 2016 through a merger between Tyco International Ltd. and one of Johnson Controls' subsidiaries. Johnson Controls, Inc. became a subsidiary and the North American operating company of Johnson Controls International plc through a merger that closed on September 2, 2016.

<b>MWBE Status and/or Program Capabilities (10 Points)</b>		
MWBE status, subcontractor plan, and/or joint venture program	<i>Please indicate whether you hold any diversity certifications, including, but not limited to MWBE, SBE, DBE, DVBE, HUB, or HUBZone</i>	Johnson Controls does not hold any of these certifications and is classified as a publicly held corporation.
	<i>Do you currently have a diversity program in place, such as a Mentor Protégé Program or subcontractor program? If you have a diversity program, please describe it and indicate whether you plan to offer your program or partnership through Equalis Group?</i>	<p>Yes, Johnson Controls does have a diversity program and plans to offer this program through the Equalis Group/Region 10 ESC contract.</p> <p>Our commitment to incorporate diverse-owned businesses into our product and service offerings is rooted in our mission to exceed customers' increasing expectations. Johnson Controls operates under a strategic business imperative to include commercial and purchasing processes, robust outreach and training, goal setting and tracking, and internal and external reporting that keeps diversity business development front of mind. As such, we review and communicate goal attainment and progress throughout the organization on a monthly basis. We understand that diversity business development is a team effort and requires the support of each Johnson Controls office, facility, and account.</p> <p>Participating Agencies may use diverse partners through the Master Agreement simply by indicating to the account manager, either verbally or in writing, of the desire for diverse-owned business participation. While there are no pricing changes when using the diversity program, we receive competitive bids from multiple diverse-owned businesses, which ensures you receive a competitive price for the services or equipment.</p> <p><b>Execution/Accountability</b> We have a diversity business initiative that is directed by senior management and is integrated into our corporate strategy. A diverse business is defined as a company that is at least 51% owned, managed, and controlled by one or more minority persons, or non-minority women, or a small business that conforms to guidelines established by the United States Small Business Administration, or a historically underutilized business based on local country definitions.</p> <p><b>Spending with Diverse Suppliers</b> We are a leader in supplier diversity. Since 1993, we have spent more than \$22 billion with certified women- and minority-owned suppliers. Globally, we have included more than 400 diverse and historically underutilized companies into more than 30 product and service categories to support our customer solutions.</p>

**Program Implementation**

Our program is successful because the company has built an infrastructure of accountability, training, processes, systems, and people to make supplier diversity a competitive advantage for the firm. All of the operational, commercial, and advanced diversity business activities are tied together with standardized processes used companywide:

- Supplier diversity training for internal departments and prime contractors
- Talk back orientation sessions
- Electronic capability matching and tracking
- Diverse business mentoring modules
- Decision-maker recognition programs
- Equity joint ventures and strategic alliances
- Performance tracking and forecasting
- Diverse business involvement program for prime suppliers

**Supplier Diversity Training for Internal Departments and Prime Contractors** — We offer a course, Increasing Diverse Supplier Participation, for every employee who is delegated the responsibility to commit the expenditure of corporate funds directly or indirectly for the purchase of goods and services.

**Talk Back Orientation Sessions** — We hold orientation sessions in key cities throughout the United States and via video stream. At these meetings with potential diverse suppliers, the company's supplier diversity team and procurement personnel explain the pre-qualification process and review active purchasing plans.

**Electronic Capability Matching and Tracking** — We use an automated process to present diverse supplier capability to internal decision makers for consideration on current and future projects. Potential suppliers with products and services complete a supplier profile. These profiles are transmitted electronically to decision makers for consideration on current and future projects. Once selected and active in the supplier base, this system produces reports on diverse purchasing performance for internal management and customers.

**Diverse Business Mentoring Modules** — We use the concept of buying cohorts to mentor diverse suppliers, other corporations, and regional councils. We form groups of 16 corporations and 20 diverse suppliers called *business modules* to provide focused procurement opportunities and corporate training on ways to strengthen supplier diversity processes.

**Decision Maker Recognition Programs** — Buyers compete for our coveted Chairman's Award and Merit Award. Candidates increase their chances of winning by structuring deals with diverse firms that offer continuous improvement in our products or services to our customers, productivity in our facilities, and time compression. Field personnel also compete in our diversity business awards program for their support of our supplier diversity strategy.

**Equity Joint Ventures and Strategic Alliances** — Under certain circumstances, we will structure equity joint ventures and strategic alliances with diverse-owned firms. Typically, these arrangements are formed to jointly pursue new business or to solve an internal technical challenge.

**Performance Tracking and Forecasting** — Our diversity business development initiative is successful and outstanding because we believe in continuous improvement. We improve its accountability processes by adding monthly supplier diversity top project reviews with our chief procurement officer. These review meetings monitor divisional diversity purchasing performance along with upcoming customer projects that require diversity business involvement. Projects are categorized by likelihood of consummation. The list of high-potential projects, the names of the project champions and their division, project dollar values and expected realize dates are presented to the senior team.

We have two levels of accountability for diversity purchasing performance:

- Quarterly purchase plan reviews with buying teams in each division.
- Monthly diversity project reviews with divisional procurement vice presidents and our CPO to develop actions for the project pipeline going forward.

These enhanced accountability processes ensure diverse business involvement early on during the definition stages of our projects. These processes also organize the global sourcing efforts so we minimize the difficulty diverse suppliers can experience while trying to sell to a large organization. At any point in time, the supplier diversity team knows what projects are active and open for diverse supplier involvement.

**Diverse Business Involvement Program for Prime Suppliers** — We require our prime suppliers to launch supplier diversity initiatives, rather than simply buy products and services from diverse suppliers. Each prime supplier that reports second-tier spend is measured on the following criteria:

- Completion of second tier annual plan.
- Designation of a supplier diversity coordinator.
- Becoming a regional member of the National Minority Supplier Development Council (NMSDC) or the Women's Business Enterprise National Council (WBENC).
- Attending an NMSDC/WBENC procurement trade show or networking event.
- Completion of our supplier diversity basic training course.

#### **Corporate Outreach Program**

The following information highlights our recent activities and achievements in support of diverse-owned firms:

- Integrating supplier diversity and business development as a key component of our strategic business plan. Purchases from diverse companies are targeted to grow each year.
- Convening trade shows and other events to encourage companies to purchase goods and services from diverse firms.
- Including diverse suppliers in acquisitions/divestitures, lead supplier arrangements, joint ventures, and strategic alliances.
- Implementing standardized internal processes throughout the company for recruiting, training, and using diverse suppliers nationwide.
- Expanding the successful business module program for customers and key suppliers throughout the United States.
- Adopting cloud-based systems to provide business opportunities for diverse suppliers, measure performance, and promote diversity-oriented business solutions to customers.
- Strengthening mandates for existing suppliers that require them to offer solutions supporting supplier diversity, as a condition of doing business with our company.

- Establishing capacity-building groups around the country to provide focused procurement opportunities and corporate training.
- Recognition

These processes, tools, and other efforts have earned us widespread recognition, including the following awards and honors:

**Corporation of the Year Supplier Diversity**

- Impact Award for multiple Corporation of the Year Achievements by the National Minority Supplier Development Council – 2017
- Michigan Minority Supplier Development Council – 2015, 2014, 2011, 2012 and 2011
- Michigan Minority Business Development Council – 2010, 2007, 2006, 2005, 2004, 2003, 2001, 2000, 1999, 1997, and 1996
- Chicago Minority Supplier Development Council – 2014
- Tristate Minority Supplier Development Council – 2014
- Maryland/DC Minority Supplier Development Council – 2012
- South Region Minority Supplier Development Council (Alabama) – 2011
- Tennessee Minority Supplier Development Council – 2008, 2007, 2005, 2004, and 2002
- National Minority Supplier Development Council – 2008 and 2003
- Central and South Texas Minority Business Council – 2006
- Michigan Hispanic Chamber of Commerce Corporation of the Year – 2006 and 2005
- Greater Atlanta Economic Alliance – 2003

**Other Supplier Diversity Awards**

- Gold Award for Top Supplier Diversity Performance from General Motors Corporation – 2017
- Global Link Award for International Supplier Diversity by the National Minority Supplier Development Council – 2016, 2014
- National Minority Supplier Development Council Corporate Innovation Award for Supplier Diversity – 2015
- Toyota Superior Award for Supplier Diversity – 2014
- Superior Award for Supplier Diversity Initiatives from Toyota North America – 2012, 2011, 2009, 2008, 2007, 2006, 2005 and 2004
- Chrysler Supplier of the Year Award for Supplier Diversity – 2012
- Ford World Excellence Award – 2011
- Two Way Street Award from Detroit's Booker T. Washington Business Association – 2006
- Chrysler Corporation Role Model Award for Diverse Supplier Procurement Initiatives – 2005, 1997 and 1995
- DiversityBusiness.com has named Johnson Controls to its Top 50 Organizations for Multicultural Business Opportunities
- Wisconsin Supplier Development Council Supplier Diversity Excellence Award – 2004
- General Motors Corporation Diversity Champion Award – 2003 and 2001
- Ford Motor Company World Excellence Award for Diverse Supplier Business Development – 1999
- Nelson Mandela International Award for Enhancing Diversity Practice – 1999 (as part of the British Diversity Awards program in London)



## Statement of Policy Global Supplier Diversity & Business Development

It is the policy of Johnson Controls that diverse business concerns shall have equal opportunity to compete for contract/or subcontracts held by the corporation and its operating units. Purchases of goods and services shall be made from such concerns to the fullest extent possible, consistent with this policy and the efficient performance of our operations. In addition, Johnson Controls will assist in developing and strengthening diverse businesses. This policy supports our customers' expectations and provides Johnson Controls with a competitive advantage that contributes to the overall growth and expansion of our business.

In carrying out this policy, operating units shall ensure that:

1. Every employee, who is delegated the responsibility to directly or indirectly commit the expenditure of corporation funds for the purchase of goods and services, shall encourage meaningful participation of diverse businesses.
2. Management and technical assistance is offered where appropriate to assist diverse business concerns in becoming stronger suppliers in their area of expertise.
3. All Johnson Controls key suppliers are expected to adopt similar initiatives.

**Each Vice President, Director, General Manager of each business unit has overall responsibility for carrying out this program and all departments and functions shall cooperate fully.**

Overall company coordination shall be the responsibility of the Vice President of Supplier Diversity.

**A diverse business is defined as a company that is certified to be at least 51 percent owned, managed and controlled by one or more minority persons, or non-minority women, or a small business that conforms to guidelines established by the United States Small Business Administration, or a historically underutilized business based on local country definitions.**

A handwritten signature in blue ink that reads "George R. Oliver".

