



Code of Conduct:

**Sustainability standards for suppliers and
service contractors of Hamburger Hochbahn
AG and its subsidiaries**

As of April 2023

Preamble

For Hamburger Hochbahn AG (HOCHBAHN), a fair working relationship with its suppliers and service contractors based on mutual trust is the baseline of all business relations. We expect our service contractors and suppliers to act responsibly in the same way that we do.

Business relations are built on the following sustainability standards defining requirements regarding human rights, working conditions, environmental protection, business ethics and compliance. They are internationally applicable and address suppliers as well as service contractors.

The reference framework for these is based on the principles and values of the “United Nations Global Compact”. HOCHBAHN became a member of the UN Global Compact in 2017 and its principles and values are an integral part of the corporate strategy and our business processes. Further reference frameworks are the Universal Declaration of Human Rights, the UN Guiding Principles on Business and Human Rights, and the fundamental conventions of the International Labour Organization (ILO). Moreover, HOCHBAHN expects suppliers and service contractors to comply with all applicable laws and regulations and to proactively adopt measures to avoid negative social and ecological impacts.

By receiving and accepting an order, our direct suppliers and service contractors commit to adhere to the sustainability standards outlined here and to document their processes for complying with them. They are also required to work towards compliance with the sustainability standards set out in this document by their subcontracting companies and suppliers. HOCHBAHN reserves the right to check service contractors’ and suppliers’ compliance with these standards or to have them checked by third parties. Service contractors and suppliers undertake to provide appropriate proof for this purpose.

This code of conduct applies to all service contractors and suppliers of Hamburger Hochbahn AG as well as its subsidiaries¹.

¹ Hereafter, suppliers and service contractors always refer to the suppliers and service contractors of HOCHBAHN and its subsidiaries.

I. Human rights and working conditions

1. Suppliers and service contractors support and respect the protection of internationally proclaimed human rights. They do not violate any human rights and refrain from any activity which might have a severe adverse impact on human rights. Suppliers and service contractors ensure that they are not complicit in human rights abuses. They exercise due diligence with respect to human rights in order to identify, avoid or remedy negative impacts from their own business activities and their supply chain.
2. Suppliers and service contractors ensure that their business activities do not lead to any significant negative impacts on the natural basis for the preservation and production of food, do not deny anyone access to safe drinking water, do not impede anyone from access to sanitary facilities or destroy such and that their business activities do not cause harm to any person's health.
3. Suppliers and service contractors do not employ children and comply with the recommendations of the ILO conventions on the minimum age for the admission of children to employment. This age should not be lower than the age at which compulsory education ends under the laws of the place of employment, subject to the age of employment not being lower than 15 years.

See in this context:

- ILO Minimum Age Convention (No. 138) and
 - ILO Worst Forms of Child Labour Convention (No. 182) on the need to adopt new instruments for the prohibition and elimination of the worst forms of child labour
4. Suppliers and service contractors comply with the prohibition of forced labour or services, slavery or practices similar to slavery. All work must be voluntary and not required from any person under the threat of punishment or penalty. The employees must be able to terminate their employment or their working relationship at any time.

See in this context:

- ILO Forced Labour Convention (No. 29) and
 - ILO Abolition of Forced Labour Convention (No. 105)
5. Suppliers and service contractors respect employees' right to freedom of association and collective bargaining. In cases in which the freedom of association and the right to collective bargaining are restricted by law, suppliers and service contractors offer alternative options for employees to elect representatives who can negotiate with the company on pay scales or to represent the interests of the employees regarding other workplace issues over against the company. Employees may not be discriminated against for founding, joining or being members of such an organization.

See in this context:

- ILO Freedom of Association and Protection of the Right to Organize Convention (No. 87)
 - ILO Right to Organize and Collective Bargaining Convention (No. 98)
6. Suppliers and service contractors adhere to the maximum working hours according to the national laws concerned or the sector standards, whichever gives greater protection. Overtime working is only permissible if carried out on a voluntary basis.

7. Suppliers and service contractors ensure payment of appropriate remuneration which corresponds at least to the minimum wage and social benefits guaranteed by the applicable laws of the country concerned or the sector minimum standards, whichever is higher. The remuneration enables workers to at least secure their livelihood at an appropriate standard and to generate savings. Payment of remuneration for the work and services performed must be timely, regular and in full and may not be withheld as a disciplinary measure.
8. Suppliers and service contractors promote equality between employees. The discrimination against and unequal treatment of employees on the basis of their national and ethnic origins, social background, state of health, disability, sexual orientation, age, sex and gender identity, pregnancy, political views and membership of a party or trade union, religion or beliefs in any form is prohibited, unless it is based on the inherent requirements of the job. The dignity, privacy, and personal rights of each and every employee are respected.

See in this context:

- ILO Equal Remuneration Convention (No. 100) on equal remuneration for men and women workers for work of equal value
- ILO Discrimination (Employment and Occupation) Convention (No. 111)

9. Suppliers and service contractors ensure a safe and non-toxic working environment for their employees including those employees working on behalf of the supplier or service contractor. They take a pro-active approach in this. Potential health and safety risks for the employees are eliminated or mitigated. Employees are regularly informed and given training concerning currently valid health and safety regulations. All employees are provided with the protective clothing and equipment needed for the execution of their tasks free of charge.

