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HOCHBAHN



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GRI REPORT 2020

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STAY

BRAVE,

Since spring 2020, the coronavirus pandemic has dominated all our lives, daily headlines and people's conversations. An unprecedented decline in passenger numbers has also hit our company hard since then. And yet we continue to be brave and not lose sight of the biggest challenge the world is facing: global climate change. This is the reason we remain at the vanguard for sustainable urban mobility.

BE AT THE VANGUARD.

Foreword

GRI 102-11, 102-14

We remain committed to our goals and to the City of Hamburg's Climate Plan. The mobility transformation needs to save 1.4 million metric tons of CO₂ by 2030; the "Hamburg-Takt", its most important element, is expected to reduce carbon emissions by as much as 621,000 metric tons. We as a company aim to become climate-neutral by 2030 and, together with our partners, bring the market share of integrated public transport up to 30 percent (currently 22 percent). Pursuit of this goal is what drives our employees to move forward with courage every day – even in times of crisis.

Being at the vanguard means striking out in new directions. Living out our change. Be it in integrated mobility services such as the hvv switch app, sustainable business processes or green financing. We were the first German transport company to successfully issue a green bond, raising 500 million euros on the green capital market to finance the mobility transformation in Hamburg. The main basis for this was a top rating of our sustainable corporate strategy, processes and projects that have a genuine impact on the climate and society. This gratifying achievement motivates us even more to continue along this path together with the City of Hamburg and be a trail-blazer. For our city. For the entire mobility sector.

Since 2017, our compass has been the Ten Principles of the UN Global Compact and the United Nations Sustainable Development Goals (SDGs), which are embedded in our DNA. As an active member of the UN Global Compact, we also use the network as a knowledge platform to make our business processes even more sustainable, share experiences and learn from others. Only by showing courage and optimism together can we overcome these global challenges.

Based on five SDGs, which are the focus of sustainable mobility for us, we bring together our sustainability activities under five top Sustainable Development Goals:

1. Position HOCHBAHN as a sustainable mobility provider
2. Minimise emissions arising from our business activities
3. Take responsibility, both locally and globally
4. Use resources more efficiently and protect the environment
5. Promote sustainable innovation

In these challenging times, we are working with our stakeholders to analyse and sharpen awareness of the really important issues on our path to climate neutrality and the market share we are targeting with integrated public transport. You can find more facts and figures in this GRI report.

Yours sincerely,



Henrik Falk
Chief Executive Officer,
Hamburger Hochbahn AG

FOCUS⁺

ON FIVE SDGs



Affordable and clean energy



Decent work and economic growth



Sustainable cities and communities



Industry, innovation and infrastructure



Climate action

Report profile

GRI 102-45, 102-48, 102-49, 102-50, 102-51, 102-52, 102-53, 102-54, 102-56

For the 2020 financial year, Hamburger Hochbahn AG (HOCHBAHN) is publishing its first GRI Report in accordance with the standards of the Global Reporting Initiative (GRI), an internationally recognised organisation for sustainability reporting.

As a result, HOCHBAHN's corporate reporting now consists of these three formats:

- The content and design of the **Annual and Sustainability Report** reflects HOCHBAHN's strategically most important projects and combines a review of the financial year ended with an outlook for the future. It vividly describes which projects HOCHBAHN is using to advance sustainability and the UN Sustainable Development Goals, substantiating this presentation with various key figures.
- The **Management Report and the Annual Financial Statements** present the course of business, the financial results and the economic position of the company. In addition to financial aspects, non-financial performance indicators are also reported.
- This **GRI Report** provides supplementary and in-depth sustainability information in accordance with the GRI standards and will be used in the future as an annual progress report to take stock of HOCHBAHN's sustainability performance. Among other things, the report contains the GRI Content Index, in which reference is also made to relevant content in the other reporting formats.

The GRI Report was prepared in accordance with the GRI Standards "Core" option. The reporting period covers the 2020 financial year; in individual cases, current developments taking place in the first quarter of 2021 are included (copy deadline: 22 March 2021). The GRI Report will be published annually from now on, with the next issue expected to be published in July 2022.

The disclosures in this report relate to the scope of activities of Hamburger Hochbahn AG (HOCHBAHN) and its subsidiary Fahrzeugwerkstätten Falkenried GmbH (FFG). FFG's specific sustainability activities are summarised on page 8 and the scope of the respective key figures in the report is shown accordingly. If, in justified cases, detailed information and key figures on the activities of other subsidiaries have also been published, this is explicitly indicated.

This GRI Report was not subjected to external assurance. However, key figures have been taken from the Management Report and have been audited in this context by an auditor. The information in this report also serves as a progress report for the UN Global Compact; a corresponding index can be found in the GRI Content Index.

HOCHBAHN's goal in publishing this GRI Report in combination with its Annual and Sustainability Report is to provide its stakeholders with comprehensive, relevant and transparent sustainability information.



The contact point for questions regarding the GRI Report is: Daniel Schulz (nachhaltigkeit@hochbahn.de)

HOCHBAHN at a glance

GRI 102-1, 102-2, 102-3, 102-4, 102-5, 102-6, 102-7, 102-10, 103/201, 203-1

Hamburger Hochbahn AG is a company organised and managed according to private sector principles which is wholly-owned by the Free and Hanseatic City of Hamburg via HGV Hamburger Gesellschaft für Vermögens- und Beteiligungsmanagement mbH (HGV). Both the company's headquarters and all of its operations are located in Hamburg.

Operating four U-Bahn lines and 119 bus lines HOCHBAHN provides approximately half of all public transport services within the Hamburg Public Transport Association (Hamburger Verkehrsverbund - HVV). With over 6,000 employees, it is one of Hamburg's largest employers. Together with its many subsidiaries and investees, including those providing rolling stock maintenance, security, cleaning and ferry services, HOCHBAHN is an integral part of mobility in Hamburg. HOCHBAN has a total of eleven operating sites in the Hanseatic city (seven bus depots with two annexes and three U-Bahn workshops). In 2020 the new Billstedt U-Bahn workshop and, following the integration of its subsidiaries Friedr. Jasper Rund- und Gesellschaftsfahrten GmbH (JASPER) and SBG Süderelbe Bus GmbH (SBG), two bus depots in Billbrook and Süderelbe were added.

HOCHBAHN continues to invest in its existing infrastructure network and is adding new areas of the city to the network in accordance with long-term planning. In addition to the providing traditional public transport services, HOCHBAHN is continuously supporting the integration of new mobility models. In 2020, HOCHBAHN took an important step towards the creation of a central mobility platform for the HVV with the introduction of the hvv switch app and the deep integration of the ridesharing provider MOIA. Additional hvv switch points were also set up at municipal railway stations and in several districts.



Detailed information on HOCHBAHN's course of business and key financial figures is presented in the Management Report and the Annual Financial Statements.

HOCHBAHN AT A GLANCE

GRI 102-7

	2020	2019	2018
Sales (€ million)	458.2	534.3	537.4
Net loss for the year before loss absorption by HGV (€ million)	113.4	68.8	51.0
Cost coverage ratio (%)	84.7	90.1	92.2
Fixed assets (€ million)	1,498.8	1,409.8	1,233.9
Total assets (€ million)	1,701.0	1,529.3	1,339.5
Equity (€ million)	167.4	167.4	167.4
Gross capital expenditures (€ million)	224.4	324.1	292.3
Number of employees ¹	6,308	6,074	5,288
Bus			
Passengers (million) ^{2,3}	151.0	217.2	210.0
Passenger kilometres (million) ^{2,3}	469.7	675.9	653.3
Capital expenditures (€ million)	41.5	105.9	74.8
Number of buses	1,107	1,090	980
Number of lines	119	114	113
Number of stations	1,425	1,402	1,353
Rail			
Passengers (million) ^{2,3}	163.4	249.5	251.9
Passenger kilometres (million) ^{2,3}	975.7	1,489.6	1,504.1
Capital expenditures (€ million)	174.4	212.4	202.6
Number of carriages	965	929	929
Number of lines	4	4	4
Number of stations	93	93	92

¹ Current as of 31 December incl. Management Board and trainees

² 2020: provisional figures

³ 2019: updated figures

Sustainability at FFG

Fahrzeugwerkstätten Falkenried GmbH (FFG), a wholly owned subsidiary of HOCHBAHN and a full-service bus provider, is responsible for the servicing and repair of Hamburger Hochbahn AG's fleet of buses. Its portfolio also includes fleet management services, service concepts and roof workstations for electric buses, as well as maintenance of technical equipment for bus stops. FFG has eight locations around Hamburg: the main garage and administrative headquarters in Hummelsbüttel plus seven workshops at HOCHBAHN's bus depots.

The bus repair services provided by FFG are considered an outsourced operating function of HOCHBAHN. In this capacity, the company is instrumental in implementing HOCHBAHN's sustainability goals and the SDGs HOCHBAHN has prioritised (see p. 5), particularly in converting the bus fleet to zero-emission drives. Working closely with vehicle manufacturers, FFG is advancing forward-looking mobility models and thus supporting the mobility transformation – aided by comprehensive training as well as the construction of new state-of-the-art workshops and expansion of existing ones. To this end, FFG develops service models and roof workstations for electric buses and collaborates closely with HOCHBAHN on all aspects of electric mobility (see also p. 29 for more information on the conversion of the bus fleet).

FFG also analyses the status quo of its sustainability activities with a view to further enhancing its sustainability performance. Resource efficiency is a major focus in environmental matters, especially reducing material consumption in vehicle maintenance. To increase resource efficiency, FFG kicked off a project in 2020 for examining the depth of maintenance in relation to conservation of resources and achieving material savings in replacement parts.

FFG has a headcount of 303, of whom 19 are women. The company strives to continuously increase the proportion of women in its workforce, especially in the workshops. FFG offers apprenticeships to people interested in training as vehicle mechatronics technicians specialising in systems and high-voltage technology, as body and vehicle construction mechanics, or as automotive painters, and had an average of 20 trainees in 2020. FFG works closely with HOCHBAHN in the fields of training and continuing education as well as occupational health and safety, and FFG's employees can take advantage of a large number of HOCHBAHN's offerings. FFG's focus in occupational safety is on improving safety in its workshops. In 2020, FFG registered 37 incidents, including four commuting accidents and 33 accidents at work, 17 of which were reportable.

Sustainable corporate strategy

GRI 102-16

Considering the global challenge of climate change, how people in a growing city like Hamburg can stay mobile in the future without owning a car while at the same time helping to protect the climate is a key issue in urban mobility.

In resolving an update of the Hamburg Climate Plan in 2019 and adopting the Hamburg Climate Change Act in 2020, the City of Hamburg is acting on its stated goal of reducing carbon emissions in Hamburg by 55 percent by 2030 compared with the 1990 baseline. In the transport sector, which now accounts for around 28 percent of Hamburg's carbon emissions, efforts will be made to reduce these by approximately 1.4 million metric tonnes by 2030 compared with 2017 levels. This is to be achieved in two principal ways:

- Bringing about a shift from private car use to environmentally friendly modes of transport (travelling on foot, cycling, local public transport), with the goal of increasing modal split in favour of local public transport from 22 percent in 2017 to 30 percent in 2030 (with environmentally friendly modes of transport making up a total share of 80 percent).
- Converting vehicle fleets – which in local public transport mainly concerns the bus fleet – to zero-emission drive systems.

Implementation of this strategy centres on the City's local public transport strategy, the "Hamburg-Takt". A strategic realignment of the local public transport system will allow almost half of the carbon savings required from the transport sector to be achieved. As an integrated mobility strategy, the "Hamburg-Takt" embodies the paradigm shift in local public transport from demand-focused to supply-focused planning. The goal is to design the offering in such a way that timetables become a thing of the past. This translates into the vision that by 2030 every passenger will be able to access an adequate public mobility offering within five minutes. To make the switch to public mobility offerings becomes more attractive and comprehensive, on-demand and sharing services will be integrated into Hamburg's local public transport system as a fourth pillar alongside buses, trains and ferries.

The “Hamburg-Takt” is centred on the philosophy that mobility services must be geared to people and their continually changing needs and their appeal should make them the obvious mobility option on a daily basis. Besides expanding traditional local public transport and integrating on-demand and sharing services, this also entails creating a very positive customer experience with a high level of service across all points of contact. The focus throughout all points of contact, from the planning of the trip to the actual journey and up to the passenger’s destination, is on the customer. The mission statement of the “Hamburg-Takt” serves as the basis of the corporate identity for Hamburg’s new local public transport system. The mission statement is designed to provide orientation for the active participants and thus guide and motivate their actions. With regard to customers, it is intended to show what public transport embodies.

The following attributes, to which all transport companies in Hamburg are committed, form the basis of the mission statement:

- **Reliable** – Anytime, anywhere: Even when conditions change and the unexpected occurs, we are perceived as agile and eager to find a solution. Systems respond in real time and waits are minimised.
- **Efficient** – We are focused, pinpointed. We take customers to their destination quickly and directly and ignore distractions along the way. Safe – We provide support, give people a good feeling and put different safety needs on an equal footing. The person with the greatest sense of insecurity is the benchmark for our actions.
- **Safe** – We provide support, give people a good feeling and put different safety needs on an equal footing. The person with the greatest sense of insecurity is the benchmark for our actions.
- **Intuitive** – Local public transport is a smooth ride. The local public transport system is so simple that all customers can use it effortlessly and without prior knowledge. The offering is designed in such a way that little effort is required to get one’s bearings. Whenever information is needed, it is there and does not require a search.
- **Comfortable** – Customers are our guests. They like using local public transport, feel understood and visibly cared for at all times. We provide space and quality and are approachable. High standards from other service experiences can be carried over to our services.
- **Consistent** – We always have the big picture in mind and act seamlessly. In the spirit of the “Hamburg-Takt” we share findings with other transport companies at an early stage, work in networks and accept good solutions from other parties. On the trip, everything meshes seamlessly – from information to arrival.
- **Fair** – Equal consideration is given to the needs of all customers. Local public transport is available to everyone equally. We operate on equal terms, transparently, comprehensibly and with compassion. When conflicts arise, we act calmly but firmly.

Along with this, HOCHBAHN is pushing ahead with the “Hamburg-Takt”, which is turning HVV from a transport network into a joint brand with a view to ensuring “one face to the customer”.

HOCHBAHN sees itself as a shaper of the “Hamburg-Takt” and therefore as an essential player in the mobility transformation and for the mitigation of climate change in Hamburg. In its vision for creating intelligent mobility for a future worth living in Hamburg, HOCHBAHN underscores its claim of helping to ensure a high quality of life within the city as a municipal company and providing innovative and sustainable solutions for intuitive, user-oriented mobility for all life situations as a key mobility partner for the city. For HOCHBAHN, responsible corporate governance includes the promise of adding value for its customers, employees and the City of Hamburg. HOCHBAHN underlines its responsibility to people, the environment and society with its commitment to the UN Sustainability Development Goals (SDGs) and the Ten Principles of the UN Global Compact.



For more information on the “Hamburg-Takt”, including in context with the coronavirus pandemic, please refer to the Management Report and the Hamburg-Takt section in the Annual and Sustainability Report on p. 18.

To give Hamburg's residents greater mobility with lower emissions, HOCHBAHN adopted the "Climate Neutrality 2030" climate target in 2019 and is concentrating on tailoring its mobility offering to people's future needs. This improved offering will include longer operating hours, shorter journey times, more frequent services and zero-emission vehicles whose capacity reflect demand. Networked with other mobility offerings from sharing and on-demand service providers (e.g. MOIA, Google, SIXT Share, TIER, MILES Mobility and StadtRAD) and being open to innovative solutions and the opportunities presented by digitalisation, HOCHBAHN's mission is to rethink and design integrated sustainable mobility in the Hamburg SmartCity.

Whether the company's mission is successfully implemented depends to a large extent on the actions of all HOCHBAHN employees. Employee recruitment, retention and continuous development is therefore a key element of its corporate strategy. Another important component is a corporate culture that promotes customer focus, cooperation, and the willingness of each and every individual to change and innovate, in addition to supporting and valuing diversity. HOCHBAHN has developed corporate values in the five areas of customer centricity, cooperation/interaction, efficient work, future readiness and social responsibility to guide employees' behaviour in their daily work. These are as follows:

"How we intend to do it – our corporate values"

- We are there for our customers
- We work as a network
- We act efficiently
- We think ahead
- We assume responsibility

+ Climate protection and the mobility transformation in Hamburg

Climate Plan: 2019 saw the first update of the Hamburg Climate Plan from the year 2015. The Climate Plan sets out climate targets for 2030 and 2050 and describes a strategy with four transformation pathways and measures that will lead to a 55 percent reduction in carbon emissions in Hamburg by 2030 (compared with the 1990 baseline) and to climate neutrality well before 2050. On the path to this transformation, the "Hamburg-Takt" constitutes the most important tool for reducing carbon emissions.