George Oliver  
Chairman and Chief Executive Officer

Please attach any certifications you have as part of your response to Form 6.		
<p>Good faith efforts to involve MWBE subcontractors in response</p>	<p><i>Did your company contact MWBEs or minority chambers of commerce by telephone, written correspondence, or trade associations at least one week before the due date of this RFP to provide information relevant to this opportunity and to determine whether any MWBEs were interested in subcontracting and/or joint ventures?</i></p>	<p>Johnson Controls has not specifically contacted any of our MWBE partners or chambers of commerce prior to submission of our proposal to Equalis Group. However, our ongoing partnership with this broad and extensive listing of MWBE partners that work with us every day ensures that they are ready, willing, and prepared to serve Equalis Group/Region 10 ESC members just as they have continued to be true business partners to Johnson Controls as it relates to other cooperative partner programs nationwide.</p> <p>Johnson Controls has significant small business growth goals in which we are constantly seeking additional successful small business partnerships across all designations.</p>
<p>Demonstrated ongoing MWBE program</p>	<p><i>Outline your subcontractor strategy and efforts your organization takes to include MWBE subcontractors in future work, including but not limited to efforts to reach out to individual MWBE businesses, minority chambers of commerce, and other minority business and</i></p>	<p>It is Johnson Control's goal to engage, encourage, include, and educate qualified MWBE partners wherever reasonably possible and wherever advantageous to the specific project or customer needs.</p> <p>As noted earlier within this response, our commitment to incorporate diverse-owned businesses into our product and service offerings is rooted in our mission to exceed customers' increasing expectations and improve the communities we work in. Johnson Controls operates under a strategic business imperative to include commercial and purchasing processes, robust outreach and training, goal setting and tracking, and internal and external reporting that keeps diversity business development front of mind. As such, we review and communicate goal attainment and progress throughout the organization monthly. We understand that diversity business development is a team effort and requires the support of each Johnson Controls office, facility, and account.</p> <p><b>Subcontractor Management</b></p> <p>Selecting subcontractor partners for your project is conducted on a client-specific basis to ensure we choose the best match for the project.</p> <ul style="list-style-type: none"> <li>▪ We will work collaboratively with your outreach team.</li> <li>▪ We will work with preferred contractors.</li> <li>▪ We ensure people pass a thorough quality assessment and background check.</li> </ul>



	<i>trade associations.</i>	<p>This approach gives us the flexibility to reach agreements that provide the greatest benefit to each specific client and site. And, recognizing that each client has a specific culture, we seek to find firms that will complement and align well with the client to ensure a strong working relationship.</p> <p><b>Selection Process</b></p> <p>Effective subcontractor management begins with screening through a competitive bid process, maximizing the use of local firms. We evaluate our partners for financial capability, technical excellence, past performance, personnel qualifications, ability to meet specifications and the realism of their cost. Our process, outlined below, also includes reference checks, a financial status review and a site visit to a comparable project where appropriate.</p>
--	----------------------------	--



We then work with you to select the partner that can provide the best value for Equalis Group/Region 10 ESC members in terms of quality, cost, community impacts, and responsiveness. We negotiate a contract with the terms and conditions that provide the best mechanism for managing services or materials while being fair to all parties. Our performance-based contracts with partners assure us of obtaining quality service. Our vendor management plans enable us to track and control costs and performance as closely as if we were doing the work ourselves. Most importantly, we retain full responsibility for all work our subcontractors perform.

**Our Commitment to Local Subcontractors**

Our local presence in cities around the world has allowed us to develop strong relationships with contractors who have a proven track record of delivering and meeting our expectations, and those of our clients. Our approach balances best value with local contractor considerations. We always seek to maximize the use of local firms, as well as participation from minority and women-owned businesses.

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

**Execution/Accountability:** Our operations manager will make every effort to use our local employees, local contractors, and local suppliers, to ensure the project is good for the community, as well as for Equalis Group/Region 10 members. Johnson Controls will also make every effort to partner and subcontract with those firms that have served you well in the past and have earned the right to be associated with the project. Most importantly, Johnson Controls retains full responsibility for all work our subcontractors perform.

**Management Process**

We manage subcontractors using the same tools we use to manage our own costs: defined scope of work, performance reviews, and budget review and analysis.

**Defined Scope of Work/Costs**

We negotiate fixed-price or time and material contracts with our subcontractors; depending on the structure of the prime contract, we may include performance-based incentives that are directly connected to contract fees. Our subcontracts include a definitive scope of work and specific contract deliverables as appropriate. These subcontracts also include “flow down” provisions from the prime contract. We incorporate our contract clauses for personnel conduct, security, dress codes, etc. into each of our subcontracts. We include a requirement within all of our subcontracts to establish an internal quality control program and agreement that allows us to conduct periodic inspections of subcontractor designated work areas.

**Performance Reviews**

We establish a technical point of control for all vendors/service providers. Typically, a manager or a supervisor is charged with reviewing vendor performance to ensure that he or she has delivered timely service at the defined level of quality. The technical monitor also reviews the vendor invoices to ensure realism and accuracy. Whenever the technical monitor finds an anomaly, he or she ascertains whether the charges are justified. This control mechanism helps ensure Equalis Group/Region 10 ESC members are charged only for work done and that costs are fair and reasonable.

**Budget Review**

We build yearly budgets that cover all projected costs, including service provider costs. As part of our monthly budget review, our management team identifies any trends or instances of excessive cost and ensures subcontractor compliance to contract terms and conditions. The responsible manager is then tasked to review all costs in this budget area and develop justification or prepare a corrective action process. This control mechanism helps prevent cost creep that might go unnoticed at the individual item level.

**Bill Analysis**

The process for administering contracts is described above. Bill paying is done in accordance with our accounts payable process. After the technical manager for the subcontract signs off on the invoice to verify that it is accurate, the invoice is sent to accounts payable. Our system’s processes are designed to identify and correct possible duplicate invoice payments. Commitments and costs are captured within Oracle, down to the lowest level of service activity. Checks are generated as invoices are verified. Johnson Controls issues checks to vendors on a predictable and pre-determined frequency.

**Commitment to Service Equalis Group Members (10 Points)**

Marketing plan, capability, and commitment

*Detail how your organization plans to market and promote this contract upon award, including how this contract will fit into your organization's current go-to-market strategy in the public sector.*

Within **the first 30 days**, Mary Beth Alexander, our Sustainable Infrastructure Cooperative Contract Manager, will launch this contract to the entire Sustainable Infrastructure Team and explain why this Cooperative Contract is the one to utilize moving forward.

A new process has been instituted within the JCI Sustainable Infrastructure team that requires all public sector performance contracting opportunities that would normally utilize an RFP to consider the usage of a cooperative vehicle prior to going to market in any other way.

This RFQ has captured the interest of the most senior leaders within the JCI Sustainable Infrastructure team. We have significant growth goals and this contract will provide a strategic lever to obtain these goals with a shortened sales cycle. We have a corporate intranet site that will serve as a single location for all information regarding the contract, execution, marketing, and sales tools. The site is visible and accessible to every employee on the Sustainable Infrastructure team.

In coordination with Paul Poblocki, our Director of Marketing and Strategy for the Sustainable Infrastructure team we will develop an internal campaign driven through our Vertical Market Directors. These Sustainable Infrastructure Vertical Market Directors are part of our current go-to-market strategy in the public sector. This campaign will require our JCI team to work closely with the Equalis Group team to maximize the exposure of this contract.

The availability of the contract will also be promoted internally and integrated into daily sales resources (CRM system, educational web-based trainings, sales communications, and a dedicated internal intranet site).

On a quarterly basis we will review the progress of the deployment and usage of this vehicle with the Senior Sustainable Infrastructure Management team.

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

In addition to our marketing plans outlined above, 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 subject matter expert.



*Detail how your organization will train your sales force and customer service representatives on this contract to ensure that they can competently and consistently present the contract to public agency customers and answer any questions they might have concerning it.*

Training our Sustainable Infrastructure Account Executives on this Energy and Conservation Performance Contracting Services agreement within **the first 60 days** is a top priority!

We will launch a series of webinars and training sessions with the support of Equalis Group/Region 10. All training will be recorded and posted on our Equalis Group Cooperative intranet site. We will work with both our Sustainable Infrastructure Vertical Market Directors as well as our Area Sales Managers and General Managers to ensure we train all Sustainable Infrastructure Account Executives. The training will focus on:

- How the Cooperative contract works
- Whom can be a member
- How to get the customer to join the Equalis Group Cooperative
- How Region 10 ESC and Equalis Group work together
- What the benefits of using this contract are to JCI and the Equalis Group member
- How and when to present this contract to the JCI customer
- How to gain the approval of the members procurement and legal departments

Partnering with Equalis Group will ensure that our teams become comfortable working together and will help the JCI Account Executive team present and incorporate this Equalis Group/Region 10 agreement into their sales cycle with their public sector members.

We will also leverage the Equalis team to assist us with targeting the states and vertical markets where this contract can be utilized successfully.

Within the first 120 days, during our JCI lunch and learn we will train the entire Sustainable Infrastructure Operations and Engineering team both on the contract specifics and the pricing requirements.

		<p>Mary Beth Alexander on the JCI Cooperative Contracts team will be responsible for training the Johnson Controls Sustainable Infrastructure team on this contract and will ensure the Account Executives can competently and consistently present the contract to public agency customers and answer any questions they might have concerning it..</p>
	<p><i>Acknowledge that your organization agrees to provide its company logo(s) to Region 10 ESC and Equalis Group and agrees to provide permission for reproduction of such logo in marketing communications and promotions</i></p>	<p>Johnson Controls agrees to provide our company logo to Region 10 and Equalis Group and agrees to provide permission for reproduced use in communications and promotions upon award of contract.</p>
<p>Ability to manage a cooperative contract</p>	<p><i>Describe the capacity of your company to report monthly sales through this agreement to Equalis Group.</i></p>	<p>We have a dedicated finance team that prepares the reports and completes the check requests to accounts payable for processing. As the Sustainable Infrastructure Team works to obtain a Project Development Agreement and ultimately a contract with a member, the Account Executive logs the opportunity in salesforce and identifies the procurement method as an Equalis Group/Region 10. When the contract is booked in the system, the Salesforce opportunity is automatically marked as "Closed Won". When finance runs and prepares the quarterly sales report for Equalis Group, all invoiced sales will be included in the data lake.</p>
	<p><i>Identify any contracts with other cooperative or government group purchasing organizations of which your company is currently a part of:</i></p>	<p>We have the following Cooperative Agreements:</p> <p>Equalis Group/Region 10 ESC, Sourcewell, NASPO, OMNIA Partners, TIPS, Region 19, and NCPA</p> <p>For each of these agreements Johnson Controls Inc., Johnson Controls Fire Protection, and Johnson Controls Security Solutions can utilize as Prime or as an approved reseller.</p>
<p>Commitment to supporting agencies to utilize the contract</p>	<p><i>If awarded a contract, how would you approach agencies in regards to this contract? Please indicate how this would work for</i></p>	<p>Johnson Controls has robust customer relationship management tools, data analytics platforms, and internal sales systems. These systems provide an abundance of information to assist with the proactive identification of opportunities. This information also provides analytics to the cooperative program to assist with training and lead programs as well as help to identify existing Equalis Group/Region 10 ESC members that we are doing business with to ensure they are aware of our new agreement.</p> <p>This will be a one-of a kind agreement within our organization that specifically focuses on Energy and Conservation Performance Contracting Services. Existing JCI Performance Contracting customers can work directly with their Account Executive on additional phases to their projects utilizing this contract without having to go to RFP or ESCO selection. New JCI Performance</p>

