



Records Retention Policy

Proprietary and Confidential

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| Revision | Release Date | Effective Date | Concise Description of Changes |
|----------|---|----------------|---|
| 5 | V1 - FEB 2014 V2 - FEB 2018 V3 - MAR 2021 V4 - FEB 2023 V5 - MAY 2023 | MAY 2023 | [V3 - MAR 2021] - Update to Author and Approver. Revised and expanded on the role for Record coordinators. Clarification on Business Records Management disposal step (4.1.6) [V4 - FEB 2023] - Further clarification on Business Records Management disposal step added (4.1.6) [V5 - MAY 2023] - Clarification on purging of active employee data (4.1.6) |

Owner

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Title/Role: Associate Director, Global Records Management and Archives

Approvals

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Title/Role: Vice President and Chief Privacy Officer

Master files are stored electronically. Electronic copies valid without signature. Printed copies are for reference only. Printed copies are uncontrolled documents are only valid for the date the document was opened and printed. Because changes to a controlled document can occur at any time, always access and view the document currently released and published in the Document Management System

1.0 PURPOSE

The purpose of this Records Retention Policy (the Policy) is to provide for the systematic storage, retention and destruction of documents and records created or received by Johnson Controls (the Company). In addition, this Policy establishes a comprehensive program for the management of the Company's records from their creation to their ultimate disposition, consistent with the requirements of applicable regulations, internal business needs, and accepted records management practice. Complying with this policy also ensures adherence to the Johnson Controls Code of Ethics that calls for "creating and maintaining accurate records and accounts."

- ✓ **Note:** This Policy is used in conjunction with the **Johnson Controls Records Retention Procedures and Johnson Controls Records Retention Schedules**

2.0 SCOPE

This Policy applies to all records on all media created on behalf of the Company and must be maintained in accordance with the "Records Retention Schedules" for the country and business in which the record has been stored.

This policy applies to all worldwide locations and legal entities controlled by the Company.

3.0 RESPONSIBILITY

(Summary descriptions follow; more detailed responsibilities are outlined in the Records Retention

Procedures document)

Enterprise Records Management Office operating within the Legal Department has the overall responsibility for the creation and maintenance of the Records Management Program, as well as responsibility for ensuring that the program is communicated and that employees have been educated.

Information Owner creates information and is responsible for appropriately classifying and protecting the information in accordance with the Company's Information Classification Policy. In addition, the Information Owner is responsible for determining when records associated with their process(es) change from active to inactive status, assigning the appropriate retention period to inactive records as specified in the Records Retention Schedule and, especially for paper records, sending those records to a Company-authorized archival location for storage during the Retention Period. The Information Owner should work with the records coordinator to ensure archived records are destroyed at the end of their retention period. The role of Information Owner may be held by employees, contractors or third-parties.

Information User is responsible for utilizing the information in his/her possession in accordance with Company policy and the Records Retention Schedule.

Records Coordinator is responsible for archiving the closed records for the period prescribed by the Records Retention Schedule, and for suspending the Records Retention Period for certain groups of records as prescribed by the Legal or Tax Departments. Records coordinators also will attest to the work they accomplish annually, to ensure that paper and electronic records under their jurisdiction are appropriately labeled with a retention period, and that paper and electronic records that have reached the end of their retention period are being destroyed on a timely basis.

Information Technology (IT) is the group providing methods to enable the information owners to secure, archive, make accessible and destroy electronic data in accordance with the records retention schedule. Additionally, Information Technology will assist with the application and removal of Legal Holds on electronic records. IT also supports the proper securing, archiving and subsequent accessibility of production and legacy ERP electronic data in the Company's facilities that have been acquired, changed systems, been closed or sold, or centralized at shared service centers.

4.0 POLICY STATEMENT

All records are to be retained and destroyed in accordance with the Company Records Retention Schedules, unless local legal or regulatory requirement for retention or destruction differs from the Company's schedule. In that case, the local requirement shall govern.

Note: All employees should refer to the JCI Records Retention Request Procedures when requesting any modifications to the Retention Schedule.

4.1. Business Records Management at the Company requires the following steps:

- 4.1.1.** Determine which type of documents are identified as Official Records and captured into the records systems.
- 4.1.2.** Classify records and determine how long they are to be retained. The Company's business records must be retained in accordance with the Company's Record Retention Schedules. Company employees are required to organize and store their Official Records to allow for the efficient identification, retrieval and deletion pursuant to this policy.

- 4.1.3. Store Official Records on long-term media that ensure usability, reliability, authenticity and preservation for as long as they are needed and based on the applicable Record Retention Schedule. SharePoint is a Company authorized records storage repository that can store records in accordance with the Record Retention Schedule.
- 4.1.4. Regulate who is permitted access to physical and electronic records and under what circumstances. Requirements for access to the Company's records within applications, information processing systems, or other information assets is defined according to the Identity and Access Management Policy.
- 4.1.5. Track the movement and use of records.
- 4.1.6. Dispose of records on a systematic and routine basis as defined by the Company's Record Retention Schedule. Company business records must be destroyed at the expiration of their record retention periods unless subject to a Hold. *Note that if an electronic records destruction will cause the corruption of data left behind due to interconnectedness of the data elements, a documented exception to that destruction will be allowed. If a system does not allow purging of active employee data because removing such data would result in negative and unpredictable consequences with respect to data integrity and downstream processes, a documented exception to that destruction will be allowed.*

4.2. Document Classification includes either Official Records or Non-Records.

4.2.1. Official Records are any documented pieces of information, regardless of characteristics, media, physical form or the manner in which they are recorded or stored. Official Records reflect or memorialize the complete and final version of a Company action, decision, or commitment and/or are needed for other specific legal or compliance purposes.