Climate Protection Act: The Hamburg Climate Protection Act entered into force in February 2020. It provides a binding legal framework for the goals of the Climate Plan.

Coalition agreement: Expansion of the local public transport system was the central issue in the state elections in February 2020. In the end, the re-elected red-green coalition created a dedicated Department of Transport and Mobility Transformation in June 2020. The "Hamburg-Takt" was classified as a relevant topic of the government's work during the 2020–2025 legislature.

Senate Commission for Climate Protection and the Mobility Transformation: To implement the Hamburg Climate Plan and the mobility transformation, the Hamburg Senate in 2020 set up a Senate Commission for Climate Change and the Mobility Transformation under the direction of the First Mayor. The Senate Commission, which meets once every eight weeks, serves to support the achievement of the agreed climate targets and the mobility transformation through regular exchange and consultation on substantive issues.

"Hamburg-Taktgeber" team: A team comprising people from different public authorities and transport companies has been formed under the leadership of the Senator for Transport and Mobility Transformation. Dubbed the "Hamburg-Taktgeber", this team is tasked with implementing the "Hamburg-Takt". The "Hamburg-Taktgeber" team meets every four weeks to discuss strategic topics relating to the joint implementation of the "Hamburg-Takt".

Stakeholder dialogue

GRI 102-13, 102-40, 102-42, 102-43, 415-1

HOCHBAHN engages in active, transparent dialogue with different groups of stakeholders. Stakeholders for HOCHBAHN are persons or organisations who have an influence on the company's success or are impacted by its business activities. These include customers, the City of Hamburg and its citizens, the scientific community, companies and collaboration partners, interest groups and associations, the media and the public, as well as investors. HOCHBAHN's internal stakeholders are its employees and the Supervisory Board.

Information on the different forms of stakeholder engagement can be found in the sections entitled Sustainable corporate strategy (p. 8), Materiality analysis (p. 13), Expansion of mobility services (p. 15), High-quality mobility for all (p. 20), Working conditions (p. 41), New Work (p. 50) and Diversity (p. 54). Please also refer to the Management Report, including the section entitled Research and development (p. 6).

The media and the public are furnished with important information on the company via official press releases, at regular press conferences and on various social media platforms. Through its membership of different associations and organisations, HOCHBAHN regularly exchanges information with other companies, service providers and partners from the transport industry and thus actively helps to shape the development of the overall environment for local public transport. HOCHBAHN's memberships of professional organisations include the Association of German Transport Companies (Verband Deutscher Verkehrsunternehmen – VDV), the International Association of Public Transport (Union Internationale des Transports Publics – UITP) and Deutsches Verkehrsforum e.V. (DVF). HOCHBAHN does not donate to political parties. HOCHBAHN has also been a partner of Hamburg Climate Week since 2018, which the participating United Nations Environment Programme (UNEP) calls the largest climate communication event in Europe. At the 12th Hamburg Climate Week held in September 2020, a representative from HOCHBAHN's sustainability team gave a presentation on the UN's sustainability goals at the HVV Mobility Day. HOCHBAHN is also a cooperation partner of the Mobility Lab Hamburg and the sustainable network N Klub (N being the first letter of the German word for sustainability).

Sustainability management

GRI 102-12, 102-18, 102-19

Since joining the UN Global Compact in 2017, HOCHBAHN has aligned its corporate governance with the Global Compact's ten principles and the Sustainable Development Goals (SDGs). The issue of sustainability is also an integral part of HOCHBAHN's corporate strategy and is reflected in five company-specific sustainable development goals:

- Position HOCHBAHN as a sustainable mobility provider
- Minimise emissions arising from our business activities
- Take responsibility, both locally and globally
- Use resources efficiently and protect the environment
- Promote sustainable innovation

HOCHBAHN's sustainability management has been allocated to Management Board level. Since 1 January 2020, Sustainable Development, Environmental Protection and Occupational Safety has been part of the Finance and Sustainability division.

HOCHBAHN also embedded sustainability criteria relating to vehicle procurement for 2019 and 2020 into the targets agreed by the Management Board and senior management. These criteria are now taken into account when determining the variable portion of remuneration.

In order to integrate sustainability further into its business processes, HOCHBAHN included the topic of climate impacts in its risk and opportunity management in 2020. There are also various formats for raising awareness of sustainability in processes across the company and actively involving employees in the implementation of these issues. HOCHBAHN now plans to develop a sustainability programme based on the findings of the materiality analysis carried out in 2020. This will provide information on sustainability goals and the progress being made to achieve them.



For information on the organisational structure of HOCHBAHN, please refer to the Management Report, p.3.

To measure progress and for internal control of the sustainability management system, HOCHBAHN records a large number of sustainability indicators every year, which are published in the Annual and Sustainability Report and – for the 2020 reporting period for the first time – in the form of a GRI Report. The data collection methods and calculation bases in the GRI Report are based on established standards.

In carrying out its sustainability activities, HOCHBAHN participates in the following external agreements on sustainability:

- **UN Global Compact (UNGC):** Since joining the UN Global Compact in 2017, HOCHBAHN has aligned its corporate governance with the Global Compact's ten principles and the Sustainable Development Goals (SDGs). HOCHBAHN participates at the UN SDG Ambition Accelerator Programme through the Global Compact Network Germany.
- **UN Sustainable Development Goals (SDGs):** HOCHBAHN focuses on the five SDGs Affordable and Clean Energy (7), Decent Work and Economic Growth (8), Sustainable Cities and Communities (11), Industry, Innovation and Infrastructure (9) and Climate Action (13).
- **Global Reporting Initiative (GRI):** HOCHBAHN is publishing its first sustainability report on financial year 2020 in accordance with the GRI Standards.
- **German Sustainability Code (DNK):** HOCHBAHN discloses its compliance with the criteria of the German Sustainability Code (DNK) in its GRI Report via a DNK Content Index.
- **Green Bond Principles of the International Capital Market Association (ICMA):** The basis for the successful issue of HOCHBAHN's Green Bond (see information box) includes a green bond framework prepared in accordance with the international standards of the ICMA.



Green bonds

The proceeds from the issue of green bonds will be used exclusively to finance sustainable and climate-friendly projects. In February 2021, HOCHBAHN became Germany's first transport company to issue a 500 million euro "green bond", thus breaking new ground in the financing of sustainable transport projects.

The preparation of a green bond framework in accordance with the Green Bond Principles of the International Capital Market Association (ICMA) ensures a clear approach for credible issuance of green bonds. HOCHBAHN's green bond framework focuses on the clean transportation category and was awarded the highest rating of "Dark Green" in a second-party opinion carried out by CICERO Shared of Green institute. In addition to the green bond framework, CICERO Shades of Green also gave the HOCHBAHN governance structure its highest rating of Excellent.

More information at: www.hochbahn.de/hochbahn/hamburg/de/Home/Unternehmen/investor_relations/gruene_finanzierung

Materiality analysis

GRI 102-44, 102-46

HOCHBAHN has been reporting on its sustainability activities in its Annual Report for several years now. Since 2017, the report has also served as the annual communication on progress in implementing the Ten Principles of the UN Global Compact and the UN Sustainable Development Goals (SDGs). With a view to advancing the SDGs in a focused manner, HOCHBAHN carried out its first materiality analysis in 2017. The most relevant SDGs for HOCHBAHN were identified with the involvement of various business units. Since then, these have been a significant component of HOCHBAHN's sustainable corporate strategy and the reporting on this.

In 2020, HOCHBAHN conducted a materiality analysis in accordance with the requirements of the GRI Standards and the German Sustainability Code (DNK). For this, a total of 15 sustainability topics with relevance for HOCHBAHN were defined on the basis of the existing strategy and incorporating relevant global, regional and sector-related frameworks (e.g. the City of Hamburg's Climate Plan) and known stakeholder expectations. The effects of HOCHBAHN along the value chain were considered and a corresponding distinction was made. These topics were measured in the following process based on three dimensions:

- Social and environmental impact of HOCHBAHN's activities
- Stakeholder expectations
- Relevance for HOCHBAHN's business

A total of 1,800 internal and external HOCHBAHN stakeholders were reached in an online survey, including employees, customers and recognised experts in the fields of mobility and sustainability who represent other relevant external stakeholder groups. In addition to prioritising the topics, the respondents were also given the opportunity to specify other topics and concerns in open response options. Guided interviews were conducted with eleven experts as well to enrich the results of the survey with more detailed assessments and recommendations for action.

The following four topics were rated highest across all dimensions:

- Expansion of mobility services
- High-quality mobility for all
- Renewable energies and energy efficiency
- Climate protection and reduction of emissions

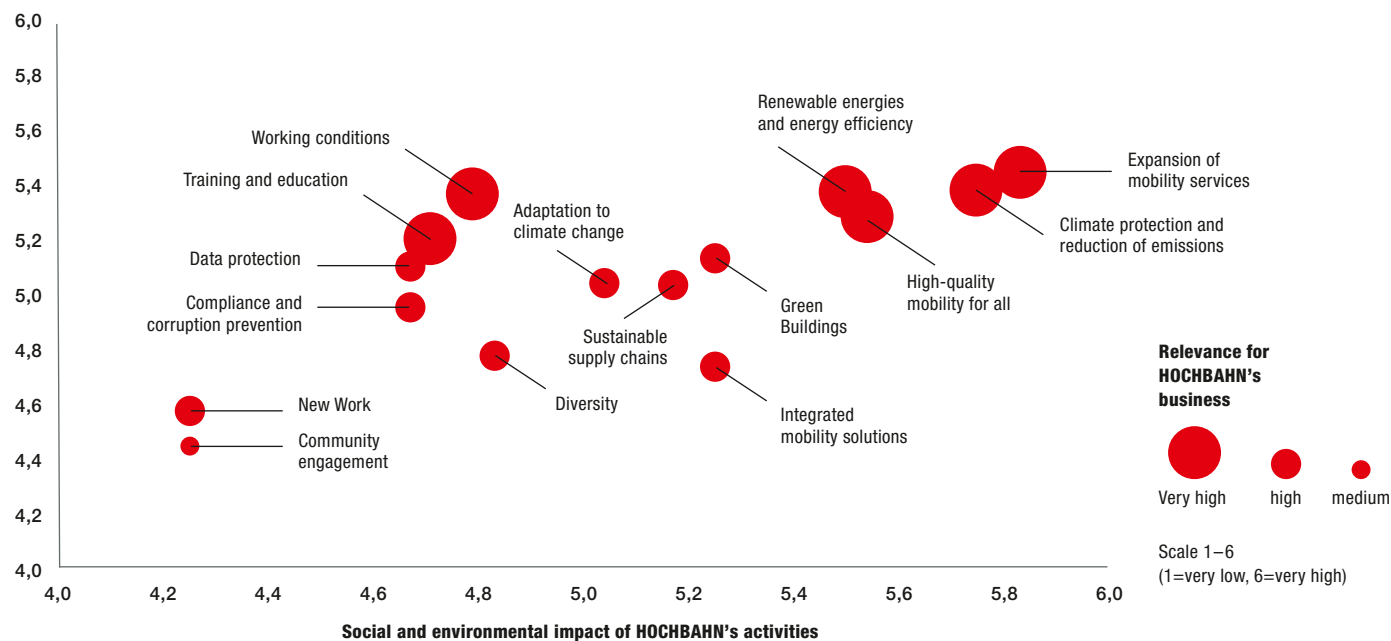
The topics of working conditions and continuous training and education were also rated particularly highly from the perspective of the stakeholders and for business relevance.

The results of the survey and the materiality matrix derived from these were discussed at a validation workshop with executives from HOCHBAHN's top tier of management and subsequently presented to the Management Board.

Materiality matrix

Expectations of stakeholders

(50% employees, 50% customers)



As a result, the following material topics were identified for HOCHBAHN's sustainability reporting:

+ List of material topics

GRI 102-47

- Expansion of mobility services
- High-quality mobility for all
- Integrated mobility solutions
- Climate protection and reduction of emissions
- Renewable energies and energy efficiency
- Adaptation to climate change
- Sustainable supply chains
- Green Buildings
- Data protection
- Working conditions
- Compliance and corruption prevention
- New Work
- Training and education
- Diversity
- Community engagement

The focus topics of this GRI Report were derived from the results of the materiality analysis. The report addresses all issues identified as material.

Expansion of mobility services

GRI 103/203

Expansion of mobility services is an key element of the “Hamburg-Takt” and the related goal of bringing about a shift from private car use towards environmentally friendly modes of transport (travelling on foot, cycling, local public transport) by creating additional mobility services – even as Hamburg’s population continues to grow. By the mid-2030s, Hamburg will have a population of around two million. Transport companies in Hamburg have put various measures in place to improve their services with a total of three service campaigns, each implemented in tandem with the HVV timetable change in December 2018, 2019 and 2020. Moreover, the transport service has not been scaled back to any significant extent during the coronavirus pandemic.

HOCHBAHN is expanding its services with the following measures in particular:

1. Extension of the bus network (by adding bus services, extending existing lines and adding new lines such as XpressBus (for more information see p. 46 of the Annual and Sustainability Report) and Quartiersbus, additional connections and direct links in the network)
2. Further development of the U-Bahn network (new construction, extending the network and adding new stations)
3. Increase in the frequency of the bus and U-Bahn service, plus additional services
4. Use of bigger buses (e.g. large-capacity articulated buses)
5. Further expansion of services, e.g. to ensure smoother connections

The expansion of services also feeds through into HOCHBAHN’s operating performance: while the average increase in services in terms of kilometres per space was around 1.2 percent between 2012 and 2018, it rose by over 4 percent in both 2019 and 2020. Based on kilometres per space, operating performance in the U-Bahn business improved by 3.3 percent year-on-year in 2020. Operating performance in the bus sector rose by 4.9 percent. In both the bus and the U-Bahn business, the changes are largely attributable to the improvements in services in connection with the service campaigns.

+ Kilometres per unit in service, kilometres per space and passenger kilometres

The term “vehicle kilometres” is used in transport statistics to determine the intensity of transport routes in use and the use of passenger transport services:

Kilometres per unit in service = number of kilometres covered by vehicles used for transporting passengers in the reporting period

Kilometres per space = kilometres per unit in service x capacity (seated and standing)

Passenger kilometres = number of passengers transported x distance travelled in kilometres

Operating performance, U-Bahn and bus

GRI 203-1

U-Bahn	2020	2019	2018
Kilometres per unit in service ² (in thousand)	98,020	94,915	90,071
Kilometres per space ^{1,2} (in million)	9,198	8,933	8,556
Total track length ² (km)	105.8	105.8	105.8
Number of lines	4	4	4
Number of stations ²	93	93	92
Average travel speed (km/h) ²	33.1 ³	33.1	33.3
Bus	2020	2019	2018
Kilometres per unit in service (in thousand)	54,194	51,643	50,797
Kilometres per space ¹ (in million)	4,396	4,132	3,976
Total track length ⁴ (km)	944.1	964.0	938.0
Number of lines ⁴	119	114	113
Number of stations	1,425	1,402	1,353
Average travel speed (km/h)	18.8	18.7	18.7

¹ Standing room calculated at 0.25m² per person

² Including Verkehrsgesellschaft Norderstedt mbH

³ Most popular line, U1: 35.6 km/h

⁴ Regular services as per Section 42 of the German Public Transport Act (Personenbeförderungsgesetz - PBefG), Line 380 (Arena Shuttle) not included

+ More information on capital expenditures in the U-Bahn and Bus divisions is provided in section 12 of the HOCHBAHN Management Report.

Access to local public transport¹

	Scope	2020 ³	2019 ⁴	2018 ⁴
Million residents with direct access to local public transport ²	HOCHBAHN	1.528	1.529	1.509
Share of residents with direct access to local public transport (in %) ²	HOCHBAHN	80.7	81.1	80.6

¹ Direct access within stop catchment areas (according to VDV publication 4, air line distance): U-Bahn: 600m; Bus: 400m

² Address-specific resident data as at 31.12. of the previous year (Source: Statistical Office North)

³ Slight reduction in population coverage, due in part to changes in route concessions (HOCHBAHN vs. VHH), changes in stop locations, and changes in distribution of residents

⁴ Deviations from the previous year's report: change in calculation method from network-based approach to air line distance (better comparability); more recent population figures for 2019

Modernisation and maintenance of the existing network

HOCHBAHN expects passenger number to reach the 2019 pre-crisis level by the mid-2020s at the latest. The existing U-Bahn network must therefore be expanded in an efficient, stable and reliable way. As passenger numbers rise, the focus will shift back to increasing the frequency of the U-Bahn service. This means that the coming years will be used to maintain the existing network and upgrade its technology and construction. This is also in line with the planning for the implementation of the "Hamburg-Takt", which is intended to create the infrastructure-related prerequisites for expanding bus and rail services in the first half of the decade.