	<p><i>both new customers to your organization, as well as existing.</i></p>	<p>Contracting customers can utilize this agreement when they prefer JCI Solutions. After a need has been identified this agreement will allow the customer can go directly to the Project Development Agreement in lieu of the lengthy RFP process.</p> <p>We will partner with Equalis Group/Region 10 ESC members to ensure Participating Agencies and our customers are aware of the awarded contract through multiple marketing and communication campaigns.</p> <p>Johnson Controls communicates monthly to our Energy Solutions existing and potential customers through our Silver Bullet Marketing campaign. We intend to include a reference to the Equalis Group agreement in monthly communications that align to the products and services covered under this contract.</p> <p>Our Cooperatives team is dedicated to drive sales through our cooperative agreements. This team anticipates working with Equalis Group to promote the contract vehicle and ensure this contract is available to our Sustainability Infrastructure opportunities across the North America. While we expect to utilize our marketing and sales departments extensively, we hope Equalis Group can assist with launching our internal training program and occasionally answer questions and assist our Account Executive team as they are trained. We also hope Equalis Group will be able to support us with new opportunities, such as new member sign-up and answering compliance questions.</p> <p>Our Equalis Group marketing plan includes a coordinated effort between Johnson Controls and Equalis Group. We will continue to market the Equalis Group program both internally and externally via training, corporate SharePoint site, customer meetings, brochures, and tradeshow. Brochures will be dispensed in both hard copy and electronic format. Our team's Cooperative Program Manager, Mary Beth Alexander, will continue to oversee the program throughout the term of the Master Agreement and will be responsible for driving growth.</p>
<p>Other factors relevant to this section as submitted by the Respondent</p>	<p><i>Provide the number of sales representatives which will work on this contract and where the sales representatives are located.</i></p>	<p>The Sustainable Infrastructure Team is located throughout North America and consists of more than 250 sales representatives known as Account Executives within Johnson Controls. The Sustainable Infrastructure Account Executive team is backed by the entire Johnson Controls organization which includes more than 4,900 additional branch sales representatives, technicians, engineers, and operations support. The Johnson Controls dedicated North America Cooperative team works with the Sustainable Infrastructure team and Equalis Group/ Region 10 ESC members to position and validate the ability to utilize this award.</p>



### PROPOSAL FORM 3: CERTIFICATIONS AND LICENSES

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. M/WBE, HUB, DVBE, small and disadvantaged business certifications and other diverse business certifications, as well as manufacturer certifications for sales and service must be included if applicable.

Johnson Controls, Inc. is incorporated in Wisconsin and is legally qualified to do business in all states in the United States and numerous foreign countries. Johnson Controls, Inc. holds all necessary licenses and registrations to conduct its business.

With over 140 branch locations throughout North America, we cannot provide a comprehensive list of all relevant licensed personnel. We are licensed to do all covered services in all 50 states, U.S. territories, and in Canada. The following list shows some of the licenses and certifications held by our employees.

Professional Category	Number of Representatives within Johnson Controls
Licensed Professional Engineer (PE)	90
LEED Accredited Professional (LEED AP)	724
LEED-Green Associate (LEED GA)	69
Certified Auditing Professional – Hong Kong (CAP)	1
Certified Building Commissioning Professional (CBCP)	19
Certified Building Commissioning Professional International (CBCPI)	2
Certified Building Energy Simulation Analyst (BESA)	2
Certified Business Energy Professional (BEP)	7
Certified Carbon Reduction Manager (CRM)	2
Certified Demand-Side Management Professional (CDSM)	18
Certified Energy Auditor (CEA)	20
Certified Energy Auditor International (CEAI)	2
Certified Energy Auditor In Training	1
Certified Energy Auditor-Master’s Level	1
Certified Energy Manager (CEM)	160
Certified Energy Manager International (CEMI)	24
Certified Energy Procurement Professional (CEP)	3
Certified Grant Manager	1
Certified Green Building Engineer (GBE)	5
Certified Indoor Air Quality Professional (CIAQP)	2
Certified Lighting Efficiency Professional (CLEP)	5
Certified Measurement and Verification Professional (CMVP)	66
Certified Measurement and Verification Professional International (CMVPI)	5
Certified Measurement and Verification Professional In Training International (CMVPITI)	2
Certified in the use of RETScreen (CRU)	1
Certified Sustainable Development Professional (CSDP)	6
Distributed Generation Certified Professional (DGCP)	4

Professional Category	Number of Representatives within Johnson Controls
Energy Manager in Training (EMIT)	2
Energy Manager in Training International (EMITI)	1
Existing Building Commissioning Professional (EBCP)	7
Performance Contracting and Funding Professional (PCF)	3
Renewable Energy Professional (REP)	3

Furthermore, 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.

**NAESCO Accreditation**

The National Association of Energy Service Companies (NAESCO) has continuously recognized Johnson Controls as an accredited ESCO since 1997. NAESCO designated us as an Accredited Energy Service Provider (ESP) in 2003 (the first year ESP accreditation was available). We are one of only 13 companies in North America to receive this designation. Our current Certificate of Accreditation is valid through November 2023.

Our Vice President of Sales, Charles McGinnis, is named as NAESCO's Board Chairman, showing our commitment to the industry.

This third-party accreditation demonstrates that we have the technical and managerial competence to do the following:

- Develop comprehensive energy efficiency projects, including lighting measures, efficient motors and drives, and measures involving HVAC systems.
- Provide a full range of energy services, including conducting energy audits, providing, or arranging project financing, completing design engineering, selecting energy efficient equipment, providing operations and maintenance services, and verifying energy savings according to accepted industry practice.
- Implement performance-based projects.
- Supply energy through the development and implementation of build/own/operate distributed generation, cogeneration or combined heat and power projects or the firm contracting energy supply.

Equalis Group/Region 10 ESC members will benefit from our extensive involvement in NAESCO as well as a wide range of accreditations, certifications, and memberships in other professional/trade organizations. We have our finger on the pulse of the industry, and we help drive industry standards and procedures. That knowledge will be instrumental in choosing the most cost-effective Energy Conservation Measures, incorporating the latest technology, and providing some of the highest-trained professionals as part of the solution team.

Our active memberships and affiliations with many of these organizations show Johnson Controls' dedication to improving our clients' operations. Additionally, our participation with facility-based organizations, such as International Facility Management Association (IFMA) and Building Owners and Managers Association (BOMA), enables us to fully understand industry standards and also evaluate Equalis Group/Region 10 ESC members' facilities for solutions that are being implemented successfully in similar facilities.

**ISO Certification**

82% of our building technology manufacturing plants are ISO 9001-2015 certified. The remaining 18% will become ISO 9001 certified as part of our company's manufacturing governance system to attain world-class performance and drive operational excellence.



The figures presented do not include our satellite manufacturing plants because their headcounts are too low to undertake/sustain the process.

We have an Environmental Management System in place — all of our manufacturing locations are expected to adopt a management system compliant with ISO14001.

### Associations and Memberships

We minimize risk for our clients by remaining active in a wide range of associations. Our ability to successfully implement a wide variety of energy efficiency improvements in all facility settings will provide you with the assurance that your project will be successful.

- ASHRAE
- Association of Energy Engineers (AEE)
- Building Office Management Association (BOMA)
- International Facilities Management Association (IFMA)
- National Association of Minority Contractors
- National Minority Supplier Development Council
- Energy Services Coalition (ESC)
  - A national coalition representing all sectors of the building industry (architects, environmental groups, engineers, utilities, product manufacturers, universities, building owners, and Federal, State, Local Government)
  - Promote the design, construction, and operation of environmentally responsible, profitable, healthy places to live and work
  - Launched LEED in 2000, the most complete rating system for green buildings
  - Piloting LEED for Existing Buildings 2002
- American Correctional Association (ACA)
- Association of Physical Plant Administrators (APPA):
  - Johnson Controls is a long-standing active APPA member and education partner. The company's major APPA activities include: national, regional, and local conventions in 40 locations; program and event sponsorships; and providing speakers and/or facilitators for business-education forums and workshops. Johnson Controls, Inc. also sponsors engineering co-op and internship programs, and joint product research projects.
- Construction and Maintenance Institute (CMI)
- Energy Efficiency Global Forum
  - Business executives, government leaders and advocates from across sectors and continents convene for actionable dialogues on advancing energy efficiency
  - Johnson Controls is a Silver Sponsor
- National Association of Colleges and University Business Officers (NACUBO)
- National Association of Energy Service Companies (NAESCO)
- National Association of State Energy Officials (NASEO)
- National Association of State Facilities Administrators (NASFA)



**PROPOSAL FORM 3: CLEAN AIR WATER ACT**

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 O, Paragraph 14 (1) regarding reporting violations to the grantor agency and to the United States Environment Protection Agency Assistant Administrator for the Enforcement.

Potential Vendor: Johnson Controls, Inc.

Title of Authorized Representative: Maureen Blase, VP/General Manager Sustainable Infrastructure

Mailing Address: 5757 North Green Bay Avenue Milwaukee, WI 53209

Signature: 

**PROPOSAL FORM 4: DEBARMENT NOTICE**

I, the Vendor, 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.

Potential Vendor: Johnson Controls, Inc.

Title of Authorized Representative: Maureen Blase, VP/General Manager Sustainable Infrastructure

Mailing Address: 5757 North Green Bay Avenue Milwaukee, WI 53209

Signature: 

**PROPOSAL FORM 5: LOBBYING CERTIFICATION**

Submission of this certification is a prerequisite for making or entering into this transaction and is imposed by Section 1352, Title 31, U.S. Code. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Any person who fails to file the required certification shall be subject to civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The undersigned certifies, to the best of his/her knowledge and belief, that:

1. No Federal appropriated funds have been paid or will be paid on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into a cooperative agreement, and the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
2. If any funds other than Federal appropriated funds have been or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
3. The undersigned shall require that the language of this certification be included in the award documents for all covered sub-awards exceeding \$100,000 in Federal funds at all appropriate tiers and that all sub-recipients shall certify and disclose accordingly.



Signature of Respondent

November 10, 2022

Date

**PROPOSAL FORM 6: CONTRACTOR CERTIFICATION REQUIREMENTS**

**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 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 Respondent 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 Region 10 ESC Participating entities in which work is being performed.

Johnson Controls, Inc. will comply with these governing board policies.

**Fingerprint & Criminal 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 Respondent 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.



Signature of Respondent

November 10, 2022

Date



## ADDITIONAL FORM 6: CERTIFICATIONS AND LICENSES

Johnson Controls, Inc. is incorporated in Wisconsin and is legally qualified to do business in all states in the United States and numerous foreign countries. Johnson Controls, Inc. holds all necessary licenses and registrations to conduct its business.

With over 140 branch locations throughout North America, we cannot provide a comprehensive list of all relevant licensed personnel. We are licensed to do all covered services in all 50 states, U.S. territories, and in Canada. The following list shows some of the licenses and certifications held by our employees.