See in this context:

- ILO Occupational Safety and Health Convention (No. 155) on safety and health and the working environment.

10. Suppliers and service contractors adhere to the prohibition of unlawful eviction and the prohibition of the unlawful deprivation of land, forests and waters in the acquisition, use for building development or use for any other purposes of land, forests and waters, the of which secures a person's livelihood.
11. Suppliers and service contractors only employ private and public security services if and when it is ensured that in their activities they respect human rights, comply with the prohibition of torture and cruel, inhuman or degrading treatment, do not injure life or limb and comply with the right to freedom of association and protection of the right to organize. The security personnel have received adequate training on these topics.

II. Environmental protection

12. Suppliers and service contractors pursue a precautionary approach by avoiding negative environmental impacts when producing, delivering, using and disposing of their goods and services or reducing such impacts as far as possible. HOCHBAHN expects suppliers and service contractors to use these resources, including water, efficiently and to protect biodiversity. In this they comply at a minimum with the

environmental protection laws and regulations of the country in question. Suppliers and service contractors must meet the requirements of the Minamata Convention on Mercury, the Stockholm Convention on Persistent Organic Pollutants (“POP”) and the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal.

13. Suppliers and service contractors aspire to reduce their greenhouse gas emissions and to align their reduction with the 1.5° target of the Paris Climate Agreement. They use preferably renewable energy and aim for energy efficiency. Suppliers and service contractors should document their energy consumption and greenhouse gas emissions and make them accessible along their value chains.
14. Suppliers and service contractors promote the development and proliferation of environmentally friendly technologies and devise strategies to lower their consumption of resources, reduce emissions and improve their environmental performance on an ongoing basis. They give preference to recycled materials as well as recyclability and promote this along their value chain.
15. Suppliers and service contractors reduce waste generation through prevention and control as well as recycling and reuse in line with the waste hierarchy. Waste which cannot be prevented or reused will be disposed of in a responsible manner or recycled.
16. Chemicals or other materials which pose a risk in the event of their release into the environment must be identified and handled in such a way as to ensure safety during the handling, storage and use of such substances as well as during their recycling, reuse or disposal.

III. Business Ethics and Compliance

17. Suppliers and service contractors respect and promote fair competition.
18. Suppliers and service contractors oppose corruption in all its forms, in particular also extortion and bribery.
19. Suppliers and service contractors maintain secrecy for an unlimited time with respect to all non-public information which is designated as confidential or recognized for other reasons as a company or business secret.
20. Suppliers and service contractors comply with all applicable laws for the protection of personal data.
21. Suppliers and service contractors comply with all applicable laws when importing and exporting goods and services.

IV. Due diligence in the supply chain

22. Suppliers and service contractors endeavour to achieve the greatest possible transparency in their supply chains, particularly as regards raw materials supply chains.
23. Suppliers and service contractors undertake the necessary steps to identify, evaluate and remedy risks with respect to the standards defined in this Code of Conduct in their

supply chains. The basis for this is the OECD Due Diligence Guidance for Responsible Business Conduct.

24. Suppliers comply with the OECD Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High-Risk Areas, including Annex II, when sourcing mineral raw materials. Smelters and refineries which lack adequate, audited due diligence processes should be avoided. Suppliers and service contractors are able to provide suitable supporting documentation or written assurances to HOCHBAHN if requested to do so.

V. Complaints procedure and breaches

25. Suppliers and service contractors offer their employees and other stakeholder groups throughout their supply chain confidential and anonymized complaints procedures. Whistleblowers are protected from discrimination or penalization. The complaints received and their treatment should be documented in writing.
26. The [HOCHBAHN electronic whistleblower system](#) is the central complaints channel for potential human rights abuses along the supply chains of HOCHBAHN. If and when suppliers and service contractors identify breaches of due diligence obligations and risks regarding human rights and the environment along the supply chains of HOCHBAHN, you can submit these via the whistleblower system. HOCHBAHN expects their suppliers and service contractors to inform their employees about the availability of this complaints channel.
27. Suppliers and service contractors will inform HOCHBAHN promptly of every breach of the standards set out here, whether in their own company, their subcontractors or their suppliers and will pass on any complaints related to the business relationship with HOCHBAHN to HOCHBAHN.
28. If and when HOCHBAHN receives indications of breaches of due diligence obligations regarding human rights and the environment or related risks which have been caused by the business activities of the suppliers and service contractors, these are obliged to cooperate with HOCHBAHN in eliminating or preventing such breaches and promptly taking remedial action. A breach of this Code of Conduct may, in the final consequence, be grounds for HOCHBAHN to terminate the business relationship including all associated supply contracts.

We thank you for your continuous support and your commitment to align your business activities with the sustainability standards described above. HOCHBAHN relies on a partnership approach with its suppliers and business partners to achieve transparency and continuous improvement of sustainability along the supply chain. The sustainability standards for HOCHBAHN's suppliers and business partners complement all the rights and obligations already set out in all agreements between HOCHBAHN and its suppliers and service contractors, but in no way supersede them.