Renovation of the existing depots to cater to e-mobility requirements, also taking hydrogen into account, will be advanced further so that the gradual transition to locally emission-free buses will continue. In 2020, HOCHBAHN started to plan a new bus depot in Meiendorf. HOCHBAHN is also pushing ahead with the expansion of the bus infrastructure on the roads by means of new stops, routes, priority switching at traffic lights, and modernising and expanding transfer facilities. The year 2020 also saw the new U-Bahn workshop in Billstedt commencing operations.

Barrier-free upgrading of U-Bahn stations

The barrier-free upgrading of U-Bahn stations fulfils the legal mandate concerning integration and will be instrumental in the development of high-quality mobility. Lifts and level access to the U-Bahn unit will make it much easier particularly for older people, parents with buggies and passengers with luggage to use public transport, which in turn will lead to greater acceptance of this mobility option.

In an upgrade programme coordinated with the City of Hamburg, it was decided in 2011 to make all U-Bahn stations completely barrier-free by 2025. HOCHBAHN is implementing these modifications, which include installing lifts from street level down to platform level, (partly) raising platforms and installing guidance systems for the blind. On the basis of feasibility studies, a preferred option for the upgrade was identified for each station and the order of the station upgrade was determined. HOCHBAHN has coordinated the plans with the disability organisations, the Office for the Protection of Historical Monuments in some cases, the competent district authorities and, if necessary, with the Chief Planning Director.

Barrier-free U-Bahn stations

	2020	2019	2018
Number of newly upgraded barrier-free stations	4	6	7
Proportion of barrier-free stations (in %)	88	84	77

In 2020, the Landungsbrücken, Klein Borstel, Fuhlsbüttel Nord and Straßburger Straße stations were upgraded to facilitate barrier-free access. Building work on the Steinstraße, Jungfernstieg, Mönckebergstraße and Rathaus stations has begun. It is envisaged that all stations with the exception of Sternschanze will be barrier-free by 2025. New construction outside of the barrier-free upgrade programme is currently being planned for the Sternschanze station but is not expected to take place until the second half of the 2020s.



See also the Annual and Sustainability Report, p. 32.

Expansion of the U-Bahn network

Since the rapid transit system, along with buses and ferries, forms the backbone of the “Hamburg-Takt”, the expansion of the U-Bahn network is one of HOCHBAHN’s and the City of Hamburg’s core projects. The new U5 line will connect 150,000 residents of Hamburg to the U-Bahn network for the first time. For more information, please also refer to the section on the new U5 line on p. 20 of the Annual and Sustainability Report. The table below provides an overview of the main expansion projects.

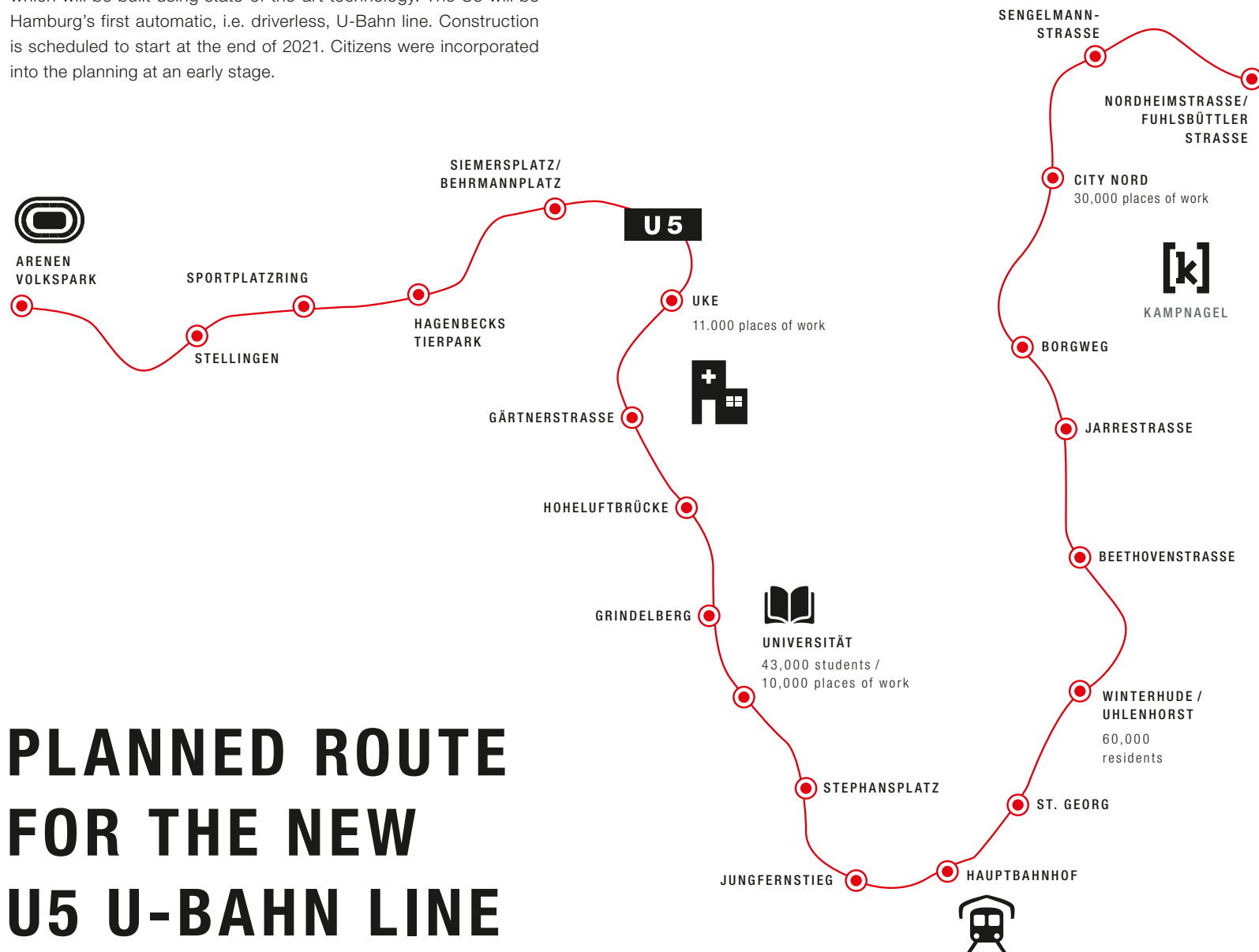


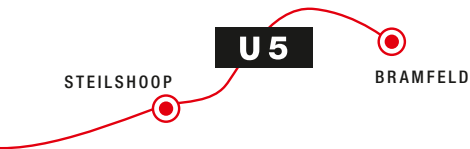
More details on the current status are provided in HOCHBAHN’s Management Report, p.19

Overview of U-Bahn network expansion

U-Bahn	New stations	Overview	Citizen participation
Expansion of the U4 line to Horner Geest	Stoltenstraße, Horner Geest	The U4 line will be extended to Horner Geest with two new stops. This will give around 13,000 people a U-Bahn stop in close proximity. After preparatory construction work was carried out in 2020, construction officially started in February 2021. See also the Annual and Sustainability Report, p. 24	<ul style="list-style-type: none"> • U4 newsletter launched on 22.05.2020 • U4 consultation hours in summer 2020 • Construction site visits with residents on 25.09.2020 • Theater tours Horn to go: 13.08, 14.08, 20.08, 21.08, 27.08, 28.08, 29.08.2020 • Concept development, school cooperation “U4 macht Schule” and getting to know the first U4 school class
Extension of the U4 to Grasbrook “Jump across the Elbe”	Moldauhafen (Working title)	The U4 will be extended beyond the Elbbrücken stop to Grasbrook and will stop above Moldauhafen in the future. This will connect the newly emerging district and the northern Veddel with the centre. As in HafenCity, the U-Bahn is being built at the same time as the new district. See also the Annual and Sustainability Report, p. 26	<ul style="list-style-type: none"> • Online dialogue: 16.11.- 14.12.2020 on the topic: design of the station
New construction of U5 – eastern section: Bramfeld – City Nord	Bramfeld, Steilshoop, Fuhlsbüttler Straße/ Nordheimstraße, Sengelmannstraße, City Nord	The U5 section from Bramfeld to City Nord is currently in the planning approval process. The goal is to start construction at the end of 2021. Further construction toward the city centre is expected to begin in the mid-2020s.	<ul style="list-style-type: none"> • Numerous discussions with citizens and other stakeholders.
U5 central section: Borgweg to Stellingen	Borgweg, Jarrestraße, Beethovenstraße, Uhlenhorst, St. Georg, Hauptbahnhof, Jungfernstieg, Stephansplatz, Universität, Grindelberg, Hoheluftbrücke, Gärtnerstraße, UKE, Siemersplatz/Behrmanplatz, Hagenbecks Tierpark, Sportplatzring, Stellingen, Arenen Volkspark	The central section of the U5 runs from Borgweg to Arenen Volkspark. It will connect the University Medical Center Hamburg-Eppendorf (UKE), the University, Kampnagel and many other important points in the city.	<p>Six online dialogues on the central section of U5:</p> <ul style="list-style-type: none"> • Siemersplatz/Behrmanplatz (17.03.-29.04.2020) • Gärtnerstraße (08.06.-20.07.2020) • Stephansplatz (15.06.-20.07.2020) • Hagenbecks Tierpark, Sportplatzring, Stellingen (24.08.-30.09.2020)
U3 Fuhlsbüttler Straße	Fuhlsbüttler Straße	The new U3 stop at Fuhlsbüttler Straße will give around 10,000 residents direct access to rapid transit. See also the Annual and Sustainability Report, p. 28	<ul style="list-style-type: none"> • 5th online dialogue: 21.10–25.11.2020

The map below shows the route for the new U5 line that will transport large numbers of people from one side of the city to the other. There are plans to install 23 new stations on the approximately 24-kilometre-long route. Each working day, some 300,000 people will use the new line, which will be built using state-of-the-art technology. The U5 will be Hamburg's first automatic, i.e. driverless, U-Bahn line. Construction is scheduled to start at the end of 2021. Citizens were incorporated into the planning at an early stage.





Planning status as of December 2020

Citizen participation

GRI 102-43, 103/413, 413-1

Since 2016, the Citizen Participation staff unit has acted as an interface between the public and HOCHBAHN, ensuring that people who are affected by HOCHBAHN's projects and building work are briefed and heard. The main objectives of citizen participation are informing, facilitating participation and connecting stakeholders while taking into account the different interests, also with a view to identifying any potential conflicts and averting or de-escalating them as required.

HOCHBAHN considers citizens to be experts in their own city (or district) and makes use of direct communication, transparency and continuous dialogue to raise acceptance of the (construction) projects among the population. Intensive integration of underrepresented groups such as disability organisations helps to increase social justice.

Over time, the range of tasks falling within the remit of the Citizen Participation staff unit has grown beyond U-Bahn network expansion. Stakeholder management is now also being undertaken in projects such as upgrading of the U3 city centre stations to enable barrier-free access or construction of the new bus depot in Meiendorf. Furthermore, the Citizen Participation staff unit also advises the Hamburg Regulatory Sandbox and HEAT¹ projects on citizen participation issues in relation to new mobility models.

Citizen participation approach and formats

HOCHBAHN designates staff to be available to answer all questions on the different expansion projects. They are the go-to people for residents of the district seeking to voice concerns or make suggestions; they attend meetings of the district bodies and use this platform to disseminate information about the projects in the districts. Suggestions and alternatives are examined wherever possible. Another key element of citizen participation is the website schneller-durch-hamburg.de, which provides information on all projects to expand the U-Bahn network as well as on opportunities for participation and discussion, and thus opens up new opportunities for interested people to get involved digitally.

Key figures of the schneller-durch-hamburg.de website in 2020

→ Page clicks	345,000 page views and website visits 61,000 users
→ Online dialogues	Eight dialogues with a total of 753 contributions
→ "Praise and criticism" section	53 questions (and answers) plus approx. 120–130 further comments/questions under the texts on all topics

Additional formats implemented in 2020:

- Initiation of the school collaboration project "U4 macht Schule": cooperation with first class pupils from Schule am Pachthof, which will implement learning units and projects on the environment, transport and sustainability over the next four years with external workshop leaders and trainers.
- Postcard campaigns for customers
- Roll-out of the "U4-Baustellenkompass" on the website to give residents information about work taking place on the line
- Launch of the U4 newsletter in May with 532 recipients (202 new recipients have been added since the launch date)

¹ HEAT: Hamburg Electric Autonomous Transportation is a research and development project in which HOCHBAHN and other partners are testing the first automated minibus running in Hamburg's local public transport system. For more information on HEAT, see the Annual and Sustainability Report, p. 71.

High-quality mobility for all

The main goal of the “Hamburg-Takt” is to encourage people to switch from private car use to public transport, i.e. to attract as many passengers as possible and bring about a shift towards environmentally friendly modes of transport in the long term. The “Hamburg-Takt” is therefore making the biggest contribution to the mobility transformation and achievement of the city’s climate targets. The paradigm shift to supply-focused action anchored in the “Hamburg-Takt” is centred on the philosophy that mobility services must be geared to people and their continually changing needs. In addition to expansion of the offering and integration of new mobility solutions, this relates to the quality of the offerings and the service that decisively shape the customer experience.

HOCHBAHN engages with its customers through various analogue and digital channels. It uses the feedback and concerns expressed to make continuous improvements in the range of services it offers. In addition to provision of a reliable on-the-spot service, taking advantage of the opportunities that digitalisation offers is particularly important in this regard, with new service and sales models being developed alongside analogue ones. At the same time, HOCHBAHN uses its quality management system to record and manage key performance indicators so that it can provide its customers with a high-quality, reliable mobility service.

Customer engagement

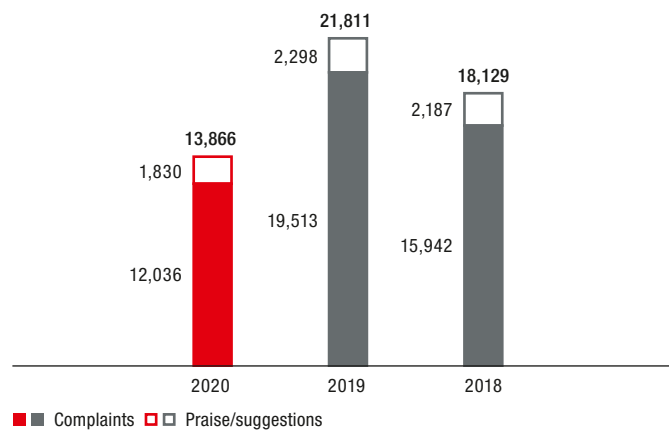
GRI 102-43

HOCHBAHN’s customers have many points of contact with the company, including the following:

- Staff in the vehicles (bus and U-Bahn drivers, HOCHBAHN-Wache employees)
- HOCHBAHN’s own service points (with around 950,000 customers in 2019 and approximately 620,500 in 2020)
- The HVV hotline number 19449 (around 450,000 calls in 2019 and around 390,000 calls in 2020)
- Support of regular customers on social media platforms (Facebook, Twitter, YouTube, HOCHBAHN blog)
- Advertisements, flyers, posters and passenger TV in the U-Bahn trains
- Customer engagement

HOCHBAHN pursues an active approach to customer engagement. Customer feedback, be it positive or negative, is explicitly requested. The company views complaints and criticism in particular as an opportunity to improve its services. HOCHBAHN provides several communication channels (including telephone, e-mail, website) for such purposes and specifically makes reference to these online, on flyers and posters, on information brochures for residents and through dissemination by bus drivers. In telephone conversations and in written responses to complaints, it is also expressly pointed out that customers should get in touch again if they are not satisfied with HOCHBAHN’s services and/or would like to make suggestions or even share positive experiences. In addition to direct contact, customer concerns concerning HOCHBAHN are forwarded daily by HVV’s Customer Engagement department for response. HOCHBAHN’s social media editorial team also forwards any complaints made in the customer feedback that it processed for inclusion in the statistics. In addition, it refers all personnel-related complaints directly to Customer Engagement.

Customer concerns received by HOCHBAHN’s Customer Engagement department



The figures for 2020 reflect the sharp drop in passenger numbers in the year under review owing to the coronavirus pandemic. In the 2020 calendar year, HOCHBAHN’s Customer Engagement department received 3,043 concerns in connection with Covid-19, mainly relating to compliance with and monitoring of mask-wearing requirements, ventilation of the vehicles and other hygiene measures.