Professional Category	Number of Representatives within Johnson Controls
Licensed Professional Engineer (PE)	90
LEED Accredited Professional (LEED AP)	724
LEED-Green Associate (LEED GA)	69
Certified Auditing Professional – Hong Kong (CAP)	1
Certified Building Commissioning Professional (CBCP)	19
Certified Building Commissioning Professional International (CBCPI)	2
Certified Building Energy Simulation Analyst (BESA)	2
Certified Business Energy Professional (BEP)	7
Certified Carbon Reduction Manager (CRM)	2
Certified Demand-Side Management Professional (CDSM)	18
Certified Energy Auditor (CEA)	20
Certified Energy Auditor International (CEAI)	2
Certified Energy Auditor In Training	1
Certified Energy Auditor-Master's Level	1
Certified Energy Manager (CEM)	160
Certified Energy Manager International (CEMI)	24
Certified Energy Procurement Professional (CEP)	3
Certified Grant Manager	1
Certified Green Building Engineer (GBE)	5
Certified Indoor Air Quality Professional (CIAQP)	2
Certified Lighting Efficiency Professional (CLEP)	5
Certified Measurement and Verification Professional (CMVP)	66
Certified Measurement and Verification Professional International (CMVPI)	5
Certified Measurement and Verification Professional In Training International (CMVPITI)	2
Certified in the use of RETScreen (CRU)	1
Certified Sustainable Development Professional (CSDP)	6
Distributed Generation Certified Professional (DGCP)	4
Energy Manager in Training (EMIT)	2
Energy Manager in Training International (EMITI)	1
Existing Building Commissioning Professional (EBCP)	7
Performance Contracting and Funding Professional (PCF)	3
Renewable Energy Professional (REP)	3

Furthermore, 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.

## NAESCO Accreditation

The National Association of Energy Service Companies (NAESCO) has continuously recognized Johnson Controls as an accredited ESCO since 1997. NAESCO designated us as an Accredited Energy Service Provider (ESP) in 2003 (the first year ESP accreditation was available). We are one of only 13 companies in North America to receive this designation. Our current Certificate of Accreditation is valid through November 2023.

Our Vice President of Sales, Charles McGinnis, is named as NAESCO's Board Chairman, showing our commitment to the industry.

This third-party accreditation demonstrates that we have the technical and managerial competence to do the following:

- Develop comprehensive energy efficiency projects, including lighting measures, efficient motors and drives, and measures involving HVAC systems.
- Provide a full range of energy services, including conducting energy audits, providing, or arranging project financing, completing design engineering, selecting energy efficient equipment, providing operations and maintenance services, and verifying energy savings according to accepted industry practice.
- Implement performance-based projects.
- Supply energy through the development and implementation of build/own/operate distributed generation, cogeneration or combined heat and power projects or the firm contracting energy supply.

Equalis Group/Region 10 ESC members will benefit from our extensive involvement in NAESCO as well as a wide range of accreditations, certifications, and memberships in other professional/trade organizations. We have our finger on the pulse of the industry, and we help drive industry standards and procedures. That knowledge will be instrumental in choosing the most cost-effective Energy Conservation Measures, incorporating the latest technology, and providing some of the highest-trained professionals as part of the solution team.



Our active memberships and affiliations with many of these organizations show Johnson Controls' dedication to improving our clients' operations. Additionally, our participation with facility-based organizations, such as International Facility Management Association (IFMA) and Building Owners and Managers Association (BOMA), enables us to fully understand industry standards and also evaluate Equalis Group/Region 10 ESC members' facilities for solutions that are being implemented successfully in similar facilities.

## ISO Certification

82% of our building technology manufacturing plants are ISO 9001-2015 certified. The remaining 18% will become ISO 9001 certified as part of our company's manufacturing governance system to attain world-class performance and drive operational excellence.

The figures presented do not include our satellite manufacturing plants because their headcounts are too low to undertake/sustain the process.

We have an Environmental Management System in place — all of our manufacturing locations are expected to adopt a management system compliant with ISO14001.

## Associations and Memberships

We minimize risk for our clients by remaining active in a wide range of associations. Our ability to successfully implement a wide variety of energy efficiency improvements in all facility settings will provide you with the assurance that your project will be successful.

- ASHRAE
- Association of Energy Engineers (AEE)
- Building Office Management Association (BOMA)
- International Facilities Management Association (IFMA)
- National Association of Minority Contractors
- National Minority Supplier Development Council
- Energy Services Coalition (ESC)
  - A national coalition representing all sectors of the building industry (architects, environmental groups, engineers, utilities, product manufacturers, universities, building owners, and Federal, State, Local Government)
  - Promote the design, construction, and operation of environmentally responsible, profitable, healthy places to live and work
  - Launched LEED in 2000, the most complete rating system for green buildings
  - Piloting LEED for Existing Buildings 2002
- American Correctional Association (ACA)
- Association of Physical Plant Administrators (APPA):
  - Johnson Controls is a long-standing active APPA member and education partner. The company's major APPA activities include: national, regional, and local conventions in 40 locations; program and event sponsorships; and providing speakers and/or facilitators for business-education forums and workshops. Johnson Controls, Inc. also sponsors engineering co-op and internship programs, and joint product research projects.
- Construction and Maintenance Institute (CMI)
- Energy Efficiency Global Forum
  - Business executives, government leaders and advocates from across sectors and continents convene for actionable dialogues on advancing energy efficiency
  - Johnson Controls is a Silver Sponsor
- National Association of Colleges and University Business Officers (NACUBO)
- National Association of Energy Service Companies (NAESCO)
- National Association of State Energy Officials (NASEO)
- National Association of State Facilities Administrators (NASFA)



**PROPOSAL FORM 7: 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 proposal, 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 proposal, 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 proposal 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.

**VENDOR** Johnson Controls, Inc.

**ADDRESS** 5757 North Green Bay Avenue  
Milwaukee, WI 53209

**PHONE** (262) 226-9808

**FAX** NA

**RESPONDANT**

Mary Beth Alexander

Signature

Mary Beth Alexander

Printed Name

Sr. Business Development  
Manager, State Cooperative  
Contracts

Position with Company

**AUTHORIZING OFFICIAL**

Maureen Blase

Signature

Maureen Blase

Printed Name

VP/General Manager Sustainable  
Infrastructure

Position with Company

## PROPOSAL FORM 8: IMPLEMENTATION OF HOUSE BILL 1295

### **Certificate of Interested Parties (Form 1295):**

In 2015, the Texas Legislature adopted House Bill 1295, which added section 2252.908 of the Government Code. The law states that a governmental entity or state agency may not enter into certain contracts with a business entity unless the business entity submits a disclosure of interested parties to the governmental entity or state agency at the time the business entity submits the signed contract to the governmental entity or state agency. The law applies only to a contract of a governmental entity or state agency that either (1) requires an action or vote by the governing body of the entity or agency before the contract may be signed or (2) has a value of at least \$1 million. The disclosure requirement applies to a contract entered into on or after January 1, 2016.

The Texas Ethics Commission was required to adopt rules necessary to implement that law, prescribe the disclosure of interested parties form, and post a copy of the form on the commission's website. The commission adopted the Certificate of Interested Parties form (Form 1295) on October 5, 2015. The commission also adopted new rules (Chapter 46) on November 30, 2015, to implement the law. The commission does not have any additional authority to enforce or interpret House Bill 1295.

### **Filing Process:**

Starting on January 1, 2016, the commission will make available on its website a new filing application that must be used to file Form 1295. A business entity must use the application to enter the required information on Form 1295 and print a copy of the completed form, which will include a certification of filing that will contain a unique certification number. An authorized agent of the business entity must sign the printed copy of the form and have the form notarized. The completed Form 1295 with the certification of filing must be filed with the governmental body or state agency with which the business entity is entering into the contract.

The governmental entity or state agency must notify the commission, using the commission's filing application, of the receipt of the filed Form 1295 with the certification of filing not later than the 30th day after the date the contract binds all parties to the contract. The commission will post the completed Form 1295 to its website within seven business days after receiving notice from the governmental entity or state agency.

Information regarding how to use the filing application will be available on this site starting on January 1, 2016. [https://www.ethics.state.tx.us/whatsnew/elf\\_info\\_form1295.htm](https://www.ethics.state.tx.us/whatsnew/elf_info_form1295.htm)

# CERTIFICATE OF INTERESTED PARTIES

FORM 1295

1 of 1

Complete Nos. 1 - 4 and 6 if there are interested parties.  
Complete Nos. 1, 2, 3, 5, and 6 if there are no interested parties.

**OFFICE USE ONLY  
CERTIFICATION OF FILING**

Certificate Number:  
2022-952744

Date Filed:  
11/07/2022

Date Acknowledged:

**1 Name of business entity filing form, and the city, state and country of the business entity's place of business.**  
Johnson Controls, Inc.  
Milwaukee, WI United States

**2 Name of governmental entity or state agency that is a party to the contract for which the form is being filed.**  
Region 10 ESC

**3 Provide the identification number used by the governmental entity or state agency to track or identify the contract, and provide a description of the services, goods, or other property to be provided under the contract.**  
R10-1143  
ENERGY AND CONSERVATION PERFORMANCE CONTRACTING SERVICES

4	Name of Interested Party	City, State, Country (place of business)	Nature of interest (check applicable)	
			Controlling	Intermediary
	Region 10 ESC	Richardson, TX United States		X

**5 Check only if there is NO Interested Party.**

**6 UNSWORN DECLARATION**

My name is \_\_\_\_\_, and my date of birth is \_\_\_\_\_.

My address is \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_.  
(street) (city) (state) (zip code) (country)

I declare under penalty of perjury that the foregoing is true and correct.

Executed in \_\_\_\_\_ County, State of \_\_\_\_\_, on the \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_.  
(month) (year)

\_\_\_\_\_  
Signature of authorized agent of contracting business entity  
(Declarant)

**PROPOSAL FORM 9: BOYCOTT CERTIFICATION AND TERRORIST STATE CERTIFICATION**

**BOYCOTT CERTIFICATION**

Respondents must certify that during the term of any Agreement, it does not boycott Israel and will not boycott Israel. "Boycott" means refusing to deal with, terminating business activities with, or otherwise taking any action that is intended to penalize, inflict economic harm on, or limit commercial relations specifically with Israel, or with a person or entity doing business in Israel or in an Israeli-controlled territory, but does not include an action made for ordinary business purposes.

Does vendor agree? MB  
(Initials of Authorized Representative)

**TERRORIST STATE CERTIFICATION**

In accordance with Texas Government Code, Chapter 2252, Subchapter F, REGION 10 ESC is prohibited from entering into a contract with a company that is identified on a list prepared and maintained by the Texas Comptroller or the State Pension Review Board under Texas Government Code Sections 806.051, 807.051, or 2252.153. By execution of any agreement, the respondent certifies to REGION 10 ESC that it is not a listed company under any of those Texas Government Code provisions. Responders must voluntarily and knowingly acknowledge and agree that any agreement shall be null and void should facts arise leading the REGION 10 ESC to believe that the respondent was a listed company at the time of this procurement.

Does vendor agree? MB  
(Initials of Authorized Representative)



**PROPOSAL FORM 10: RESIDENT CERTIFICATION**

This Certification Section must be completed and submitted before a proposal can be awarded to your company. This information may be placed in an envelope labeled "Proprietary" and is not subject to public view. In order for a proposal to be considered, the following information must be provided. Failure to complete may result in rejection of the proposal:

As defined by Texas House Bill 602, a "nonresident Bidder" means a Bidder whose principal place of business is not in Texas, but excludes a contractor whose ultimate parent company or majority owner has its principal place of business in Texas.