- 4.2.1.1. The Company recognizes that a Company electronic message, including but not limited to e-mail, Text Messaging and Instant Messaging (see definition of this term in Section 3.0), may qualify as an Official Record based on its content. Official Records also may be created through the use of telecommunications-based messaging services including, but not limited to, SMS (short message service) and MMS (multi-media messaging service), however, the use of these types of services as a medium to communicate, or as a records creation/retention system should be avoided. When records are created in such messaging systems/services, they should be removed from these messaging systems/services and retained in Company authorized records storage repositories.

Official Records might include:

- Contracts
- Accounting Records
- Sales or purchasing documents
- HR or benefit records
- Production or EHS reports
- Investigation reports



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- Other records of a Company action, decision or commitment

4.2.2. Non-Records are copies of Official Records maintained in more than one location, or materials available from public sources which can be disposed of at the discretion of the user. Non-records can be further broken down into the following types:

4.2.2.1. Transitory Documents are generally redundant and/or become obsolete after a very brief period of time. This group of documents may be set up for automatic and regular deletion after a designated short term retention period (e. g., 90 days), or may be disposed of immediately when no longer needed.

Examples of Transitory Documents include but are not limited to:

- Meeting notices
- Widely circulated internal communications
- Copies of Official Records

4.2.3. Work in Process (WIP) Documents includes documents that are in a draft or collaborative state and may serve a legitimate business purpose, but is not the final record. This information is typically needed by employees for a period of time (typically less than two years), and once this active period of use has passed, the information has no enduring value to the individual or the organization, and is deleted.

- Examples of WIP include drafts, departmental budgets which are regularly updated, and project plans.

4.3. Hold Management

4.3.1. Destruction of Official Records may be suspended or placed on “Hold” by special requests. These “Holds” are put in place for purposes of litigation, regulatory inspections, government investigation, audits, or other actions that require the retention of records otherwise eligible for destruction.

4.3.2. The duty to comply with a “Hold” supersedes the scheduled retention and destruction of records.

4.3.3. Records and non-records, including electronic and paper records, are subject to a “Hold”, regardless of storage medium or physical location.

4.3.4. The Law and Tax Departments are the only authorities that may issue or release a Hold.

4.3.5. Employees, agents and contractors must not destroy, discard, withhold or alter records subject to a Hold. Persons who fail to comply with a Hold may be subject to internal disciplinary action, as well as legal sanctions.

NON-COMPLIANCE

Failure to comply with this Policy may be grounds for disciplinary action, in accordance with local law, up to and including termination of employment.

5.0 RECORDS/LOGS

All records are to be retained and destroyed in accordance with the Company Records Retention Schedules, unless local legal or regulatory requirement for retention or destruction differs from the Company's schedule. In that case, the local requirement shall govern.

Note: All employees should refer to the JCI Records Retention Request Procedures when requesting any modifications to the Retention Schedule.

6.0 REFERENCES

- 6.1. Johnson Controls' Code of Ethics
- 6.2. ENT – ITSEC – PO-2.4 Information Classification Policy
- 6.3. ENT – ITSEC-PO-2.2 Identity and Access Management Policy
- 6.4. 140-500-01 JCI Records Retention Procedures
- 6.5. 140-500-02 JCI Records Retention Schedule
- 6.6. 140-500-03 JCI Records Retention Request Procedures

7.0 DEFINITIONS

Company Electronic Message: Any content sent or received electronically in connection with Company business or employment (including, e-mail, faxes, Instant Messages (as defined in this Policy) and text messages).

Hold: Is the authorization issued by the Legal or Tax Departments that, among other requirements, suspends the destruction of records for purposes of litigation, regulatory inspections, government investigation, audits, or other actions that require the retention of records otherwise eligible for destruction.

Instant Messaging or "IM": is the electronic messaging exchanged between Company employees in real time for Company business.

Official Record: is the original, final copy of a record that reflects the authentic position of the organization.

Record Retention Period: is the period of time during which business records must be retained by the Company for operational, legal, fiscal, historical or other purposes. Business records will be destroyed after the termination of the applicable Record Retention Period, unless they are subject to a Hold.

Record Retention Schedule: is a schedule maintained by the Company indicating the timetable during which the various categories of business records are maintained.

Records Coordinator: is an individual responsible for administering the Record Retention Program within their department/area of responsibility.



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8.0 APPLICABILITY

| | |
|---|-------------|
| Corporate | Yes |
| U.S. Divisions and majority-owned subsidiaries and affiliates | Yes |
| Non-U.S. Divisions and majority-owned subsidiaries and affiliates | Yes |
| Consolidated joint ventures and affiliates and affiliates | Yes |
| Other joint ventures | Recommended |
| Non-Company Contractors, Dealers, Distributors | Recommended |