In accordance with a target set by HVV, customers of the Hamburg transport companies should receive a response to their concern within 14 days. The average response to a customer concern in HOCHBAHN's Customer Engagement department was one day in 2020 (6.2 days in 2019 and 3.3 days in 2018) due to declining passenger numbers and the related drop in the number of complaints.

Customer feedback is analysed on a monthly basis and is included in various reports and evaluations, among them the quality and customer engagement reports. Here, the Customer Engagement department supplies the necessary data and the operating and sales units then have the task of developing and implementing appropriate measures.

Customer satisfaction

Since 2002, HOCHBAHN has regularly conducted surveys to determine the level of satisfaction of its customers. Since 2014, the survey has been carried out every two years. The one planned for 2020 was postponed until autumn 2021 due to the coronavirus pandemic and to the survey being redesigned. From this year forward, the data will once again be collected on a yearly basis.

A look at the data from 2018 shows that satisfaction with the bus and train service remains high, but has fallen slightly. As regards the individual performance characteristics measured (condition of vehicles, speed, punctuality, frequency of trips, travel comfort and seating capacity), satisfaction with seating capacity had decreased somewhat in recent years up to 2018, due in particular to rising passenger numbers. By contrast, the speed and punctuality of the U-Bahn consistently achieved higher-than-average ratings, as did the speed, condition of vehicles and travel comfort of the buses.

Satisfaction of HOCHBAHN customers

Customer satisfaction	Unit	2018 ²	2016	2014
Satisfaction, U-Bahn	(Rating 1–5) ¹	2.0	2.0	1.9
Satisfaction, bus	(Rating 1–5)	2.4	2.3	2.3
Satisfaction, car	(Rating 1–5)	3.2	3.1	3.1

¹ Rating scale: 1 = very satisfied; 5 = very dissatisfied

² In 2018, 3,033 interviews were conducted with HOCHBAHN customers (1,677 HOCHBAHN bus and 1,356 U-Bahn customers) who were recruited in vehicles and at stops for approximately 30-minute interviews (1,776 CATI telephone interviews and 1,257 CAWI online interviews)

Customer service and sales

Sales activities are designed to attract new customers and, where possible, tie in with high-quality, innovative products in the long term so that passengers are always offered the ticket that meets their requirements – wherever they want and with maximum convenience. Personalised on-the-spot customer support is key here, as is an intuitive digital service experience tailored to customers' needs. Especially given the decline in passenger numbers as a consequence of the coronavirus pandemic, digitalising fares and sales and increasing their flexibility is an important tool in maintaining customers' loyalty to the local public transport system. The option to pause subscriptions until the end of August 2020 successfully counteracted the large number of subscription cancellations. The value of the subscription was enhanced with the "Share your Abo" (Share your subscription) campaign. Another action was the introduction of the summer ticket, a daily ticket offered at a discount price. This was closely tied in with the launch of the hvv switch app, the central mobility platform for Hamburg.

For more information about hvv switch, see the section entitled Integrated mobility solutions, p. 24

Service points

The seven HVV service points operated by HOCHBAHN are the first stop for customers when it comes to issues relating to HVV season tickets, ticket sales, timetable information, acceptance of higher fares or other questions relating to HVV. The priority here is providing high-quality customer support with the goal of ensuring passengers' long-time loyalty to local public transport. HOCHBAHN employees receive encouragement and support through seminars on specific topics as well as technical and communicative supervision in the workplace.

HOCHBAHN staff are available to assist customers at the Hauptbahnhof Süd, Johanniswall, Jungfernstieg, Barmbek, Wandsbek Markt, Berliner Tor and Billstedt service points. Due to the low customer footfall as a result of the pandemic, the Berliner Tor and Jungfernstieg service points are currently closed, and all other service points have reduced opening hours. To be able to offer customer service in keeping with the times, the service points will be successively transformed based on the "service point of the future" model. A total of 31 partners provide support throughout the area covered by HVV, supplementing the HVV service points operated by HOCHBAHN.

Self-service terminals

HOCHBAHN aims to replace 200 of the current ticket machines with state-of-the-art self-service terminals by summer 2021. User-friendly and providing several payment options, these terminals will also display a large-format map to facilitate the selection of destinations. The self-service terminals build an important bridge between personal ticket office sales and the use of mobile devices. What is more, they will further reduce the barriers to accessing Hamburg's local public transport system.

After extensive testing by users at a total of eight stations throughout the U-Bahn network, including Kellinghusenstraße, Ohlsdorf and Horner Rennbahn, the new generation of ticket machines has been in regular operation since September 2020. Stations on the U3 and U4 lines were fitted out during the initial roll-out. Starting in April 2021 it was the turn of the U2 line, with the U1 line to follow. By September 2021, at least one self-service terminal will be installed at all U-Bahn stations. HOCHBAHN has put further free-standing self-service terminals into operation as cash-less versions at the HVV service points at the Hauptbahnhof and Barmbek stations. When the renovation of the HVV customer centre at Johanniswall is completed (scheduled for May 2021), terminals will also be installed there.

Check In/Be Out project as part of a fare network

The Check In/Be Out (CIBO) project jointly led by HVV and HOCHBAHN, will enhance the functionality of the mobile ticketing sales channel. This aims to greatly simplify one of the major barriers to accessing the local public transport system arising from the complexity of the fare system: purchasing a valid ticket.

Up to now, customers have had to specify how far they are travelling and know how long the journey will take when selecting a fare. By contrast, the Check In/Be Out principle is based on users actively "checking in" using a smartphone app before getting on a bus or train or entering a stop or station. After the user has checked in, the trips will be captured via the smartphone and combined into travel routes in accordance with the applicable fare conditions. These will then be allocated to fares based on further conditions entered (e.g. information on whether additional adults or children are being taken along): the amount corresponding to the sum of all trips will be charged automatically at the end of the day on which the trips are taken.

The rollout of the new system is expected to add significant value for passengers when using public transport in the HVV network.

According to the current schedule, CIBO will be officially unveiled at the ITS World Congress in October 2021. Integration of the Check in/Be out function into the hvv switch app is also progressing according to plan. Initial integration tests began in March 2021.

Quality management

The quality management system serves as a central management tool for HOCHBAHN. Among other things, it is guided by the quality criteria set out in DIN EN 13816, the European standard for demonstrating the quality of service of transport companies in public passenger transport.

HOCHBAHN continuously records the key indicators relating to quality criteria and measures them against targets. The most important characteristics that are indicative of quality are punctuality, availability, accessibility, information, customer service, comfort and safety.

Trip availability and punctuality improved in 2020 due in part to the coronavirus pandemic and the drop in passenger numbers. On U-Bahn and bus journeys there were fewer delays caused by passengers boarding and alighting. The lower volume of traffic on the roads also had a positive effect on punctuality in bus journeys.

Trip availability and punctuality of U-Bahn and bus in %

Indicator	Scope	2020	2019	2018
Trip availability, U-Bahn ¹	HOCHBAHN	99.8	99.8	99.8
Punctuality, U-Bahn ²	HOCHBAHN	98.7	98.0	97.6
Trip availability, Bus ¹	HOCHBAHN	99.8	99.6	99.6
Punctuality, Bus ³	HOCHBAHN	96.2	93.2	93.9

¹ Trip availability corresponds to the ratio of actual departures to planned departures

² A trip is considered late if it is more than 3 minutes delayed

³ A trip is considered late if it is more than 5 minutes delayed

The relevant divisions at HOCHBAHN receive monthly briefings on key quality indicators for steering purposes. The corresponding data is also evaluated further in the quarterly report. In addition, key indicators are presented in notices that are updated each month.

HOCHBAHN is planning to restructure its quality management system in 2021. Additional quality characteristics will be added such as the quality of the services (range of connections, expansion of the local public transport network, new forms of mobility). The “customer perspective” will also be consistently and systematically integrated into the quality management system to make it easier to compare operational quality with the feedback obtained from Customer Engagement and through the customer satisfaction survey. All things considered, the overall system will be better aligned with the needs of (potential) users in keeping with the aims of the “Hamburg-Takt”.

Customer safety

GRI 103/416, 416-1

HOCHBAHN has put a variety of measures in place to ensure the safety of its customers. These extend to all HOCHBAHN mobility services, bus and U-Bahn vehicles and their stops, and include technical safety measures (such as safety markings and escape routes), communication and information systems (such as CCTV and emergency phones) as well as the deployment of staff on site. The staff of HOCHBAHN-Wache, HOCHBAHN’s security service, are responsible for the safety of customers across the HOCHBAHN network.

Hamburg HOCHBAHN-Wache maintains security offices at three central locations where passengers can obtain help and information. The offices are at Hauptbahnhof Nord, Hauptbahnhof Süd and Jungfernstieg, and are normally manned from 8am to midnight. The HOCHBAHN-Wache operations centre carries out video surveillance of the U-Bahn stations 24 hours a day, seven days a week.

The senior security officers working in the operations centre coordinate the on-site security personnel and support them in their work.

The partnership between the police, local authorities and transport companies in Hamburg also plays a decisive role in ensuring the safety of HOCHBAHN customers. Members of the “HVV Safety Partnership”, which has been in place since 2011 and includes the state police, the federal police and the security personnel of the transport companies, regularly carry out a range of measures designed to increase passengers’ sense of safety both onboard and at the HVV stops. These include tactical operations as well as carrying out regular patrols and providing security support for many of the large events held in Hamburg.



Measures taken during the Covid pandemic

To offer passengers the level of service to which they are accustomed and provide a high degree of reliability and safety at a time of widespread uncertainty during the Covid crisis, HOCHBAHN put in place an anti-Covid package comprising extensive measures at very short notice to protect for passengers and all of its employees. These include stepping up night-time cleaning services on buses and trains, deploying hygiene teams in daily operations and implementing mandatory mask-wearing in local public transport. Furthermore, boarding at the front has been suspended on all buses pending the installation of dividers, and most of the U-Bahn doors open automatically when the train is on the platform.

Coronavirus signposting was introduced at selected U-Bahn stations for better passenger guidance. The positively measurable effects led to adoption by the S-Bahn in Hamburg and other cities in Germany. The idea of having common signs and uniform customer information will be implemented and refined in 2021 in a pilot project involving several transport companies, the “innovation stop” at Dammtor/Stephansplatz. It corresponds to the central one-face-to-the-customer idea of the “Hamburg-Takt” with regard to service in public transport.

Integrated mobility solutions

As a driver of sustainable mobility in Hamburg, HOCHBAHN is expanding its core business to include complementary intuitive mobility services. HOCHBAHN plans to combine its regular public transport services with new mobility services to create a coherent product range that is easy and convenient to use. This mobility transformation will only become a reality, however, if the current public transport system is aligned very closely with the new public mobility services. The hvv switch platform offers passengers in Hamburg a multimodal service that adapts to their individual mobility needs and will therefore play a decisive role in the implementation of the mobility transformation. The Kellinghusenstraße switch point shows how cycling, public transport and vehicle sharing services will be linked in the future.

hvv switch app

At the end of June 2020, HOCHBAHN launched the hvv switch app and simultaneously replaced the switch brand with hvv switch. The new application is at the heart of the Hamburg-Takt strategy. In the future, it will make all of the city's mobility services available digitally via a single app. This will then connect traditional public transport services with other sharing services.

At the moment, customers can use hvv switch to book both HVV tickets and MOIA mobility services and from May onwards also SIXT share services. The hvv switch app has also been linked with Google Maps so that Google Maps users can buy the ticket they need directly in the app. At the same time, real-time information about the HOCHBAHN buses is being integrated into the map view of Google Maps so that users can track the location of vehicles at any time.

The next mobility partners to be included in hvv switch will be MILES Mobility (car and van sharing), TIER (e-scooter provider), SHARE NOW (carsharing), WeShare (carsharing), StadtRAD (bicycle rental), Hansa Taxi (taxi) and Cambio (carsharing).



hvv switch app

Current as of 27.01.2021

almost 70,000

app installations

over 600,000

euros in sales with HVV tickets

over 50,000

registrations

4.4 out of 5 stars

in the AppStore

almost 170,000

HVV tickets sold

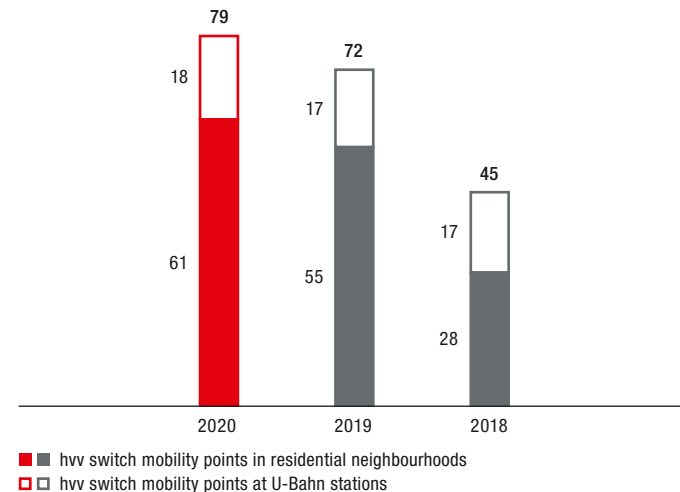
4.0 out of 5 stars

in the PlayStore

hvv switch points

As well as being a key part of the digital mobility platform, the hvv switch concept is based on a network of mobility service points that bring together various complementary services, such as car and bike sharing, in one place: the hvv switch points.

hvv switch points



For more information, see the Annual and Sustainability Report, p. 66

In 2013, HOCHBAHN set up the first hvv switch point at the Berliner Tor U- and S-Bahn stop, thereby adding mobility services to its range of regular public transport services for the very first time. car2go and Europcar were the first two providers on board, but DriveNow, cambio and StadtRAD followed soon after to supplement bus, train and ferry services.

There are currently 79 hvv switch points, 18 of which are located at U-Bahn and S-Bahn stops in Hamburg, plus 61 points located away from regular public transport stops in the city districts. The current hvv switch point network has a total capacity of 390 parking spaces. The Free and Hanseatic City of Hamburg is supporting the addition of further switch points at municipal railway stations and in local neighbourhoods.

At the moment, all users of the carsharing providers SHARE NOW, cambio and SIXT share can use the hvv switch points. Vehicles operated by these providers can also be parked there. As the scheme develops, other providers will be permitted to use the hvv switch points too.

Parking space sensors and electrification of the mobility points

All existing and planned hvv switch points have been and will be equipped with ground sensors to provide information on parking space availability via the hvv switch app in the future. The installation and digital integration of these parking space sensors at existing hvv switch points are being funded by the Federal Ministry of Transport and Digital Infrastructure as part of a research project. HOCHBAHN also intends to fit parking space sensors to new hvv switch points as part of this project.

The electrification of mobility points is also making good progress. In 2020, a green charging infrastructure was installed at the hvv switch points in Kellinghusenstraße, Christuskirche, Dammtor, Barmbek and Berliner Tor. The charging stations can only be used to charge vehicles belonging to hvv switch's car-sharing partners. To avoid confusion with the public charging infrastructure, the charging stations have special branding. By mid-2022, 38 charging points should be available at hvv switch points.

Impact evaluation of TU Hamburg

As a reasonable number of standalone hvv switch points have been in operation for a while, it was possible to carry out an in-depth evaluation of their impact. The big question was whether and how standalone hvv switch points influence the choice of transportation and/or car ownership levels of residents in the area. Technical University of Hamburg conducted and evaluated a representative online survey between November 2019 and March 2020 on this topic.

The results of the survey show that the standalone hvv switch points have an extremely positive effect on the mobility behaviour of users. Regular users of standalone hvv switch points are much more likely to do without their cars – or even to avoid buying a car altogether and to rely on more environmentally-friendly modes of transport (public transport, cycling, walking) for their daily travel needs. It is clear that the principle of linking different mobility services is very effective. Not only does it have a beneficial effect on the city of Hamburg but it also helps to strengthen HOCHBAHN's core business. To further enhance these benefits, the study recommends continuing along the same path and expanding the hvv switch point system.



For more information on the impact evaluation of TU Hamburg, see the Annual and Sustainability Report, p. 69.

Climate protection and reduction of emissions

GRI 102-11, 103/305

After the energy sector and manufacturing industries, the transport sector is the third largest source of greenhouse gas emissions in Germany, responsible for about 20 percent of all carbon emissions. While other sectors have achieved significant reductions in their emissions since 1990, emissions from transport have increased slightly over the same period.¹ According to the carbon footprint for Hamburg, the mobility sector was responsible for around 28.3 percent of the city's carbon emissions in 2017.²

HOCHBAHN's climate protection programme is based on the City of Hamburg's Climate Plan and the Hamburg Climate Protection Act (for more information, see the section on Sustainable corporate strategy on page 8).