Texas or Non-Texas Resident

- I certify that my company is a "**resident Bidder**"
- I certify that my company qualifies as a "**nonresident Bidder**"

If you qualify as a "nonresident Bidder," you must furnish the following information:

What is your resident state? (The state your principal place of business is located.)

Wisconsin

Johnson Controls, Inc. 5757 North Green Bay Avenue  
Company Name                      Address

Milwaukee, WI 53209  
City, State, Zip

## PROPOSAL FORM 1 1: FEDERAL FUNDS CERIFICATION FORM

When a participating agency seeks to procure goods and services using funds under a federal grant or contract, specific federal laws, regulations, and requirements may apply in addition to those under state law. This includes, but is not limited to, the procurement standards of the Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards, 2 CFR 200 (sometimes referred to as the “Uniform Guidance” or “EDGAR” requirements). All Vendors submitting proposals must complete this Federal Funds Certification Form regarding Vendor’s willingness and ability to comply with certain requirements which may be applicable to specific participating agency purchases using federal grant funds. This completed form will be made available to participating agencies for their use while considering their purchasing options when using federal grant funds. Participating agencies may also require Vendors to enter into ancillary agreements, in addition to the contract’s general terms and conditions, to address the member’s specific contractual needs, including contract requirements for a procurement using federal grants or contracts.

**For each of the items below, Vendor should certify Vendor’s agreement and ability to comply, where applicable, by having Vendor’s authorized representative complete and initial the applicable lines after each section and sign the acknowledgment at the end of this form.** If a vendor fails to complete any item in this form, Region 10 ESC will consider the Vendor’s response to be that they are unable or unwilling to comply. A negative response to any of the items may, if applicable, impact the ability of a participating agency to purchase from the Vendor using federal funds.

### 1. Vendor Violation or Breach of Contract Terms:

Contracts for more than the simplified acquisition threshold currently set at \$150,000, which is the inflation adjusted amount determined by the Civilian Agency Acquisition Council and the Defense Acquisition Regulations Council (Councils) as authorized by 41 USC 1908, must address administrative, contractual, or legal remedies in instances where contractors violate or breach contract terms, and provide for such sanctions and penalties as appropriate.

Any Contract award will be subject to Region 10 ESC General Terms and Conditions, as well as any additional terms and conditions in any Purchase Order, participating agency ancillary contract, or Member Construction Contract agreed upon by Vendor and the participating agency which must be consistent with and protect the participating agency at least to the same extent as the Region 10 ESC Terms and Conditions.

The remedies under the Contract are in addition to any other remedies that may be available under law or in equity. By submitting a Proposal, you agree to these Vendor violation and breach of contract terms.

Does vendor agree? MB

(Initials of Authorized Representative)

### 2. Termination for Cause or Convenience:

When a participating agency expends federal funds, the participating agency reserves the right to immediately terminate any agreement in excess of \$10,000 resulting from this procurement process in the event of a breach or default of the agreement by Offeror in the event Offeror fails to: (1) meet schedules, deadlines, and/or delivery dates within the time specified in the procurement solicitation, contract, and/or a purchase order; (2) make any payments owed; or (3) otherwise perform in accordance with the contract and/or the procurement solicitation. participating agency also reserves the right to terminate the contract immediately, with written notice to offeror, for convenience, if participating agency believes, in its sole discretion that it is in the best interest of participating agency to do so. Offeror will be compensated for work performed and accepted and goods accepted by participating agency as of the termination date if the contract is terminated for convenience

of participating agency. Any award under this procurement process is not exclusive and participating agency reserves the right to purchase goods and services from other offerors when it is in participating agency's best interest.

Does vendor agree? MB

(Initials of Authorized Representative)

### **3. Equal Employment Opportunity:**

Except as otherwise provided under 41 CFR Part 60, all participating agency purchases or contracts that meet the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 shall be deemed to include the equal opportunity clause provided under 41 CFR 60-1.4(b), in accordance with Executive Order 11246, "Equal Employment Opportunity" (30 FR 12319, 12935, 3 CFR Part, 1964-1965 Comp., p. 339), as amended by Executive Order 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," and implementing regulations at 41 CFR Part 60, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor."

The equal opportunity clause provided under 41 CFR 60-1.4(b) is hereby incorporated by reference. Vendor agrees that such provision applies to any participating agency purchase or contract that meets the definition of "federally assisted construction contract" in 41 CFR Part 60-1.3 and Vendor agrees that it shall comply with such provision.

Does vendor agree? MB

(Initials of Authorized Representative)

### **4. Davis-Bacon Act:**

When required by Federal program legislation, Vendor agrees that, for all participating agency prime construction contracts/purchases in excess of \$2,000, Vendor shall comply with the Davis-Bacon Act (40 USC 3141-3144, and 3146-3148) as supplemented by Department of Labor regulations (29 CFR Part 5, "Labor Standards Provisions Applicable to Contracts Covering Federally Financed and Assisted Construction"). In accordance with the statute, Vendor is required to pay wages to laborers and mechanics at a rate not less than the prevailing wages specified in a wage determination made by the Secretary of Labor. In addition, Vendor shall pay wages not less than once a week.

Current prevailing wage determinations issued by the Department of Labor are available at [www.wdol.gov](http://www.wdol.gov). Vendor agrees that, for any purchase to which this requirement applies, the award of the purchase to the Vendor is conditioned upon Vendor's acceptance of the wage determination.

Vendor further agrees that it shall also comply with the Copeland "Anti-Kickback" Act (40 USC 3145), as supplemented by Department of Labor regulations (29 CFR Part 3, "Contractors and Subcontractors on Public Building or Public Work Financed in Whole or in Part by Loans or Grants from the United States"). The Act provides that each contractor or subrecipient must be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he or she is otherwise entitled.

Does vendor agree? MB

(Initials of Authorized Representative)

**5. Contract Work Hours and Safety Standards Act:**

Where applicable, for all participating agency contracts or purchases in excess of \$100,000 that involve the employment of mechanics or laborers, Vendor agrees to comply with 40 USC 3702 and 3704, as supplemented by Department of Labor regulations (29 CFR Part 5). Under 40 USC 3702 of the Act, Vendor is required to compute the wages of every mechanic and laborer on the basis of a standard work week of 40 hours. Work in excess of the standard work week is permissible provided that the worker is compensated at a rate of not less than one and a half times the basic rate of pay for all hours worked in excess of 40 hours in the work week. The requirements of 40 USC 3704 are applicable to construction work and provide that no laborer or mechanic must be required to work in surroundings or under working conditions which are unsanitary, hazardous or dangerous. These requirements do not apply to the purchases of supplies or materials or articles ordinarily available on the open market, or contracts for transportation or transmission of intelligence.

Does vendor agree? MB

(Initials of Authorized Representative)

**6. Right to Inventions Made Under a Contract or Agreement:**

If the participating agency’s Federal award meets the definition of “funding agreement” under 37 CFR 401.2(a) and the recipient or subrecipient wishes to enter into a contract with a small business firm or nonprofit organization regarding the substitution of parties, assignment or performance or experimental, developmental, or research work under that “funding agreement,” the recipient or subrecipient must comply with the requirements of 37 CFR Part 401, “Rights to Inventions Made by Nonprofit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements,” and any implementing regulations issued by the awarding agency.

Vendor agrees to comply with the above requirements when applicable.

Does vendor agree? MB

(Initials of Authorized Representative)

**7. Clean Air Act and Federal Water Pollution Control Act:**

Clean Air Act (42 USC 7401-7671q.) and the Federal Water Pollution Control Act (33 USC 1251-1387), as amended –Contracts and subgrants of amounts in excess of \$150,000 must contain a provision that requires the non-Federal award to agree to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act (42 USC 7401-7671q.) and the Federal Water Pollution Control Act, as amended (33 USC 1251-1387). Violations must be reported to the Federal awarding agency and the Regional Office of the Environmental Protection Agency (EPA).

When required, Vendor agrees to comply with all applicable standards, orders, or regulations issued pursuant to the Clean Air Act and the Federal Water Pollution Control Act.

Does vendor agree? MB

(Initials of Authorized Representative)

**8. Debarment and Suspension:**

Debarment and Suspension (Executive Orders 12549 and 12689) – A contract award (see 2 CFR 180.220) must not be made to parties listed on the government-wide exclusions in the System for Award Management (SAM), in accordance with the OMB guidelines at 2 CFR 180 that implement Executive Orders 12549 (3 CFR Part 1966 Comp. p. 189) and 12689 (3CFR Part 1989 Comp. p. 235), “Debarment and Suspension.” SAM Exclusions contains the names of parties debarred, suspended, or otherwise excluded by agencies, as well as parties declared ineligible under statutory or regulatory authority other than Executive Order 12549.

Vendor certifies that Vendor is not currently listed on the government-wide exclusions in SAM, is not debarred, suspended, or otherwise excluded by agencies or declared ineligible under statutory or regulatory authority other than Executive Order 12549. Vendor further agrees to immediately notify the Cooperative and all participating agencies with pending purchases or seeking to purchase from Vendor if Vendor is later listed on the government-wide exclusions in SAM, or is debarred, suspended, or otherwise excluded by agencies or declared ineligible under statutory or regulatory authority other than Executive Order 12549.

Does vendor agree? MB

(Initials of Authorized Representative)

#### **9. Byrd Anti-Lobbying Amendment:**

Byrd Anti-Lobbying Amendment (31 USC 1352) -- Vendors that apply or bid for an award exceeding \$100,000 must file the required certification. Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal contract, grant or any other award covered by 31 USC 1352. Each tier must also disclose any lobbying with non-Federal funds that takes place in connection with obtaining any Federal award. Such disclosures are forwarded from tier to tier up to the non-Federal award. As applicable, Vendor agrees to file all certifications and disclosures required by, and otherwise comply with, the Byrd Anti-Lobbying Amendment (31 USC 1352).

Does vendor agree? MB

(Initials of Authorized Representative)

#### **10. Procurement of Recovered Materials:**

For participating agency purchases utilizing Federal funds, Vendor agrees to comply with Section 6002 of the Solid Waste Disposal Act, as amended by the Resource Conservation and Recovery Act where applicable and provide such information and certifications as a participating agency may require to confirm estimates and otherwise comply. The requirements of Section 6002 include procuring only items designated in guidelines of the Environmental Protection Agency (EPA) at 40 CFR Part 247 that contain the highest percentage of recovered materials practicable, consistent with maintaining a satisfactory level of competition, where the purchase price of the item exceeds \$10,000 or the value of the quantity acquired during the preceding fiscal year exceeded \$10,000; procuring solid waste management services in a manner that maximizes energy and resource recovery, and establishing an affirmative procurement program for procurement of recovered materials identified in the EPA guidelines.

Does vendor agree? MB

(Initials of Authorized Representative)

**11. Profit as a Separate Element of Price:**

For purchases using federal funds in excess of \$150,000, a participating agency may be required to negotiate profit as a separate element of the price. See, 2 CFR 200.323(b). When required by a participating agency, Vendor agrees to provide information and negotiate with the participating agency regarding profit as a separate element of the price for a particular purchase. However, Vendor agrees that the total price, including profit, charged by Vendor to the participating agency shall not exceed the awarded pricing, including any applicable discount, under Vendor’s Cooperative Contract.

Does vendor agree? MB

(Initials of Authorized Representative)

**12. Prohibition on Certain Telecommunications and Video Surveillance Services or Equipment**

Vendor agrees that recipients and subrecipients are prohibited from obligating or expending loan or grant funds to procure or obtain, extend or renew a contract to procure or obtain, or enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services as a substantial or essential component of any system, or as critical technology as part of any system from companies described in Public Law 115-232, section 889. Telecommunications or video surveillance equipment or services produced or provided by an entity that the Secretary of Defense, in consultation with the Director of the National Intelligence or the Director of the Federal Bureau of Investigation, reasonably believes to be an entity owned or controlled by, or otherwise connected to, the government of a covered foreign country are also prohibited.

Does vendor agree? MB

(Initials of Authorized Representative)

**13. General Compliance and Cooperation with Participating Agencies:**

In addition to the foregoing specific requirements, Vendor agrees, in accepting any Purchase Order from a participating agency, it shall make a good faith effort to work with participating agencies to provide such information and to satisfy such requirements as may apply to a particular participating agency purchase or purchases including, but not limited to, applicable recordkeeping and record retention requirements.

Does vendor agree? MB

(Initials of Authorized Representative)

**14. Applicability to Subcontractors**

Offeror agrees that all contracts it awards pursuant to the Contract shall be bound by the foregoing terms and conditions.

Does vendor agree? MB

(Initials of Authorized Representative)

By signature below, I certify that the information in this form is true, complete, and accurate and that I am authorized by my company to make this certification and all consents and agreements contained herein.

Johnson Controls, Inc.

Company Name

  
\_\_\_\_\_

Signature of Authorized Company Official

Maureen Blase

Printed Name

VP/General Manager Sustainable Infrastructure

Title

November 10, 2022

Date



## PROPOSAL FORM 1 2: ADDITIONAL ARIZONA CONTRACTOR REQUIREMENTS

**AZ Compliance with Federal and state requirements:** Contractor agrees when working on any federally assisted projects with more than \$2,000.00 in labor costs, to comply with all federal and state requirements, as well as Equal Opportunity Employment requirements and all other federal and state laws, statutes, etc. Contractor agrees to post wage rates at the work site and submit a copy of their payroll to the member for their files. Contractor must retain records for three years to allow the federal grantor agency access to these records, upon demand. Contractor also agrees to comply with the Arizona Executive Order 75-5, as amended by Executive Order 99-4.

When working on contracts funded with Federal Grant monies, contractor additionally agrees to comply with the administrative requirements for grants, and cooperative agreements to state, local and federally recognized Indian Tribal Governments.

**AZ Compliance with workforce requirements:** Pursuant to ARS 41-4401, Contractor and subcontractor(s) warrant their compliance with all federal and state immigration laws and regulations that relate to their employees, and compliance with ARS 23-214 subsection A, which states, ..."every employer, after hiring an employee, shall verify the employment eligibility of the employee through the E-Verify program" Region 10 ESC reserves the right to cancel or suspend the use of any contract for violations of immigration laws and regulations. Region 10 ESC and its members reserve the right to inspect the papers of any contractor or subcontract employee who works under this contract to ensure compliance with the warranty above.

**AZ Contractor Employee Work Eligibility:** By entering into this contract, contractor agrees and 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. Region 10 ESC and/or Region 10 ESC members may request verification of compliance from any contractor or sub contractor performing work under this contract. Region 10 ESC and Region 10 ESC members reserve the right to confirm compliance. In the event that Region 10 ESC or Region 10 ESC members suspect or find that any contractor or subcontractor is not in compliance, Region 10 ESC may pursue any and all remedies allowed by law, including but not limited to suspension of work, termination of contract, suspension and/or debarment of the contractor. All cost associated with any legal action will be the responsibility of the contractor.

**AZ Non-Compliance:** All federally assisted contracts to members that exceed \$10,000.00 may be terminated by the federal grantee for noncompliance by contractor. In projects that are not federally funded, Respondent must agree to meet any federal, state or local requirements as necessary. In addition, if compliance with the federal regulations increases the contract costs beyond the agreed on costs in this solicitation, the additional costs may only apply to the portion of the work paid by the federal grantee.

**Registered Sex Offender Restrictions (Arizona):** For work to be performed at an Arizona school, contractor agrees that no employee or employee of a subcontractor who has been adjudicated to be a registered sex offender will perform work at any time when students are present, or reasonably expected to be present. Contractor agrees that a violation of this condition shall be considered a material breach and may result in the cancellation of the purchase order at the Region 10 ESC member's discretion. Contractor must identify any additional costs associated with compliance to this term. If no costs are specified, compliance with this term will be provided at no additional charge.

**Offshore Performance of Work Prohibited:** Due to security and identity protection concerns, direct services under this contract shall be performed within the borders of the United States.

**Terrorism Country Divestments:** In accordance with A.R.S. 35-392, Region 10 ESC and Region 10 ESC members are prohibited from purchasing from a company that is in violation of the Export Administration Act. By entering into the contract, contractor warrants compliance with the Export Administration Act.

The undersigned hereby accepts and agrees to comply with all statutory compliance and notice requirements listed in this document.



---

Signature of Respondent

November 10, 2022

Date

**PROPOSAL FORM 1 3: 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 Respondent 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 Ave  
**City, State, Zip Code:** Milwaukee, WI 53209

**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 Maureen Blase, 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.)**

**Name** Dodge & Cox **Address** 555 California St., 40<sup>th</sup> Fl., San Francisco, CA 94104 **Interest** 12.44%

Johnson Controls, Inc. is an indirect, wholly owned subsidiary and the North American operating entity of Johnson Controls International plc, and its ownership does not change.

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

 VP/General Manager Sustainable Infrastructure November 10, 2022  
**Authorized Signature and Title** **Date**

**PROPOSAL FORM 14: NON-COLLUSION AFFIDAVIT**

**Company Name:** Johnson Controls, Inc.  
**Street:** 5757 N Green Bay Ave  
**City, State, Zip Code:** Milwaukee, WI 53209

State of New Jersey

County of Milwaukee

I, Maureen Blase of the City of Milwaukee

Name

City

in the County of Milwaukee, State of Wisconsin of full age, being duly sworn according to law on my oath depose and say that:

I am the VP/General Manager Sustainable Infrastructure of the firm of Johnson Controls, Inc.

Title

Company Name

the Respondent making the Proposal for the goods, services or public work specified under the Harrison Township Board of Education attached proposal, and that I executed the said proposal with full authority to do so; that said Respondent has not directly or indirectly entered into any agreement, participated in any collusion, or otherwise taken any action in restraint of free, competitive bidding in connection with the above proposal, and that all statements contained in said bid proposal and in this affidavit are true and correct, and made with full knowledge that the Harrison Township Board of Education relies upon the truth of the statements contained in said bid proposal and in the statements contained in this affidavit in awarding the contract for the said goods, services or public work.

I further warrant that no person or selling agency has been employed or retained to solicit or secure such contract upon an agreement or understanding for a commission, percentage, brokerage or contingent fee, except bona fide employees or bona fide established commercial or selling agencies maintained by

Johnson Controls, Inc.



VP/General Manager Sustainable

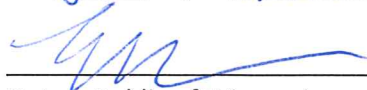
Infrastructure

Company Name

Authorized Signature & Title

Subscribed and sworn before me

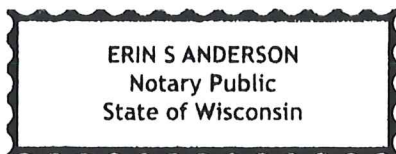
this 8<sup>th</sup> day of November, 20 22



Notary Public of Wisconsin

My commission expires Dec. 8, 20 22

SEAL



**PROPOSAL FORM 1 5: AFFIRMATIVE ACTION AFFIDAVIT (P.L. 1975, C.127)**

**Company Name:** Johnson Controls, Inc.

**Street:** 5757 N Green Bay Ave

**City, State, Zip Code:** Milwaukee, WI 53209

**Bid Proposal Certification:**

Indicate below your compliance with New Jersey Affirmative Action regulations. Your proposal will be accepted even if you are not in compliance at this time. No contract and/or purchase order may be issued, however, until all Affirmative Action requirements are met.

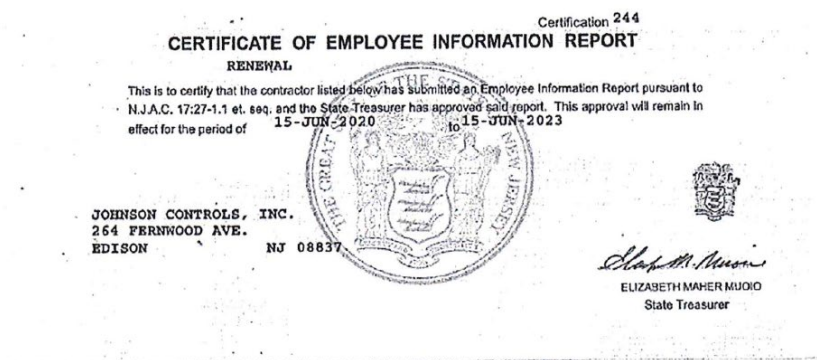
**Required Affirmative Action Evidence:**

Procurement, Professional & Service Contracts (Exhibit A)

Vendors must submit with proposal:

- 1. A photo copy of their Federal Letter of Affirmative Action Plan Approval \_\_\_\_\_  
OR
- 2. A photo copy of their Certificate of Employee Information Report **X** (please see below)  
OR
- 3. A complete Affirmative Action Employee Information Report (AA302) \_\_\_\_\_

**Certificate of Employee Information Report**



**Public Work – Over \$50,000 Total Project Cost:**

- A. No approved Federal or New Jersey Affirmative Action Plan. We will complete Report Form AA201-A upon receipt from the Harrison Township Board of Education X
- B. Approved Federal or New Jersey Plan – certificate enclosed \_\_\_\_\_

*James Blase*  
 VP/General Manager Sustainable Infrastructure  
**Authorized Signature and Title**

November 10, 2022  
**Date**

**P.L. 1995, c. 127 (N.J.A.C. 17:27)**  
**MANDATORY AFFIRMATIVE ACTION LANGUAGE**

**PROCUREMENT, PROFESSIONAL AND SERVICE CONTRACTS**

During the performance of this contract, the contractor agrees as follows:

The contractor or subcontractor, where applicable, will not discriminate against any employee or applicant for employment because of age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. The contractor will take affirmative action to ensure that such applicants are recruited and employed, and that employees are treated during employment, without regard to their age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided by the Public Agency Compliance Officer setting forth provisions of this non-discrimination clause.

The contractor or subcontractor, where applicable will, in all solicitations or advertisement for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to age, race, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation.