Minimising the emissions of its business activities has been one of HOCHBAHN's top sustainability goals since 2018. By adopting its "Climate Neutrality 2030" target in 2019, HOCHBAHN underlined its ambitions and contribution to complying with the Paris Agreement and the City of Hamburg's CO₂ reduction target. By 2030, HOCHBAHN will reduce its direct (Scope 1) and indirect (Scope 2) greenhouse gas emissions to zero. Any remaining carbon quantities that cannot be completely avoided in any other way will be made climate-neutral from 2030 onwards by means of compensation measures.

Its most important measures include the procurement of zero-emission buses for local routes and the purchase of high-quality certified green electricity. Additional potential lies in converting the company's vehicle fleet to zero-emission and reducing the emissions of the systems used to heat and cool the company's operational and administrative buildings.

In addition, HOCHBAHN plans to analyse the indirect emissions from upstream and downstream processes (Scope 3) and to review their additional savings potential.

As a member of the Hamburg Environmental Partnership since 2007, HOCHBAHN has been committed to complying with legal regulations and obligations and to the continued implementation of voluntary corporate environmental and climate protection.

Moreover, since signing the climate partner agreement ("climate partnership") in 2018, HOCHBAHN has been committed to supporting the goals of the Hamburg Climate Plan by

- establishing and further developing the company's own climate protection strategies,
- carrying out an annual assessment of all carbon reduction activities,
- making its climate protection strategy and carbon footprint information available to the Climate Control Centre of the Hamburg Environmental Authority (BUKEA),
- purchasing green electricity, with a particularly rigorous certification whenever possible, and
- carrying out an energy audit.

¹ Climate action goals of the German federal government ([bundesregierung.de](https://www.bundesregierung.de)) and German Advisory Council on the Environment (2017 Special Report) – A change of course is needed: climate protection in the transport sector ([umweltat.de](https://www.umweltat.de))

² Hamburg Climate – ([hamburg.de](https://www.hamburg.de))

HOCHBAHN'S carbon footprint

HOCHBAHN has been calculating its carbon footprint for Scope 1 and Scope 2 emissions since 2019. Scope 1 includes all direct emissions from the combustion processes of stationary and mobile facilities and direct fugitive gas emissions. Scope 2 includes indirect emissions from purchased electricity, district heating and hydrogen.

Although HOCHBAHN managed to expand its services by 4.1 percent, or around 530 million space kilometres, compared to the previous year, its carbon footprint including FFG was only 0.1 percent higher (107.9 tonnes of CO₂).

HOCHBAHN carbon footprint¹ in t of CO₂

GRI 305-1, 305-2, 305-5

Emissions	Scope ²	2020 ³	2019 ⁴	Change	
				absolute	%
Scope 1	HOCHBAHN, FFG	72,849.9	72,700.9	149.0	0.2
of which diesel (bus fleet)	HOCHBAHN	65,525.5	66,342.6	-817.1	-1.2
of which refrigerants (bus fleet)	HOCHBAHN	1,917.5	1,763.7	153.8	8.7
of which natural gas (heating of buildings)	HOCHBAHN, FFG	1,680.0	1,612.9	67.1	4.2
of which heating oil (bus fleet)	HOCHBAHN	1,586.9	1,434.1	152.8	10.7
of which insulating gases (U-Bahn fleet & switchgear)	HOCHBAHN	1,110.7	477.9	632.8	132.4
of which diesel + petrol (company and service vehicles)	HOCHBAHN, FFG	587.4	674.4	-86.9	-12.9
of which refrigerants (buildings)	HOCHBAHN	245.7	217.9	27.8	12.8
of which heating oil (heating of buildings)	HOCHBAHN	65.7	49.6	16.1	32.4
of which natural gas (mechanics)	HOCHBAHN	64.5	69.0	-4.5	-6.6
of which refrigerants (U-Bahn fleet)	HOCHBAHN	60.7	49.4	11.3	22.9
of which diesel (shunters)	HOCHBAHN	3.7	7.1	-3.4	-47.9
of which heating oil (emergency power systems)	HOCHBAHN	1.6	2.4	-0.7	-31.1
Scope 2	HOCHBAHN, FFG	3,083.6	3,124.8	-41.2	-1.3
of which electricity (market-based) ⁵	HOCHBAHN, FFG	0.0	0.0	0.0	0.0
of which district heating	HOCHBAHN, FFG	3,004.6	3,005.5	-0.9	0.0
of which hydrogen	HOCHBAHN	51.4	59.2	-7.8	-13.2
of which electricity (location-based) ⁶	HOCHBAHN	27.7	60.1	-32.4	-54.0
Scope 1 + 2	HOCHBAHN, FFG	75,933.5	75,825.7	107.9	0.1

¹ Recorded since 2019. Emission factors of the Department of the Environment, Climate, Energy and Agriculture (current as of June 2020)

Exceptions:

- Refrigerants and insulating gases: Emission factors of the Intergovernmental Panel on Climate Change (5th Assessment Report)
- Hydrogen: 13.62 kg of CO₂e per kg hydrogen based on current sourcing (by-product of chlor-alkali electrolysis)

² including JASPER and Süderelbe Bus GmbH

³ Provisional figures for electricity (400 V), natural gas (heating of buildings) and heating oil (heating of buildings)

⁴ updated figures

⁵ Climate neutral by purchasing high-quality green electricity from unsubsidised renewable energy plants with a plant age of 6 years or less (market-based approach); using regional emission factors (location-based approach). Scope 2 emissions from electricity sourcing were 73,926 metric tons of CO₂ in 2020 (2019: 74,226)

⁶ From existing contracts of the subsidiaries integrated in 2020. The last separate contract ended on 31.7.2020. It concerned the Heikenaukamp delivery point.

The emissions responsible for the carbon footprint originate largely from two sources of activity data: energy consumption data and fugitive gas loss data.

The main changes in energy consumption are described on p. 32 of the section on Renewable energies and energy efficiency. The 3.3 GWh reduction in the diesel consumption of the bus fleet has reduced the amount of carbon produced from this source by 817 tonnes. The reduction in the fuel consumption of HOCHBAHN's company and service vehicles has cut carbon emissions by around 87 tonnes (12.9 percent). Significant additional emissions arising from power consumption can be attributed mainly to the increased consumption of heating oil for the bus fleet (152.8 tonnes of CO₂ or 10.7 percent) and natural gas for heating buildings (67.1 tonnes of CO₂ or 4.2 percent).

An increase in fugitive gas losses has led to a rise in emissions from insulating gases (U-Bahn fleet & switchgear) of 632.8 tonnes CO₂e¹ or 132.4 percent. This is due largely to the repair work carried out in 2020 on the power electronics of U-Bahn rolling stock, which led to an increase in the insulating gas FC-72. FC-72 is used in the first and second series of DT4 U-Bahn rolling stock, which make up 41 of HOCHBAHN's 126 rolling stock.

Another major source of emissions is refrigerant loss from vehicle air conditioning systems. This was responsible for an increase in the emissions of the bus fleet of 153.8 tonnes of CO₂e or 8.7 percent compared to the previous year. Over the same period, the equivalent emissions of the U-Bahn fleet rose by 11.3 tonnes of CO₂e or 22.9 percent.

Carbon emission intensity

GRI 305-4

	2020 ¹	2019 ²	Change		2018
			absolute	%	
U-Bahn					
Specific carbon emissions (in g/kilometre per space) ^{3, 4, 5}	0.0	0.0	0.0		6.0
Specific carbon emissions (in g/passenger kilometre) ^{3, 4, 5}	0.0	0.0	0.0		34.3
Bus⁶					
Specific carbon emissions (in g/kilometre per space) ^{3, 4, 5, 7}	14.9	16.1	-1.2	-7.2	16.7
Specific carbon emissions (in g/passenger kilometre) ^{3, 4, 5, 7}	139.6	98.2	41.4	42.1	101.6

¹ provisional figures

² updated figures

³ Related to the vehicle drive without considering the upstream chain

⁴ Emission factors for calculating the reduction in carbon emissions under the Hamburg Climate Plan; made available by the Department of the Environment, Climate, Energy and Agriculture (current as of June 2020).

⁵ Starting with the 2019 reporting year, the emission factor of 0 g CO₂ per kWh was calculated on the assumption that operation is exclusively based on track power and charge current generated by non-subsidised renewable energy plants with a maximum plant age of 6 years.

⁶ Based on timetable data of the concession of HOCHBAHN

⁷ Sum of diesel, charge current and hydrogen including JASPER and Süderelbe Bus GmbH

Once again, total electric bus charge current almost trebled year-on-year, now accounting for 1 percent of the bus fleet's overall drive system energy consumption. Adopting the same strategy as for the U-Bahn system, the continued, exclusive purchasing of high-quality certified green electricity again reduces carbon emissions for this portion of bus drive power to 0.0 g of CO₂ per kilometre per space/passenger kilometre.

¹ For better comparability, emissions of greenhouse gases other than CO₂ are converted into CO₂ equivalents (CO₂-e) based on their impact on the climate.

Comparing the development of energy consumption figures with the development of the bus fleet's carbon emissions reveals similar trends: While carbon emissions decreased by 7.2 percent per kilometre per space, they rose by 42.1 percent in terms of passenger kilometres. The specific energy consumption of the different modes of transport is described on p. 34 in the section on Renewable energies and energy efficiency.

However, due to the progressive exchange of drive systems, the carbon trend values were lower than the energy efficiency trends. HOCHBAHN intends to increase its overall fleet of electric buses to more than 100 vehicles by the end of 2021 while maintaining the quality of electricity.

Green electricity

Since January 2019, HOCHBAHN has been purchasing 100 percent high-quality, certified green electricity, which comes from non-subsidised renewable energy plants less than six years old. By doing this, HOCHBAHN is making a significant contribution to the cause of renewable energies. Its commitment to purchasing this quality of electricity exclusively has made it possible to maintain the specific carbon emissions of the U-Bahn at 0.0g per kilometre per space or passenger kilometre.

Company and service vehicles

HOCHBAHN's revised company car policy has stipulated zero-emission requirements for all company or service vehicles purchased since 1 January 2021. When replacing or purchasing new passenger cars or light commercial vehicles (< 3.2 t), zero-emission specification vehicles must always be selected. If in exceptional cases it is not possible to procure a purely electric vehicle, a hybrid vehicle (e.g. plug-in) should be selected. Any purchase of vehicles powered solely or predominantly by internal combustion engines (e.g. plug-in hybrids) must be justified and approved by the Management Board. Heavy goods vehicles (> 3.2 t) are currently also permitted as diesel variants due to the range limitations of alternatives. 21 percent of company and service vehicles (HOCHBAHN and FFG) are already purely electric.

Zero-emission buses

GRI 103/305

The City of Hamburg gave HOCHBAHN and all other Hamburg transport companies the political remit in 2012 of acquiring only locally emission-free buses from 2020 onwards. The plan is to operate the entire fleet on a zero-emission basis by the early 2030s. An interdisciplinary project management team capable of cross-departmental project organisation was installed by HOCHBAHN to enable the company to fulfil the mandate given to it by the City of Hamburg in a targeted manner. This team is responsible for achieving this target.

The future of vehicle procurement depends on the development of battery technology and the range of the electric vehicles they power. In 2014, HOCHBAHN started operating the 109 bus line as an "innovation line" in order to test vehicles with alternative drives (diesel hybrid buses, hydrogen hybrid buses, plug-in buses and, since 2016, battery-only buses) to gain experience of the different technologies under real-world conditions and to obtain useful information on the performance and day-to-day suitability under the equivalent operating conditions. HOCHBAHN's discussions with different bus manufacturers have therefore played a part in supporting the development of a market for zero-emission buses.

In light of this, HOCHBAHN procured and put into operation 30 battery-powered buses (20 Evobus and ten Solaris) in 2018 and 2019. A total of 30 more battery buses have been ordered for 2020, of which seven were delivered by the end of 2020. The outstanding 23 buses are scheduled for delivery in the first quarter of 2021. The company plans to order an additional 53 battery-powered buses for 2021. In 2020, HOCHBAHN saved a total of 1,459 tonnes of CO₂ by using zero-emission buses.

Moreover, HOCHBAHN successfully completed Germany's largest tender for electric buses in 2020. Three European manufacturers were awarded the contract to supply up to 530 zero-emission solo and articulated electric buses between 2021 and 2025. Alongside vehicles fitted with conventional lithium-ion batteries, the plan is to add vehicles with solid-state batteries to the fleet. When awarding the contract, the technical specifications of the battery buses were also defined. Depending on the manufacturer, the guaranteed range without charging will be between 150 and 200 kilometres for articulated buses and up to 270 kilometres for solo buses. By comparison, the solo buses currently operating in Hamburg have a range of 150 kilometres.

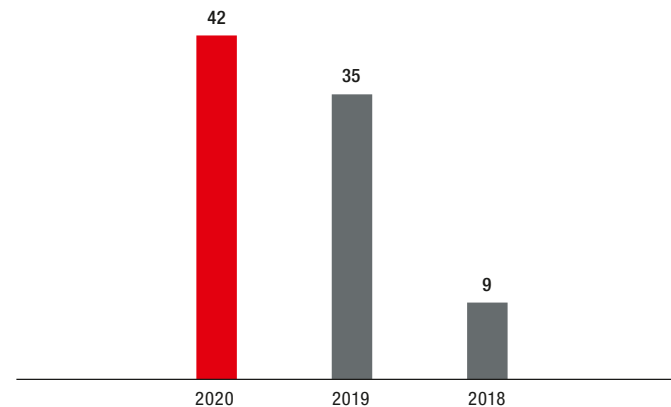
Fuel cell buses

For many years, fuel cell technology has been part of HOCHBAHN's strategy for converting its bus fleet to emission-free operation. And HOCHBAHN has many years of experience in hydrogen technology. Testing of hybrid fuel cell buses on the 109 "innovation line" began in 2014 and HOCHBAHN has working with the manufacturer to improve and develop them. This vehicle testing programme was successfully completed at the beginning of last year.

In August 2020, HOCHBAHN launched a tender for up to 50 fuel cell buses to be delivered between 2021 and 2025. The tender included both hybrid fuel cell buses and buses in which the fuel cell serves as a range extender. The tender required both of these variants as solo and articulated buses. The detailed tender specification included a minimum range requirement for the vehicles: 300 kilometres for solo buses and 230 kilometres for articulated buses. In HOCHBAHN's opinion, this marked a decisive step towards the deployment of production-ready hydrogen buses in Hamburg.

HOCHBAHN is reshaping its technology portfolio to include fuel cell buses alongside purely electric buses (which have a range of 150 to 270 kilometres depending on the generation) with a view to phasing out diesel buses and converting its entire fleet to zero-emission vehicles by the end of the decade. The particular advantage of the fuel cell lies in its high operational flexibility and range. The first production-ready battery buses equipped with range extender fuel cells are expected in the first half of 2022.

Zero-emission buses^{1, 2}



- ¹ This includes battery buses, 3 Solaris plug-in buses and
² REX fuel cell buses from the Innovation Line 109 project
² Scope: Group

In addition to vehicles, the HOCHBAHN infrastructure also needs to be equipped for a fleet comprising only electric-powered buses. Initial measures such as constructing charging facilities for e-buses, creating specialist roles in the workshop and providing staff with the necessary qualifications have already been implemented at the Alsterdorf and Hummelsbüttel depots. All production-ready battery-powered buses are currently stationed at these depots. Upgrading and expanding the existing capacity at the Hummelsbüttel depot was initiated in 2020. A total of 44 charging points are already available at the Alsterdorf depot. HOCHBAHN plans to increase this number by a further 96 by summer 2021. There are 43 charging points at the Hummelsbüttel depot, which is to be expanded to 68 charging points by the end of 2021. Other bus depots will follow gradually during this decade. The bus depots will be equipped to enable the use of buses running with fuel cell technology. In 2020, HOCHBAHN started to plan a new bus depot in Meiendorf.



For more information, see the Annual and Sustainability Report, p. 38

The development and enhancement of the digital infrastructure will also be an important component of smooth and efficient passenger operations. As part of these efforts, the existing depot management system (DMS) was converted into an e-DMS. In addition, a load and charge management system was developed to coordinate and optimise the electricity supply and charging processes. Both systems will be further expanded and optimised in the coming years.

Preventing air pollution

HOCHBAHN is doing its part to safeguard air quality by reducing its buses' emissions of nitrogen oxides and diesel soot particles. The bus fleet has been modernised continually in the past few years in order to improve its emissions performance. Low emissions were achieved by adopting a timely and targeted procurement policy and equipping the bus fleet with diesel particulate and nitrogen oxide filters. In 2020, 25 Euro VI vehicles ordered in 2019 entered service, while the number of Euro V buses fell by over 4 percent. At the same time, 95 additional Euro V buses from this vehicle group were retrofitted with SCRT systems to provide effective exhaust gas aftertreatment.

The operational pollutant emissions of the HOCHBAHN bus fleet can be modelled based on emission values that are valid throughout Germany. For reporting purposes, it was assumed that the transport performance of the different parts of the fleet was based on kilometrage that is equally distributed across vehicle emission standards. Thanks to the continued modernisation of the bus fleet, specific nitrogen oxide emissions were 4.6 percent lower at the end of the reporting year than in the previous year, while specific particulate emissions remained almost unchanged. Specific sulphur dioxide emissions fell by 0.7 percent in the same period. The marked decrease in absolute air pollutant emission levels reflects the sharp drop in demand due to the pandemic.

Bus fleet by exhaust gas standard and pollutant emissions

GRI 305-7

	2020 ¹	2019 ²	2018
Number of vehicles, HOCHBAHN Group ³	1,101	1,087	978
Share of zero-emission buses ³ (%)	3.8	3.2	0.9
Share of vehicles meeting EURO VI standard ³ (%)	58.7	57.1	47.2
Share of vehicles meeting EURO V/EEV standard ³ (%)	37.5	39.7	51.6
Share of vehicles meeting EURO IV standard ³ (%)	0.0	0.0	0.0
Share of vehicles meeting EURO III standard ³ (%)	0.0	0.0	0.2
spec. nitrogen oxide (NOX) emissions ^{4, 5} (g/passenger km)	0,199661	0,209298	0,264017
spec. particle emissions ^{4, 5} (g/passenger km)	0,001553	0,001553	0,001552
spec. sulphur dioxide (SO2) emissions ^{4, 5} (g/passenger km)	0,000383	0,000385	0,000398
Absolute nitrogen oxide (NOX) emissions ⁶ (t)	93.8	141.5	172.5
Absolute particulate emissions ⁶ (t)	0.73	1.05	1.01
Absolute sulphur dioxide (SO2) emissions ⁶ (t)	0.18	0.26	0.26

¹ 2020: provisional figures

² 2019: updated figures

³ Vehicles used in ongoing operations

⁴ Related to the vehicle drive without considering the upstream chain

⁵ Emission factors according to the German Federal Environment Agency (2020), TREMOD transport emission model 6.14, traffic relation: within city boundaries

⁶ Product of specific emissions and transport performance

Reduction in operational noise impacts

GRI 103 / Lärmschutz

Noise and vibration can be very annoying, particularly in inner-city areas. Both road and rail traffic generate noise that fluctuates over time. Depending on their intensity (sound level) and duration, sound and vibration emissions can greatly impair mental and physical performance and cause chronic damage to health. Reducing noise and vibration in large cities is therefore very important, especially in densely populated Europe. The EU Environmental Noise Directive is intended to “avoid, prevent or reduce (...) the harmful effects, including annoyance, due to exposure to environmental noise”.¹

In accordance with the EU Environmental Noise Directive, the City of Hamburg calculates the exposure of the population based on strategic noise maps, which are reviewed every five years and revised when necessary. The first noise map for the City of Hamburg was drawn up in 2007 and updated in 2012 and 2017.² HOCHBAHN supplies the data required to calculate the noise maps. This includes operational data on route sections (such as maximum speeds, service frequency, number and length of U-Bahn rolling stock) as well as route data describing the nature of the local U-Bahn network (bridge/arch radius/tunnel, type of superstructure, radii of curves).

Because much of the HOCHBAHN operating network is in the open, the company has to take appropriate measures. Around two thirds of the U-Bahn network runs above ground in residential areas, some of which are densely populated. Most of the bus depots are also located in mixed use areas that include high-density residential environments. To minimise the effects of noise and vibration, HOCHBAHN uses a whole range of noise reduction measures. An interdepartmental working group has also drawn up a comprehensive assessment of the noise protection measures available to HOCHBAHN. These noise protection measures are implemented by the HOCHBAHN divisions responsible (e.g. Infrastructure, Metro Rolling Stock and New Construction).

HOCHBAHN takes noise protection into account in the development of new construction projects. It also encourages citizen participation in the planning process and listen to the concerns and suggestions of residents. In addition, feedback received by HOCHBAHN – via its complaints management system, for example – is forwarded to and examined by the departments concerned.

HOCHBAHN was actively involved in implementing measures to mitigate noise and vibration even before the EU Environmental Noise Directive came into force. Some of these included regular maintenance and repair work such as monitoring for track irregularities and carrying out corrective grinding work where necessary, checking for out-of-roundness in the wheels and wheel treads of U-Bahn rolling stock and carrying out regular wheel profiling. In addition, the wheels on all HOCHBAHN U-Bahn passenger vehicles are equipped with specially designed sound absorbers to dampen the tendency for the wheels to scrape against the track and squeal when going round bends. Official tests carried out on the DT4 and DT5 U-Bahn rolling stock that currently make up almost 97 percent of the fleet have categorised their operational noise levels as very low.

Renewable energies and energy efficiency

GRI 103/302

Energy is an important resource for HOCHBAHN, particularly for its transport operations. The HOCHBAHN vehicle fleet (U-Bahn rolling stock and buses) currently consumes more than 26 million litres of diesel and around 111.4 (U-Bahn) and 2.7 (charge current for electric buses) gigawatt hours of electricity. HOCHBAHN has made a real effort over many years to identify energy-saving potentials and increase its energy efficiency based on a combination of small and large measures.

HOCHBAHN's total energy consumption from all energy sources in 2020 was 450,308,003 kilowatt hours (kWh). Diesel consumption by the bus fleet accounted for the largest share of this energy consumption. It was responsible for 59.2 percent of total energy consumption in the reporting year, 0.3 percent lower than in the previous year. Electricity consumption by the U-Bahn operation accounted for 24.7 percent

¹ Directive 2002/49/EC relating to the assessment and management of environmental noise

² <https://www.hamburg.de/laermkarten/e>

of total energy consumption in 2020. This is a reduction of 0.3 percent compared to 2019. At 71.4 percent, the U-Bahn operation accounts for the largest share of total electricity consumption.

Since HOCHBAHN's absolute energy consumption will continue to rise in the future as a result of the planned rollout of new services, absolute energy consumption is not very meaningful in this context.

This is because an increase in transport volumes or services is inevitably accompanied by an increase in energy consumption (see the section Expansion of mobility services p. 15). HOCHBAHN's primary energy policy goal is therefore to reduce specific energy consumption while at the same time increasing service performance.

Fuel consumption from non-renewable sources in kWh

GRI 302-1

	Scope	2020 ¹	2019 ²	Change	
				absolute	%
Diesel (bus fleet)	HOCHBAHN	266,363,879	269,685,240	-3,321,361	-1.2
Diesel (shunters, company and service vehicles)	HOCHBAHN, FFG	1,758,863	2,060,184	-301,321	-14.6
Heating oil (bus fleet)	HOCHBAHN	5,921,150	5,351,130	570,020	10.7
Heating oil (heating of buildings and emergency power systems)	HOCHBAHN	251,340	194,070	57,270	29.5
Petrol (company and service vehicles)	HOCHBAHN, FFG	652,104	718,815	-66,711	-9.3
Natural gas	HOCHBAHN, FFG	9,585,115	9,241,277	343,837	3.7
Hydrogen	HOCHBAHN	125,831	145,019	-19,188	-13.2

¹ provisional figures

² updated figures

Electricity and heating consumption in kWh

GRI 302-1

	Scope	2020 ¹	2019 ²	Change	
				absolute	%
Electricity (U-Bahn operation)	HOCHBAHN	111,382,396	113,291,836	-1,909,440	-1.7%
Electricity (electric bus fleet charge current)	HOCHBAHN	2,688,633	808,505	1,880,128	232.5%
Electricity (locations and other)	HOCHBAHN, FFG	41,948,695	42,622,278	-673,583	-1.6%
District heating	HOCHBAHN, FFG	9,629,998	9,632,886	-2,889	0.0%

¹ provisional figures

² updated figures

Compared to the previous year, HOCHBAHN was able to expand its services by 4.1 percent or around 530 million kilometres per space. In the same period, HOCHBAHN and FFG succeeded in reducing their total energy consumption by a total of 0.8 percent or 3,443,2374 kWh). The principal drivers of this trend can be identified as the diesel

consumption of the bus fleet, which fell by 3.3 GWh (1.2 percent) and the total electricity consumption, which fell by 0.7 GWh (0.4 percent). Consumption by the company and service vehicle fleet also fell, with diesel 0.3 GWh or 14.2 percent down and petrol 0.07 GWh or 9.3 percent down. On the other hand, significant increases were recorded

in the bus fleet's heating oil consumption (0.6 GWh, or 10.7 percent higher) and in the consumption of natural gas for heating buildings (0.4 GWh, or 4.2 percent higher).

Specific energy consumption of modes of transport

GRI 302-3

	2020 ¹	2019 ²	Change		2018
			absolute	%	
U-Bahn					
Specific energy consumption (in g/kilometre per space) ³	0.01211	0.01268	-0.00057	-4.5	0.01273
Specific energy consumption (in g/passenger kilometre) ³	0.11416	0.07605	0.03810	50.1	0.07244
Bus⁴					
Specific energy consumption (in g/kilometre per space) ^{3,5}	0.06123	0.06550	-0.00427	-6.5	0.06773
Specific energy consumption (in g/passenger kilometre) ^{3,5}	0.57306	0.40044	0.17262	43.1	0.41216

¹ provisional figures

² updated figures

³ Related to the vehicle drive without considering the upstream chain

⁴ Based on timetable data of the concession of HOCHBAHN

⁵ Sum of diesel, charge current and hydrogen including JASPER and Süderelbe Bus GmbH

In U-Bahn operations, HOCHBAHN managed to reduce track power consumption for U-Bahn services by 4.5 percent per kilometre per space in 2020, due in particular to effects from the drop in passenger numbers triggered by the Covid pandemic. This resulted both in lower vehicle transport weight and passengers requiring less time to board and alight, which meant that more travel time was available to reach the next stop on time. This in turn reduced track power consumption as

the maximum speed required for the timetable decreased and acceleration phases became shorter. Both of these variables have a significant impact on track power consumption. The contradictory trends of greater supply and a pandemic-related slump in demand account for the significant growth in the U-Bahn's specific demand-related energy consumption in 2020. Track power consumption of U-Bahn operations rose by 50.1 percent in terms of passenger kilometres.

In bus operations, energy consumption per kilometre per space was reduced by 6.5 percent. In addition to the growth of the electric bus fleet, this comparatively significant increase in efficiency can be attributed to the consequences of the pandemic. Average travel speed of the bus services rose by 0.1 km/h year-on-year as a result of the decrease in traffic. The smoother traffic flow makes the vehicles more energy efficient. The lower transport weight due to smaller passenger numbers has the same effect. However, the pandemic-induced slump in demand increased the specific energy consumption of bus drive systems in terms of passenger kilometres by 43.1 percent.

The subsidiaries JASPER and Süderelbe Bus GmbH were integrated into HOCHBAHN during the reporting year. All statements on the development of specific energy consumption and carbon emissions are made by taking into account the prior-year consumption by the two former subsidiaries.

Energy management

GRI 103/302

In order to identify and quantify further potential energy savings, HOCHBAHN carried out a second DIN EN 16247-1 energy audit in 2019. The DIN standard states that an audit should cover at least 90 percent of the total energy consumption. This meant carrying out inspections at eleven HOCHBAHN locations, including the bus depots, two U-Bahn depots and administrative offices such as the Hochbahnhaus.

During the site inspections, the external auditor suggested several measures for optimising energy use, and these are currently being followed up and examined for feasibility by HOCHBAHN's energy optimisation project group. The energy-saving plan is based on planning appropriate measures and actions. Comprehensive technical solutions

are currently being developed for the criteria that have already been identified. HOCHBAHN evaluates the commercial and consumption-related factors of each measure and prioritises them according to the ABC method.

ABC analysis

Category	Description
→ A	Worthwhile measure both from a cost and environmental point of view.
→ B	Uneconomical, but environmentally worthwhile measure
→ C	Uneconomical measure

Depending on its nature and technical or economic feasibility, we evaluate the potential solution as a short-, medium- and long-term measure. The measures evaluated by the energy optimisation project group are entered into a centrally held list of measures, which is updated at regular intervals. The measures implemented relate to HOCHBAHN's vehicles, infrastructure and premises.

HOCHBAHN started on the path to energy saving in 2010 when it converted the lighting in its buildings to more energy-efficient options. The quantifiable measures implemented so far include the conversion of stopping places, escalators, parking facilities, offices, workshop buildings and bridge lighting. The lighting refurbishments carried out in buildings and U-Bahn rolling stock since 2010 have resulted in savings of approximately 2,219,573 kWh of electricity.

Energy-efficient interior lighting

Switching from conventional interior lighting, such as T8 fluorescent tubes for example, to a more energy-efficient alternative such as LEDs, has achieved significant energy savings in many cases. The savings made from converting the lighting at U-Bahn stops, which remain on for up to 8,700 hours per year, were particularly marked.

HOCHBAHN has fitted energy-efficient lamps to lighting systems in 121 separate conversion operations at 60 locations since 2010. The total annual savings from all of these 121 conversions is 1,773,505 kWh. In 2020, 43 further operations were carried out at 24 locations. Taking into account the system performance of the old and new installations, the number of luminaires and the operating hours, this has resulted in additional savings of 396,614 kWh per year.

Energy-efficient lighting in U-Bahn carriages

Due to their high number of operating hours, the lighting U-Bahn carriages offers excellent potential for energy-saving. U-Bahn vehicles operate for an average of 5,440 hours annually. This is calculated from 16 hours per day and 340 days per year.

Based on this annual operating time, converting a type DT4 vehicle to LED lighting can reduce the amount of energy used on lighting by 7,279 kWh per year and vehicle. Last year, five items of rolling stock of this type were converted, bringing the number of DT4 vehicles converted to 24 out of a total of 126. The conversion is carried out at the same time as other refurbishment work in order to minimise time spent in the workshop.

All new DT5 vehicles have had factory-fitted LED lighting since 2017. This saves lighting energy amounting to 5,774 kWh annually per DT5 vehicle compared to the previously delivered vehicles with conventional lighting. In 2020, seven more DT5 vehicles equipped with LED lighting were put into service. In the current year, HOCHBAHN plans to convert seven more DT4 vehicles. The company also intends to put 29 new DT5 vehicles into service.

The Metro Rolling Stock division is currently developing scenarios to accelerate conversion of the DT4 vehicles and to retrofit the 69 DT5 vehicles (301 to 369) that were delivered with conventional lighting.

Energy optimising measures in the U-Bahn division

GRI 103/302

Examples of the efficiency-enhancing measures implemented by the U-Bahn division include stationary energy storage devices and the new "Hesop" energy recovery system. In modern regenerative U-Bahn vehicles, virtually all of the kinetic energy generated by a braking vehicle is converted into electrical energy and fed back to the overhead line. Even though it is not possible to exchange this electrical energy with other vehicles at the same time, its use is based on two sound principles.

Stationary energy storage

One principle is to use energy storage systems to store the energy temporarily and to release it to the overhead line later (e.g. by means of a mass flywheel system). In 2007, a stationary energy system based on the flywheel principle was installed in the Ochsenzoll substation and in 2010 in the Fuhlsbüttel substation. Thanks to these two stationary energy storage systems, HOCHBAHN was able to save 899,000 kWh in 2020. Since it was commissioned, the system in the Ochsenzoll substation has been in operation for 5,307 hours, while the one in Fuhlsbüttel has run for 6,496 hours. The system in the Ochsenzoll substation was out of service for several weeks in 2020 due to a malfunction. Last year, the Fuhlsbüttel system recorded the highest annual savings achieved by either of these energy storage systems so far.

Savings from stationary energy storage in kWh

GRI 302-4

Year	Savings		Both energy storage systems
	Ochsenzoll energy storage	Fuhlsbüttel energy storage	
2018	461,000	503,000	964,000
2019	483,000	389,000	872,000
2020	390,000	509,000	899,000
Total (since 2007)	5,359,000	3,935,000	9,294,000
Ø p.a.	382,786	393,500	
Max savings p.a.	483,000	509,000	

Energy converter: Hesop system

Another principle is to convert braking energy using regenerative inverters, which make it possible to supply the energy to other consumers at the same time (converter systems). The main advantage of converter technology is its ability to regulate the output voltage dynamically, which in theory maximises the total potential savings from unused braking energy.

A Hesop energy converter system made by Alstom has been installed in the Rauhes Haus substation. The energy recovered from the braking energy of the U-Bahn vehicles is redirected for use by the substation's consumers, such as lighting and escalators, for example. Any energy that is not used within the passenger station is fed into the public 10kV medium-voltage grid of Stromnetz Hamburg. Since it was commissioned, the Hesop system has run for 4,660 hours and recovered a total of 277,000 kWh of braking energy. The system is still in the configuration and pilot phase in the U-Bahn network.