The contractor or subcontractor, where applicable, will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice, to be provided by the agency contracting officer advising the labor union or workers' representative of the contractor's commitments under this act and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

The contractor or subcontractor, where applicable, agrees to comply with any regulations promulgated by the Treasurer pursuant to P.L. 1975, c. 127, as amended and supplemented from time to time and the Americans with Disabilities Act.

The contractor or subcontractor agrees to attempt in good faith to employ minority and female workers trade consistent with the applicable county employment goal prescribed by N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time or in accordance with a binding determination of the applicable county employment goals determined by the Affirmative Action Office pursuant to N.J.A.C. 17:27-5.2 promulgated by the Treasurer pursuant to P.L. 1975, C.127, as amended and supplemented from time to time.

The contractor or subcontractor agrees to inform in writing appropriate recruitment agencies in the area, including employment agencies, placement bureaus, colleges, universities, labor unions, that it does not discriminate on the basis of age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and that it will discontinue the use of any recruitment agency which engages in direct or indirect discriminatory practices.

The contractor or subcontractor agrees to revise any of its testing procedures, if necessary, to assure that all personnel testing conforms with the principles of job-related testing, as established by the statutes and court

decisions of the state of New Jersey and as established by applicable Federal law and applicable Federal court decisions.

The contractor or subcontractor agrees to review all procedures relating to transfer, upgrading, downgrading and lay-off to ensure that all such actions are taken without regard to age, creed, color, national origin, ancestry, marital status, sex, affectional or sexual orientation, and conform with the applicable employment goals, consistent with the statutes and court decisions of the State of New Jersey, and applicable Federal law and applicable Federal court decisions.

The contractor and its subcontractors shall furnish such reports or other documents to the Affirmative Action Office as may be requested by the office from time to time in order to carry out the purposes of these regulations, and public agencies shall furnish such information as may be requested by the Affirmative Action Office for conducting a compliance investigation pursuant to Subchapter 10 of the Administrative Code (NJAC 17:27).

---

Signature of Procurement Agent



## PROPOSAL FORM 16: C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM

### Public Agency Instructions

This page provides guidance to public agencies entering into contracts with business entities that are required to file Political Contribution Disclosure forms with the agency. **It is not intended to be provided to contractors.**

What follows are instructions on the use of form local units can provide to contractors that are required to disclose political contributions pursuant to N.J.S.A. 19:44A-20.26 (P.L. 2005, c. 271, s.2). Additional information is available in Local Finance Notice 2006-1 ([https://www.nj.gov/dca/divisions/dlgs/resources/lfns\\_2006.html](https://www.nj.gov/dca/divisions/dlgs/resources/lfns_2006.html)).

1. The disclosure is required for all contracts in excess of \$17,500 that are **not awarded** pursuant to a “fair and open” process (N.J.S.A. 19:44A-20.7).
2. Due to the potential length of some contractor submissions, the public agency should consider allowing data to be submitted in electronic form (i.e., spreadsheet, pdf file, etc.). Submissions must be kept with the contract documents or in an appropriate computer file and be available for public access. **The form is worded to accept this alternate submission.** The text should be amended if electronic submission will not be allowed.
3. The submission must be **received from the contractor and** on file at least 10 days prior to award of the contract. Resolutions of award should reflect that the disclosure has been received and is on file.
4. The contractor must disclose contributions made to candidate and party committees covering a wide range of public agencies, including all public agencies that have elected officials in the county of the public agency, state legislative positions, and various state entities. The Division of Local Government Services recommends that contractors be provided a list of the affected agencies. This will assist contractors in determining the campaign and political committees of the officials and candidates affected by the disclosure.
  - a) The Division has prepared model disclosure forms for each county. They can be downloaded from the “County PCD Forms” link on the Pay-to-Play web site at [https://www.state.nj.us/dca/divisions/dlgs/programs/pay\\_2\\_play.html](https://www.state.nj.us/dca/divisions/dlgs/programs/pay_2_play.html) They will be updated from time-to-time as necessary.
  - b) A public agency using these forms **should edit them to properly reflect the correct legislative district(s)**. As the forms are county-based, **they list all legislative districts** in each county. **Districts that do not represent the public agency should be removed from the lists.**
  - c) Some contractors may find it easier to provide a single list that covers all contributions, regardless of the county. These submissions are appropriate and should be accepted.
  - d) The form may be used “as-is”, subject to edits as described herein.
  - e) The “Contractor Instructions” sheet is intended to be provided with the form. It is recommended that the Instructions and the form be printed on the same piece of paper. The form notes that the Instructions are printed on the back of the form; where that is not the case, the text should be edited accordingly.
  - f) The form is a Word document and can be edited to meet local needs, and posted for download on web sites, used as an e-mail attachment, or provided as a printed document.
5. It is recommended that the contractor also complete a “Stockholder Disclosure Certification.” This will assist the local unit in its obligation to ensure that contractor did not make any prohibited contributions to the committees listed on the Business Entity Disclosure Certification in the 12 months prior to the contract. (See Local Finance Notice 2006-7 for additional information on this obligation) A sample Certification form is part of this package and the instruction to complete it is included in the Contractor Instructions. **NOTE: This section is not applicable to Boards of Education.**

## C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM

### Contractor Instructions

Business entities (contractors) receiving contracts from a public agency that are NOT awarded pursuant to a “fair and open” process (defined at N.J.S.A. 19:44A-20.7) are subject to the provisions of P.L. 2005, c. 271, s.2 (N.J.S.A. 19:44A-20.26). This law provides that 10 days prior to the award of such a contract, the contractor shall disclose contributions to:

1. any State, county, or municipal committee of a political party
2. any legislative leadership committee\*
3. any continuing political committee (a.k.a., political action committee)
4. any candidate committee of a candidate for, or holder of, an elective office:
  1. of the public entity awarding the contract
  2. of that county in which that public entity is located
  3. of another public entity within that county
  4. or of a legislative district in which that public entity is located or, when the public entity is a county, of any legislative district which includes all or part of the county. The disclosure must list reportable contributions to any of the committees that exceed \$300 per election cycle that were made during the 12 months prior to award of the contract. See N.J.S.A. 19:44A-8 and 19:44A-16 for more details on reportable contributions.

N.J.S.A. 19:44A-20.26 itemizes the parties from whom contributions must be disclosed when a business entity is not a natural person. This includes the following:

5. individuals with an “interest” ownership or control of more than 10% of the profits or assets of a business entity or 10% of the stock in the case of a business entity that is a corporation for profit
6. all principals, partners, officers, or directors of the business entity or their spouses
7. any subsidiaries directly or indirectly controlled by the business entity
8. IRS Code Section 527 New Jersey based organizations, directly or indirectly controlled by the business entity and filing as continuing political committees, (PACs). When the business entity is a natural person, “a contribution by that person’s spouse or child, residing therewith, shall be deemed to be a contribution by the business entity.” [N.J.S.A. 19:44A-20.26(b)] The contributor must be listed on the disclosure. Any business entity that fails to comply with the disclosure provisions shall be subject to a fine imposed by ELEC in an amount to be determined by the Commission which may be based upon the amount that the business entity failed to report. The enclosed list of agencies is provided to assist the contractor in identifying those public agencies whose elected official and/or candidate campaign committees are affected by the disclosure requirement. It is the contractor’s responsibility to identify the specific committees to which contributions may have been made and need to be disclosed. The disclosed information may exceed the minimum requirement. The enclosed form, a content-consistent facsimile, or an electronic data file containing the required details (along with a signed cover sheet) may be used as the contractor’s submission and is disclosable to the public under the Open Public Records Act. The contractor must also complete the attached Stockholder Disclosure Certification. This will assist the agency in meeting its obligations under the law.

**NOTE: This section does not apply to Board of Education contracts.**

\* N.J.S.A. 19:44A-3(s): “The term “legislative leadership committee” means a committee established, authorized to be established, or designated by the President of the Senate, the Minority Leader of the Senate, the Speaker of the General Assembly or the Minority Leader of the General Assembly pursuant to section 16 of P.L.1993, c.65 (C.19:44A-10.1) for the purpose of receiving contributions and making expenditures.”

**C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM**

Required Pursuant To N.J.S.A. 19:44A-20.26

This form or its permitted facsimile must be submitted to the local unit no later than 10 days prior to the award of the contract.

**Part I – Vendor Information**

Vendor Name:	Johnson Controls, Inc.		
Address:	5757 N Green Bay Ave		
City:	Milwaukee	State: WI	Zip: 53209

The undersigned being authorized to certify, hereby certifies that the submission provided herein represents compliance with the provisions of N.J.S.A. 19:44A-20.26 and as represented by the Instructions accompanying this form.



Maureen Blase      VP/General Manager Sustainable Infrastructure

Signature

Printed Name

Title

**Part II – Contribution Disclosure**

Disclosure requirement: Pursuant to N.J.S.A. 19:44A-20.26 this disclosure must include all reportable political contributions (more than \$300 per election cycle) over the 12 months prior to submission to the committees of the government entities listed on the form provided by the local unit.

Check here if disclosure is provided in electronic form.

Contributor Name	Recipient Name	Date	Dollar Amount
Not applicable	Not applicable	Not applicable	\$ Not applicable

Check here if the information is continued on subsequent page(s)

**Continuation Page**

C. 271 POLITICAL CONTRIBUTION DISCLOSURE FORM

Required Pursuant To N.J.S.A. 19:44A-20.26

Page \_\_\_ of \_\_\_\_\_

Vendor Name: Johnson Controls, Inc.

Contributor Name	Recipient Name	Date	Dollar Amount
Not applicable	Not applicable	Not applicable	\$ Not applicable

Check here if the information is continued on subsequent page(s)

**PROPOSAL FORM 17: STOCKHOLDER DISCLOSURE CERTIFICATION**

**Name of Business:**

I certify that the list below contains the names and home addresses of all stockholders holding 10% or more of the issued and outstanding stock of the undersigned.

**OR**

I certify that no one stockholder owns 10% or more of the issued and outstanding stock of the undersigned.

**Check the box that represents the type of business organization:**

- Partnership
- Corporation
- Sole Proprietorship
- Limited Partnership
- Limited Liability Corporation
- Limited Liability Partnership
- Subchapter S Corporation

**Sign and notarize the form below, and, if necessary, complete the stockholder list below.**

Stockholders:

Name: Dodge & Cox	Name:
Home Address: (office) 555 California St., 40 <sup>th</sup> Fl., San Francisco, CA 94104	Home Address:
Name:	Name:
Home Address:	Home Address:
Name:	Name:
Home Address:	Home Address:

Subscribed and sworn before me this 8<sup>th</sup> day of November, 2022

(Notary Public)

My Commission expires: December 8, 2022

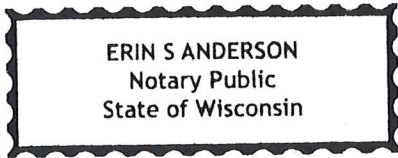
Maureen Blase

(Affiant)

Maureen Blase, VP/General Manager Sustainable Infrastructure

(Print name & title of affiant)

(Corporate Seal)



**PROPOSAL FORM 18: GENERAL TERMS AND CONDITIONS ACCEPTANCE FORM**

*Signature on the Vendor Contract Signature form certifies complete acceptance of the General Terms and Conditions in this solicitation, except as noted below (additional pages may be attached, if necessary).*

**Check one of the following responses to the General Terms and Conditions:**

We take no exceptions/deviations to the general terms and conditions

*(Note: If none are listed below, it is understood that no exceptions/deviations are taken.)*

We take the following exceptions/deviations to the general terms and conditions. All exceptions/deviations must be clearly explained. Reference the corresponding general terms and conditions that you are taking exceptions/deviations to. Clearly state if you are adding additions terms and conditions to the general terms and conditions. Provide details on your exceptions/deviations below:

*(Note: Unacceptable exceptions shall remove your proposal from consideration for award. Region 10 ESC shall be the sole judge on the acceptance of exceptions/deviations and the decision shall be final.)*

**Please see the following 2 pages with mark-up.**

## JOHNSON CONTROLS (JC) COMMENTS AND REQUEST FOR CLARIFICATIONS

As part of its Proposal, JC respectfully requests that in the event of an award, we have the opportunity to discuss certain terms and conditions of the Agreement with the goal to incorporate certain limited Agreement terms consistent with customary commercial practices for products and services in this industry such as those stated below, and as may be further amended by the parties. The reasons for this request are set forth below. Respondent likewise observes that this solicitation is a Request for Qualifications, that notwithstanding Article 4 of the Vender Contract "a contract at a fair and reasonable price" is anticipated to be negotiated later, and that project scope and duration, pricing, savings guarantee/measurement and verification, and other terms of an Energy Savings Performance Contract, including any supplemental terms, ultimately are to be developed and negotiated between JC and Participating Public Agencies on a project basis leveraging the outcome of this Request for Qualifications. JC can provide a template Energy Savings Performance Contract upon request following selection.

**Warranty.** JC seeks to include standard terms and conditions of JC's warranty for equipment and services, including the scope under which its warranty applies and commercially appropriate and reasonable limitations and disclaimers.

**Assignment.** (if applicable) JC seeks to clarify that it may assign its rights and obligations under this Agreement without the approval of to any of their affiliates, subsidiaries or parent companies or to an entity other than an affiliate, subsidiary or parent company that (a) acquires substantially all of the assets or stock of, merges or consolidates with or into, or acquires a controlling interest in JC and (b) expressly assumes in writing JC's obligations and responsibilities hereunder.

**Buy American Requirement:** Stipulated in Appendix E: VENDOR CONTRACT AND SIGNATURE FORM ARTICLE 11- PROPOSER PRODUCT LINE REQUIREMENTS Paragraph 11.7 in the RFP: JC cannot commit to provide only products with a country of origin of the United States or of a Trade Agreements Act country at this time because it cannot know in advance what products/materials and/or services will need to be provided in the future during the term of the contract. This requirement will be addressed on transaction-by-transaction bases by JC in the event of an award.

### PROPOSED PROVISIONS TO ADD TO THE AGREEMENT

**Indemnification**— Notwithstanding anything in the Agreement with respect to indemnification, JC agrees to indemnify customer for all damages, losses and expenses with respect to any third-party claims against the customer for personal injury, including death, or tangible property damage, but only for the proportion of damages, losses and expenses caused to the extent by the negligent acts or willful misconduct of JC in fulfilling its obligations under this Agreement. In the event JC is obligated to indemnify the Customer as set forth above, JC has the right, but not the obligation to defend the Customer against third party claims. In the events that JC elects to undertake such defense, then JC shall have exclusive control over the defense.

**LIMITATION OF LIABILITY** - IN NO EVENT SHALL JCI BE LIABLE FOR ANY DAMAGES RELATING TO THE AGREEMENT OR THE SERVICES CONTEMPLATED THEREBY IN ANY AMOUNT EXCEEDING THE TOTAL AMOUNTS PAID TO JC DURING THE TWELVE (12) MONTH PERIOD PRIOR TO THE DATE THE CLAIM AROSE. NEITHER PARTY SHALL BE LIABLE TO THE OTHER UNDER OR RELATED TO THIS AGREEMENT FOR ANY SPECIAL, CONSEQUENTIAL OR INCIDENTAL DAMAGES (INCLUDING BUT NOT LIMITED TO LOSS OF PROFITS) ARISING OUT OF ANY PERFORMANCE, WHETHER SUCH DAMAGES ARE BASED ON TORT, STRICT LIABILITY, WARRANTY, AGREEMENT OR ANY OTHER LEGAL THEORY, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGES.

**Payment.** All payments are due upon receipt of the invoice and shall be paid by Customer within thirty (30) days. Invoicing disputes must be identified in writing within (twenty-one) 21 days of the invoice date. Payments of any undisputed amounts are due upon resolution. All other amounts remain due within (thirty) 30 days. Failure to make payments when due will give Johnson Controls, without prejudice to any other right or remedy, the right to: (i) to stop performing any Services, withhold deliveries of Equipment and other materials, terminate or suspend software licenses, require go-forward cash in advance payment and/or terminate this Agreement; and (ii) charge Customer interest on the amounts unpaid at a rate equal to the lesser of one and half (1.5) percent per month or the maximum

Deleted:

Formatted: Font: Italic

Formatted: Font: Italic

**Commented [LL1]:** Query whether we intended to submit any contract form and whether we wish to offer this, and defer to typical coop practices. Note Art 4 of the template Vender Contract is difficult to jibe with this solicitation context. ESPCs also require various terms and content not reflected in a master vender agreement focused on simple equipment sales and purchase orders.

Formatted: Font: Italic

Deleted: .

Formatted: Font: Italic



rate permitted under applicable law, until payment is made in full. Customer will pay all of Johnson Controls' reasonable collection costs (including legal fees and expenses). In the event of Customer's default, the balance of any outstanding amounts will be immediately due and payable.

**Price Adjustments.** Johnson Controls may increase prices upon notice to the Customer to reflect increases in material and labor costs. For Agreements with automatic renewal, Johnson Controls will provide Customer with notice of any adjustments in the Contract Price applicable to any renewal period no later than forty-five (45) days prior to the commencement of that renewal period. Unless Customer terminates the Agreement at least thirty (30) days prior to the start of such renewal period, the adjusted price shall be the price for the renewal period.

JC's Proposal constitutes its response to the Request for Qualifications for Energy and Conservation Performance Contracting Services. Any business relationship between the Customer and JC shall otherwise be subject in all respects to the negotiation and execution of a mutually acceptable Agreement and Energy Savings Performance Contract. Please do not hesitate to contact us if you have any questions concerning these comments. We thank you for the opportunity to submit our Proposal.

**Deleted:** a firm offer regarding JC's prices for equipment and servicesits

PROPOSAL FORM 19: EQUALIS GROUP ADMINISTRATION AGREEMENT

**Requirements for Master Agreement To be administered by Equalis Group**

**Attachment A, Equalis Group Administrative Agreement** is used in administering Master Agreements with Region 10 and is preferred by Equalis Group. Redlined copies of this agreement should not be submitted with the response. Should a respondent be recommended for award, this agreement will be negotiated and executed between Equalis Group and the respondent. **Respondents must select one of the following options for submitting their response.**

- Respondent agrees to all terms and conditions outlined in each of the Administration Agreement.
- Respondent wishes to negotiate directly with Equalis Group on terms and conditions outlined in the Administration Agreement. Negotiations will commence after sealed Proposals are opened and Region 10 has determined the respondent met all requirements in their response and may be eligible for award.

**PROPOSAL FORM 20: OPEN RECORDS POLICY ACKNOWLEDGEMENT AND ACCEPTANCE**  
**OPEN RECORDS POLICY ACKNOWLEDGMENT AND ACCEPTANCE**

Be advised that all information and documents submitted will be subject to the Public Information Act requirements governed by Chapter 552 of the Texas Government Code.

Because contracts are awarded by a Texas governmental entity, all responses submitted are subject to release as public information after contracts are executed. If a Respondent believes that its response, or parts of its response, may be exempted from disclosure to the public, the Respondent must specify page-by-page and line-by-line the parts of the response, which it believes, are exempted from disclosure. In addition, the Respondent must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s). Respondent must provide this information on the "Acknowledgement and Acceptance to Region 10 ESC's Public Information Act Policy" form found on the next page of this solicitation. Any information that is unmarked will be considered public information and released, if requested under the Public Information Act.

The determination of whether information is confidential and not subject to disclosure is the duty of the Office of Attorney General (OAG). Region 10 ESC must provide the OAG with the information requested in order for the OAG to render an opinion. In such circumstances, Respondent will be notified in writing that the material has been requested and delivered to the OAG. Respondent will have an opportunity to make arguments to the OAG in writing regarding the exception(s) to the TPIA that permit the information to be withheld from public disclosure. Respondents are advised that such arguments to the OAG must be specific and well-reasoned--vague and general claims to confidentiality by the Respondent are generally not acceptable to the OAG. Once the OAG opinion is received by Region 10 ESC, Region 10 ESC must comply with the opinions of the OAG. Region 10 ESC assumes no responsibility for asserting legal arguments on behalf of any Respondent. Respondents 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.

After completion of award, these documents will be available for public inspection.

**Signature below certifies complete acceptance of Region 10 ESC's Open Records Policy, except as noted below (additional pages may be attached, if necessary). Check one of the following responses to the Acknowledgment and Acceptance of Region 10 ESC's Open Records Policy below:**

We acknowledge Region 10 ESC's Public Information Act policy and declare that no information submitted with this proposal, or any part of our proposal, is exempt from disclosure under the Public Information Act. *(Note: All information believed to be a trade secret or proprietary must be listed below. It is further understood that failure to identify such information, in strict accordance with the instructions below, will result in that information being considered public information and released, if requested under the Public Information Act.)*

We declare the following information to be a trade secret or proprietary and exempt from disclosure under the Public Information Act. *(Note: Respondent must specify page-by-page and line-by-line the parts of the response, which it believes, are exempt. In addition, Respondent must specify which exception(s) are applicable and provide detailed reasons to substantiate the exception(s).)*

November 10, 2022

\_\_\_\_\_  
Date



\_\_\_\_\_  
VP/General Manager Sustainable Infrastructure  
Authorized Signature & Title

**PROPOSAL FORM 21: VENDOR CONTRACT AND 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 proposal in collusion with any other Respondent and that the contents of this proposal as to prices, terms or conditions of said proposal 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.

**VENDORS MUST SUBMIT THIS FORM COMPLETED AND SIGNED WITH THEIR RESPONSE TO BE CONSIDERED**

Company name Johnson Controls, Inc.  
Address 5757 N Green Bay Ave  
City/State/Zip Milwaukee, WI 53209  
Telephone No. (414) 524-1200  
Fax No. N/A  
Email address Maureen.g.blase@jci.com  
Printed name Maureen Blase  
Position with company VP/General Manager Sustainable Infrastructure  
Authorized signature 

Term of contract January 1, 2023 to December 31, 2025

Unless otherwise stated, all contracts are for a period of three (3) years with an option to renew annually for an additional two (2) years if agreed to by Region 10 ESC. Vendor shall honor all administrative fees for any sales made based on the contract whether renewed or not.

  
Region 10 ESC Authorized Agent

1/18/23  
Date

Dr. Rickey Williams  
Print Name

Equalis Group Contract Number R10-1143C