Other energy-optimising measures implemented by the U-Bahn division

Besides the energy-saving projects already mentioned, the U-Bahn division has introduced a large number of other measures:

1. Energy-saving running based on pre-determined switch-off speed.
2. Consistent reduction in rolling stock weight through lightweight construction
3. Use of automatic heating controls in vehicles and systems
4. Energy-saving pre-heating of passenger compartments (DT-4 and DT-5) and pre-cooling (DT-5) strictly on demand and immediately before the start of operation
5. Heating of vehicles during operation via regenerative braking (DT-3) and use of waste heat from cooling water (DT-4 and DT-5)
6. Lower energy losses through better utilisation of the adhesion coefficient by the three-phase technology (DT-4 and DT-5)
7. Use of dusk/dawn sensors at stops and in vehicles
8. Strong preference for the use of natural light (e.g. glass roofs) when refurbishing stops
9. On-demand operation of power consumers (e.g. escalators, lifts)
10. Remotely monitored, energy-optimised control of point heating systems

Energy optimising measures in the Bus division

GRI 103/302

The most important energy efficiency measure in the Bus division is the conversion of the vehicle powertrains. The new powertrains improve energy efficiency in two ways. First, because battery-powered electric drive trains connect directly to the primary energy, they do not suffer from the losses inherent in the power-to-gas or power-to-liquid processes. Second, when braking is applied, the electric motors used are able to convert their electrical energy back into propulsion energy rather than heat, as is the case with conventional vehicle brakes.

Other measures taken by the Bus division to optimise energy use

- Introduction of a depot management system (DMS) in 2014
- Driver training
- Optimisation of bus routes
- Changes to the traffic light systems/priority switching for buses at traffic lights
- Reconstruction of crossroads

Energy savings at HOCHBAHN¹ in kWh

GRI 302-4

	2020	2019	2018 ²
Annual energy savings from measures implemented since 2007	5,952,446	5,171,570	4,947,146
Of which, savings from:			
interior lighting refurbishments	1,773,505	1,376,891	1,162,176
reduction in energy consumption by U-Bahn rolling stock (DT4) during out-of-service periods	1,500,000	1,500,000	1,500,000
braking energy recovered (from U-Bahn rolling stock) by stationary energy storage systems	899,000	872,000	964,000
energy-efficient passenger compartment lighting in U-Bahn carriages	446,068	369,256	278,132
braking energy recovered (from U-Bahn rolling stock) by Hesop energy recovery system.	277,000		
self-generation of energy (photovoltaic, solar thermal) and CHP unit	201,287	201,287	199,855
efficient IT	18,234	14,784	5,632
other savings	837,351	837,351	837,351

¹ Scope: HOCHBAHN, FFG

² updated figures

Use of natural resources

GRI 103/301

As a service company, HOCHBAHN consumes comparatively few raw materials itself. Nevertheless, HOCHBAHN does use a variety of materials that consume natural resources. It goes without saying that HOCHBAHN uses these raw materials sustainably and as sparingly as possible.

Paper is a much-used resource that plays an important role in HOCHBAHN's administrative offices, but also in its promotional and ticket sales work.

Many years ago, HOCHBAHN embarked on a programme to digitise its administrative work processes in order to minimise the consumption of this resource. Payslips and holiday applications are now sent digitally, for example. Continual improvements to the e-ticketing service have cut down on the number of paper-based tickets and reduced HOCHBAHN's paper consumption.

Due to their size, vehicle washing facilities have a major impact on water and wastewater systems. In order to use water as sparingly as possible, vehicle washing at bus depots and the washing systems for U-Bahn vehicles make use of treated service water or rainwater and this water is recirculated extensively. Washing vehicles only when required and recirculating the washing water reduces the amount of fresh water used for bus and U-Bahn vehicle washing.

In order to reduce the amount of waste produced within the company, HOCHBAHN's canteens have been working since 2018 with RECUP, Germany's largest deposit network for reusable coffee cups, and have recently extended this partnership to include REBOWL, the deposit system for refillable bowls. HOCHBAHN is currently piloting a scheme for repurposing IT hardware. Having used IT equipment collected and refurbished by a certified service provider should significantly increase the recycling rate of these items the coming years. Other measures include, for example, favouring environmentally friendly products when purchasing electrical appliances and equipping kitchens with Waterlogic water dispensers.

HOCHBAHN is using more and more recycled products in construction and modernisation projects, replacing the materials it has used in the past with more durable alternatives that lend themselves to end-of-life recycling. For example, HOCHBAHN used wall tiles made of recycled glass for the refurbishment of the Hamburger Strasse U-Bahn station. HOCHBAHN's U-Bahn rolling stock has a very high recycling rate of between 90 and 94.3 percent depending on the series. For more information, see the section on Green buildings, p. 39.

Resource consumption

GRI 301-1, 303-3, 306-3

	Scope	2020
Hazardous waste (t)	HOCHBAHN	1,357
Non-hazardous waste (administrative sites) (t)	HOCHBAHN	124
Non-hazardous waste (U-Bahn stations, bus transfer facilities, bus depots) (t)	HOCHBAHN	1,101
Paper consumption (copy paper) (sheets)	HOCHBAHN	5,750,000
Water consumption (fresh water, Farmsen U-Bahn workshop) (m ³)	HOCHBAHN	1,541
Water consumption (fresh water, bus wash facilities) (m ³)	FFG	7,259

Sustainable supply chains

GRI 102-9, 103/308, 308-1, 412-3, 103/414, 414-1

HOCHBAHN's responsibility for the social and natural environment goes far beyond its own business activities; it also extends to suppliers and business partners and applies in particular to products or product components that are manufactured in global supply chains and are therefore associated with particular environmental and social risks.

By introducing a sustainable sourcing model in 2019, the company is acknowledging its responsibility to the world and its duty of care in relation to human rights. As part of its preparations for this, HOCHBAHN participated in the National Action Plan for Economic and Human Rights expert group convened by the German UN Global Compact Network.

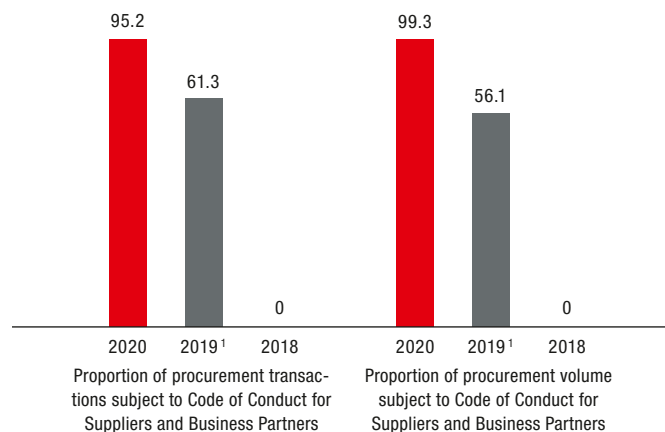
As part of its sourcing programme, HOCHBAHN drew up the "Sustainability Standards for Suppliers and Business Partners" document in May 2019. This is a binding code of conduct overseen by the Procurement department that forms a binding and integral part of the contract for all procurement transactions except non-critical small orders. The code of conduct is based on the principles of the UN Global Compact and the core labour standards of the International Labour Organisation (ILO).

In order to provide its services, HOCHBAHN has to procure a wide range of goods, commodities and services. The Procurement unit is divided into three departments: construction procurement, engineering procurement/procurement of vehicles and components, and general sourcing. The scope of its sourcing activities therefore extends from the procurement of durable capital goods to the sourcing of disposable consumer goods as well as construction and miscellaneous services.

In 2020, HOCHBAHN purchased goods and services worth approximately 430 million euros from around 1,600 suppliers and service providers. 99.3 percent of the procurement volumes were carried out under HOCHBAHN's code of conduct:

Code of Conduct for Suppliers and Business Partners in %

GRI 308-1, 414-1



¹ Introduction of the Code of Conduct for Suppliers and Business Partners on 01 May 2019

HOCHBAHN also carries out an audit of social and environmental risks when preparing large tenders. It asks manufacturers to supply the sustainability criteria for product groups with a risk profile and considers these when making the award decision. This is in line with HOCHBAHN's goal of creating transparency in the supply chain, minimising risks and working to improve ecological and social standards.

Sustainability aspects were defined as relevant awarding criteria alongside technical and commercial requirements in the tendering process for up to 530 locally emission-free buses in 2019. The criteria apply to the entire value chain of battery-powered buses, from the extraction of the critical raw materials used in batteries, such as cobalt or lithium, to vehicle production. In particular, this assessment focuses on the ecological and social impact of battery production. The competitive bidding process was completed in 2020. HOCHBAHN has managed to create transparency right up to and including the production of the battery cells. However, disclosure and obtaining information from the raw material mines is still often a challenge.

HOCHBAHN will incorporate the findings from the responses it has received from the manufacturers into the further development of its sustainability criteria for future tenders. These criteria serve as the basis for regular knowledge sharing with the manufacturers and help them to continuously improve their sustainability performance. The main focus here is on transparency about the origin and mining conditions of critical battery raw materials such as cobalt, lithium, nickel, graphite and manganese, as well as battery manufacturing emissions.

In 2020, HOCHBAHN also asked for detailed sustainability criteria in its tenders for up to 50 fuel cell buses and 96 charging units, and applied a ten percent weighting to these in the tender evaluation process. These criteria, which included both environmental and social aspects, aim to guarantee human rights due diligence and sound environmental standards throughout the supply chain. Detailed sustainability criteria were applied to around 10 percent of the procurement volume as part of the tender.

To instigate even more targeted improvements along the value chain, HOCHBAHN is pushing for the integration and harmonisation of sustainability criteria as part of local public transport vehicle procurement at the levels of the Association of German Transport Companies (Verband Deutscher Verkehrsunternehmen - VDV) and the International Association of Public Transport (Union Internationale des Transports Publics - UITP).

Adaptation to climate change

Hamburg and HOCHBAHN will have new challenges to deal with in the next few decades as a result of climate change, caused in particular by changing rainfall distribution, an increase in extreme precipitation events and heatwaves. These clearly noticeable changes in the weather and their effects will have to be taken into greater account in HOCHBAHN's business processes going forward.

As an urban company and climate partner for the Free and Hanseatic City of Hamburg, HOCHBAHN is well aware of the consequences of climate change, and has therefore integrated climate impact risks into its Group-wide risk and opportunity management, where the financial consequences, risks and opportunities of climate change are evaluated for HOCHBAHN as part of a continuous process.

In terms of current climate impact risks, HOCHBAHN is focusing on extreme weather events (including torrential rain, storms and extreme heat), which have caused damage as well as service disruptions and outages in the past. HOCHBAHN continues to document and analyse these events on a regular basis. Between 2017 and 2020, the company recorded service disruptions and damage that resulted solely from trees being brought down onto U-Bahn track systems. There were no flooding incidents in or at U-Bahn tunnels or stops. Action taken by HOCHBAHN to mitigate these climate impact risks includes vegetation management and regular tree inspections. HOCHBAHN has also introduced measures to adapt its infrastructure, which include the installation of green roofs as well as storm water drainage and detention systems.

Green buildings

GRI 103/302, 103/305

HOCHBAHN approaches the topic of Green buildings as implying the construction and use of future-proof infrastructure that is not only sustainable and cost-effective but also highly durable and of a high quality. One point of focus here is the handling of 'grey' energies and emissions at HOCHBAHN. This follows from the fact that the production of building materials generates a large proportion of greenhouse gas emissions worldwide (share for cement and concrete industry 2020: around 8 percent) and is therefore a key factor for the achievement of global climate targets.

HOCHBAHN is aware of this issue and is therefore striving to utilise available market solutions for green and sustainable buildings. The aim here is to reduce greenhouse gas emissions and energy needs, especially in the deployment and operation of new infrastructure projects, and while accounting for built structure requirements (including operational and traffic safety, and durability), standards and regulations.

HOCHBAHN intends to give this topic even greater attention during the evaluation of planning variants and in the course of tender procedures in the future. Since 2019, selected planning contracts have included an analysis of energy demand and greenhouse gas emission figures for planning variants. In this context, HOCHBAHN is also considering the advanced application of Building Information Modelling (BIM) systems. BIM models have formed an integral part of major HOCHBAHN projects – such as U4 and U5 – for some time now.

This work is complemented by designing and building all new U-Bahn stations with full accessibility in mind. By 2025, all existing U-Bahn stations will also be upgraded to fully accessible facilities. For more information, see the section on Expansion of mobility services, p. 15. With the aim of achieving the climate-neutral, energy-efficient and eco-friendly planning of new infrastructure, the following topics are assessed individually for each project, and implemented where appropriate and economically justifiable:

- Use of PV to generate green electricity
- Solar thermal/geothermal systems
- Green roofs
- Energy-efficient lighting models
- Rainwater treatment (for vehicle cleaning)
- Waste heat use by charging infrastructure (electric bus depots)
- Use of recycled materials (incl. road surfaces)
- Use of sustainable/eco-friendly construction products
- Installation of sub-ballast mats as part of meeting operational vibration requirements

HOCHBAHN meets the general energy needs of its properties solely with high-quality certified green electricity from renewable energy plants no more than six years old, with additional needs met by energy generated from its internal PV systems.

Key figures: Green buildings

	2020 ¹	2019 ²	2018
Green roofs (m ²)	23,350	19,200	1,550
Photovoltaics (kWh)	42,974	42,974	46,461
Solar thermal energy (kWh)	79,600	79,600	79,600
Combined heat and power (kWh)	78,714	78,714	73,794

¹ provisional figures

² updated figures

Data protection

GRI 103/418

Data protection is a highly relevant subject for many business processes. For this reason, HOCHBAHN is very careful to ensure full compliance with all applicable legal and internal provisions. HOCHBAHN processes all personal data from employees, job applicants, customers and business partners solely in agreement with applicable legislation governing the protection of personal data and data protection, with particular reference to the EU General Data Protection Regulation (GDPR). Important aspects here include customer data privacy, video surveillance and employee data privacy.

Simultaneously with the entry into force of the GDPR in 2018, HOCHBAHN published a revised version of its privacy policy (first issued in 2009) as approved by its Management Board. The policy sets out basic principles and responsibilities. All company employees are required to observe and uphold this policy. Supplementing the HOCHBAHN privacy policy, a general works agreement on data protection has also been signed with the Works Council. The following supporting processes have also been defined and published internally as annexes to the privacy policy:

- Policy for handling data breaches
- Cloud policy
- Policy for handling requests for information/complaints
- Specimen contract for data processors
- Specimen record of processing activities

Complementing the company Data Protection Officer and the Data Protection Administrators in the Data Protection Unit, Data Protection Coordinators have also been appointed in all relevant parts of the company. These Coordinators act as points of contact for data protection issues while also promoting good practice in their departments.

The Data Protection Unit is tasked with monitoring compliance with data protection regulations, and is also responsible for raising awareness of the topic and providing training for employees. All HOCHBAHN employees who process personal data in their work must complete these data protection training courses. Specifically:

- All management staff must complete two e-learning modules.
- Employees who work with personal data must work through an e-learning module that covers the most important principles for data protection.
- Employees who process special personal data as part of their duties (such as video surveillance work in operational control rooms, the internal post office, personnel department, customer service/subscription services, etc.) are also required to complete a special data protection course organised by the Data Protection Unit, which covers individual issues and specifics. This is a classroom seminar, offered as part of HOCHBAHN's internal continuing professional development programme.

Data protection training

Number of participants	2020	2019 ¹	2018
Data protection seminar	26	149	32
E-learning: EU General Data Protection Regulation	80	287	73
E-learning: EU data protection for executives and IT managers (advanced module)	4	120	38

¹ In 2019, additional training courses were organised for the Works Council and Bus Operations.

As a result of the company's risk exposure in relation to the topic of data protection, the company Data Protection Officer is always consulted as part of the rollout of new technologies and for all relevant digitalisation projects. In addition, some of these projects will also require the involvement of the Hamburg Commissioner for Data Protection and Freedom of Information (HmbBfDI). This applies in particular to projects involving the processing of customer data.

Last but not least, HOCHBAHN was an early adopter of the concept of a dedicated data protection mailbox. This facility aims to ensure that data subjects are able to contact the company Data Protection Officer directly and at any time. In this way, data protection issues relating to employees, customers or other data subjects (such as individuals seeking information or lodging a complaint) can be processed in a targeted and timely fashion.

Complaints/inquiries in relation to customer data

GRI 418-1

Complaints/inquiries	2020
Complaints received from outside parties and substantiated by the organisation ¹	22
• Complaints from customers	16
• Complaints from other data subjects	5
Complaints from/about regulatory bodies	1
Cases of data theft and data loss in connection with customer data ²	2
• Internally audited cases	2
• Cases reported to the regulatory body	0

¹ In connection with the "complaints" category, it is sometimes not possible to make a precise differentiation between a simple request for information and a complaint. Therefore, the listed cases include both variants. For the sake of completeness, complaints/inquiries from other data subjects who are not or were not customers of HOCHBAHN are also listed. Only one complaint from a customer was forwarded to HOCHBAHN via the regulatory body in 2020.

² There were no cases of data loss in the 2020 reporting year. As a result, no report was made to the HmbBfDI in this context. Only two cases were investigated by the Data Protection Officer following an internally reported suspected case and were classified as not reportable.

Working conditions

GRI 103/401

The acquisition and retention of suitably qualified employees works to safeguard the long-term success of the company and therefore to ensure its future growth. As for many organisations, tackling social trends such as demographic change, skills shortages or the changes brought to the workplace as part of the digital transformation is also an important task for HOCHBAHN. Working conditions that may also present their own challenges (such as shift work caused by timetabling and weekend work) are obstacles that HOCHBAHN must overcome to acquire workers.

The 2020 financial year presented HOCHBAHN with additional challenges as an employer during the coronavirus pandemic. While transport scheduling needed to be maintained, the company also had to take steps to protect its own employees and customers against a potential outbreak of infection. Apart from giving administrative staff the option of working from home, HOCHBAHN also introduced various protective measures for its bus and U-Bahn services. These included setting up a coronavirus hotline for its employees, and issuing regular bulletins with news and updates to ensure employees remained as well-informed as possible. Thanks to these activities, no major infection clusters occurred as part of HOCHBAHN operations and operations were not disrupted as a result of an increased coronavirus incidence.

Workforce

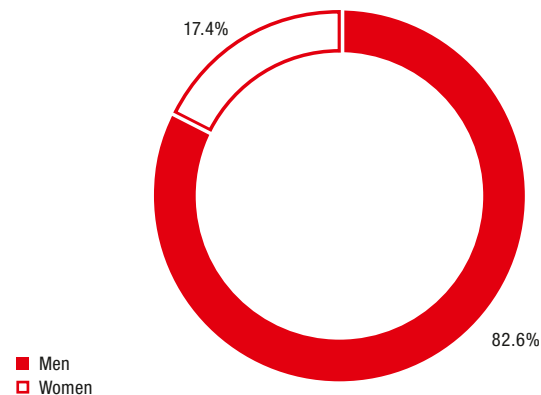
In 2020, HOCHBAHN employed a total of 6,378 persons, with 597 of these in part-time roles. This makes HOCHBAHN one of Hamburg's largest employers.

HOCHBAHN continued to hire new employees in 2020, despite the ongoing pandemic. A number of personnel marketing strategies were used to portray the company as an employer. HOCHBAHN utilised recruiting videos in buses and on U-BAHN passenger TV screens, for example, plus various touchpoints in leisure settings, flyers and other measures tailored to the vocational training market. The internal JobDeal recommendation programme was also started, which gives HOCHBAHN employees the chance to receive a bonus by personally recommending successful job applicants. All in all, 623 new employees were recruited during 2020. This figure of 9.9 percent continues the stable hiring trend seen in previous years (following 11.3 percent in 2019 and 9.8 percent in 2018). The staff turnover rate at HOCHBAHN was 5.9 percent in 2020.

HOCHBAHN employees

GRI 102-7, 102-8

Total number of employees¹: 6,378



¹ The total number of employees working for the company is the sum total of the Management Board, managers and salaried employees, including employees on parental leave.

HOCHBAHN employees by employment type

GRI 102-7, 102-8

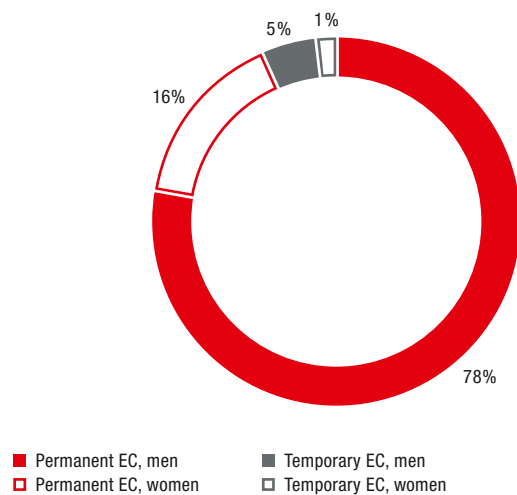
	2020	2019	2018
employees, incl. employees on parental leave ¹	6,378	5,607	5,345
Men (%)	82.6	82.1	82.6
Women (%)	17.4	17.9	17.4
Full-time employees	5,747	5,064	4,856
of which men	4,965	4,343	4,193
of which women	782	721	663
Part-time employees ²	597	509	456
of which men	273	231	195
of which women	324	278	261

¹ The total number of employees working for the company is the sum total of the Management Board, managers and salaried employees, including employees on parental leave

² Excluding temporary staff

HOCHBAHN employees by employment contract (EC)

GRI 102-8

Total number of employees¹: 6,240¹ Excluding trainees

Employees by employment contract

GRI 102-8

	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Total ¹	6,240	5,479	5,213	285	266	254
Permanent employment contract	5,841	5,055	4,835	276	255	245
of which men	4,854	4,175	4,028	259	242	232
of which women	987	880	807	17	13	13
Temporary employment contract	399	424	378	9	11	9
of which men	317	345	295	8	9	7
of which women	82	79	83	1	2	2

¹ Excluding trainees

New hires and employee turnover

GRI 401-1

	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Newly hired employees						
Total	623	620	512	49	41	42
of which men (%)	76.9	79.0	75.8	91.8	100.0	90.5
of which women (%)	23.1	21.0	24.2	8.2	0.00	9.5
under 30 years old (%)	32.3	29.7	32.6	36.7	68.3	50.0
30–50 years old (%)	52.8	53.7	53.7	49.0	22.0	42.9
over 50 years old (%)	14.9	16.6	13.7	14.3	9.8	7.1
Rate of new hires (%)	9.9	11.3	9.8	16.7	14.7	15.4
Employee turnover						
Total	371	364	301	30	30	30
of which men (%)	83.6	83.9	82.4	96.7	100.0	96.7
of which women (%)	16.4	16.1	17.6	3.3	0.0	3.3
under 30 years old (%)	15.6	23.5	20.9	33.3	46.7	46.7
30–50 years old (%)	34.5	37.7	29.6	43.3	23.3	36.7
over 50 years old (%)	49.9	38.8	49.5	23.3	30.0	16.7
Employee turnover rate (%)	5.9	6.7	5.8	10.2	10.8	11.0



Integration of refugees

As part of a refugee project carried out in collaboration with DEKRA and the Jobcenter in 2017, HOCHBAHN has employed 52 of the 123 migrants to have taken part in the training programme so far as bus drivers as of 31 December 2020. Two further training courses with a total of 37 participants began in 2020. A total of 47 other participants are still undergoing training at DEKRA and are expected to be taken on by HOCHBAHN in the coming months. The company plans to continue the project with additional training courses in 2021.

HOCHBAHN as an attractive employer

HOCHBAHN utilises a range of measures in order to create an attractive and fair working environment for its employees. These include offering employees a collective bargaining agreement negotiated directly with unions, extra company and employee benefits, various working arrangements, as well as many other programmes designed to ensure a harmonious work-life balance.

Remuneration system

GRI 102-35, 102-38

The collective bargaining agreement concluded by HOCHBAHN with the ver.di union ensures fair working conditions for its employees. Apart from wages themselves, this agreement also regulates working hours and time off on public holidays, days off for employees working shifts, holiday allowances and special payments (such as payment of a coronavirus bonus). For more information on the collective bargaining agreements and the contract negotiations conducted with the union in 2020, see the Management Report, p. 16 and 38.

An overview of the remuneration system for members of the Management Board, as well as total benefits of the HOCHBAHN Supervisory Board and Management Board, is provided in the HOCHBAHN Management Report. The annual remuneration report of the City of Hamburg also provides details of the relationship between the total remuneration of the Management Board and the average income of company employees.

Collective bargaining agreements

GRI 102-41

Percentage of employees covered by collective bargaining agreements	2020	2019	2018
HOCHBAHN (%)	96.2	95.9	96.0
FFG (%)	94.1	93.3	93.4

Working arrangements

As part of its “Hamburg-Takt” strategy, HOCHBAHN has been continuously expanding its services since 2018. As services become more frequent and service hours become extended, HOCHBAHN has needed a larger workforce at all times of the day – and especially during rush hours, at the weekend, in the early hours of the morning and at night. At the same time, many employees working in bus and U-Bahn services have expressed an interest in changes to

their working arrangements. Specifically, requests have been made for more free weekends, a greater choice of shift timings and days off, and changes to shift schedules, so as to achieve a better balance between job, leisure time and family, despite the need for weekend work and rotating shifts. In addition, however, employees also need future work schedules to be easily plannable in advance.

HOCHBAHN currently offers its employees a number of working arrangements. Alongside a flexible model for administrative staff and shift workers in bus and U-Bahn services, up to ten part-time models and various rota models (with varying blocks of time off) are available, plus a long-term account with additional options for designing and reconfiguring working hours.

In human resource planning, HOCHBAHN works to identify and implement opportunities for improvement on a continuous basis. Bus Operations has set up an internal project group dedicated to this topic, which focuses on identifying alternative options for HR planning work. One topic of interest here is analysing shift sequences to identify optimisations. To date, shift start times within a shift series are still frequently spaced wide apart. As a result, a situation can arise where drivers find themselves starting their shift several hours earlier or later from one day to another. Overall, HOCHBAHN aims to achieve a better balance here and therefore more regular working patterns.

Following an in-depth period of preparatory work, a new shift sequence was introduced last year at the Langenfelde bus depot, and has received very positive feedback from employees working these shifts. Accordingly, HOCHBAHN also plans to roll out similar shift sequences to the other depots over the next few years. In each case, however, differences in the initial conditions at the various depots mean that the respective shift sequences need to be completely reworked for each depot concerned. With the 2020/2021 timetable changeover, the model was expanded to the Alsterdorf depot.

Compatibility of work and private life

With family-friendly shift models in service operations, working from home options for administrative staff, and the provision of emergency childcare and nursing services (the latter offered with Pflege-Partner Diakonie, PPD), HOCHBAHN makes a significant contribution to helping employees balance out the needs of their careers, families and free time. Support programmes during holiday periods, to help employees

caring for relatives or who find themselves in difficult family or personal situations, and in the three part-time vocational training courses, plus sabbaticals, all help employees achieve an optimum work-life balance.

Since 2014, HOCHBAHN has regularly been awarded the certificate from berufundfamilie Service GmbH for an HR policy that is tailored to family and lifestyle needs. This certificate is typically awarded for a period of three years. The audit carried out in 2020 required numerous interviews with employees, which were conducted by video conference or phone as a result of the Covid-19 pandemic.

Parental leave

HOCHBAHN provides options that help employees balance the demands of work and family, aiming to make it as straightforward as possible for employees to return to work after a period of parental leave. In 2020, a total of 199 employees (149 men and 50 women) took parental leave at the company. Overall, 148 employees (20 women and 128 men) returned to work in the reporting period after completing their parental leave.

Parental leave

GRI 401-3

	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Total number of employees who took parental leave	199	169	164	8	12	9
of which men	149	126	123	8	11	8
of which women	50	43	41	0	1	1
Total number of employees entitled to parental leave	6,378	5,607	5,345	303	284	274
of which men	5,268	4,605	4,417	284	268	258
of which women	1,110	1,002	928	19	16	16
Total number of employees that returned to work in the reporting period after parental leave ended	148	136	126	8	12	8
of which men	128	116	109	8	11	8
of which women	20	20	17	0	1	0
Total number of employees that returned to work after parental leave ended that were still employed 12 months after their return to work	-¹	133	122	8	12	8
of which men	- ¹	113	106	8	11	8
of which women	- ¹	20	16	0	1	0
Return to work rate of employees that took parental leave (%)	100.0	96.5	100.0	100.0	100.0	100.0
of which men	100.0	100.0	100.0	100.0	100.0	100.0
of which women	100.0	80.0	100.0		100.0	
Retention rate of employees that took parental leave (%)	-¹	97.8	96.8	100.0	100.0	100.0
of which men	- ¹	97.4	97.2	100.0	100.0	100.0
of which women	- ¹	100.0	94.1		100.0	

¹ No statement possible for 2020, as 12-month period after return from parental leave has not yet been completed.

Occupational safety and health

GRI 102-11, 103/403, 403-1, 403-8

Occupational safety and health utilises a number of occupational safety measures with the aim of keeping employees as safe and healthy as possible in the workplace. Safety and health are aspects that should be addressed predictively and proactively before an actual hazard arises. This preventive approach is required both by the German Occupational Safety and Health Act (ArbSchG) and Code 1 from the DGUV (German Social Accident Insurance). Alongside hazard assessments, record-keeping obligations and the appointment of company doctors as well as safety specialists, this also includes the provision of suitable working materials and equipment.

The Management Board resolution “Policy for occupational safety and health at HOCHBAHN” provides the company with a clear set of regulations for the tasks, cooperation and responsibilities in the field of occupational safety for all individuals concerned, including both management staff and employees. This framework policy applies to HOCHBAHN as an entire company – including all employees and all units – as well as to the planning of new workplaces and operational facilities.

As of this writing, HOCHBAHN has appointed 95 Safety Officers (pursuant to section 22 of Book VII of the German Social Code). This number conforms to the provisions of DGUV Code 1. Most Safety Officers have been appointed in bus and U-Bahn operations, and in industrial/technical units; full details are posted on publicly accessible noticeboards.

To date, HOCHBAHN has been audited by the Hamburg Office for Occupational Safety on three occasions (2000, 2005 and 2014), and certified as having an “Exemplary Workplace Safety System”.

Hazard assessments

GRI 403-2

The hazards that employees are exposed to as part of carrying out their duties must be identified and assessed in all areas of the company. Work-related hazards are identified by a process that involves the use of technical hazard assessments. These hazard assessments are essentially based around the regular performance of a number of safety checks. These document aspects of activities from the perspective of work safety and assess the hazards that arise as appropriate. Measures are then derived that have the preventive goal of creating

and/or maintaining safe and healthy workplaces. Hazards may also arise in the context of handling hazardous substances or biological agents, or may be specific to certain sites (in relation to certain systems, machinery or equipment).

Mental stress also plays an increasingly significant role in contemporary working environments. Special indicators are used to identify these kinds of stresses. If corresponding indicators suggest the need for a more in-depth analysis, an expert team – consisting of company medical staff, the Works Council, specialists working in Occupational Safety, Company Welfare Advice and Health Management, and the responsible manager – can be tasked with the completion of such an analysis.

Technical hazard assessments are normally completed as part of a two-year cycle. However, the work situation faced by company employees must be assessed regularly for changes and the hazard assessment must then be repeated where appropriate. If actions are to be taken, the necessary protective measures are then documented and implemented. Measures are tested for their effectiveness after roughly three to six months.

Hazard and accident reporting

GRI 403-7

At HOCHBAHN, the reporting and remediation of defects relating to occupational safety is clearly defined in the corresponding occupational safety policy. This states that safety-relevant defects must be remediated without delay and reported to supervisors. Safety-relevant defects occurring in other company divisions or departments can be reported internally by the employees that discover them in a number of ways:

1. Operational report via control stations or control rooms
2. Report to responsible staff in the units
3. Report to the Sustainable Development, Environmental Protection and Occupational Safety unit (also for serious defects in relation to the hazard assessment)
4. Notification to Safety Officers in individual units

The company suggestion scheme can also be used to submit suggestions for improvements in relation to occupational safety. All incidents involving employee injury (accidents at work and while commuting) must be notified with an accident report to the Sustainable Development, Environmental Protection and Occupational Safety unit. This

unit forwards the accident report to the employer's (accident) liability insurance association, the respective health insurer and the Hamburg Office for Occupational Safety. The unit discusses any necessary safety measures internally, and summarises the accident reports in an annual report providing accident figures and other metrics of interest. Employees can find information about submitting an accident report and the necessary steps in the process on the HOCHBAHN Employee Portal. The categorisation of an incident as a work or commuting accident – whose medical costs will therefore also be met – is a decision made by the employer's liability insurance association.

In 2020, the number of work-related accidents at HOCHBAHN fell significantly overall (by 13.8 percent compared with the previous year). Year-on-year comparisons also show a corresponding drop in working days lost on account of accidents. In particular, the number of work-related trip and fall accidents decreased markedly in 2020. The number of cases of assault targeting bus drivers has remained virtually at zero since June 2020. The installation of protective screens as a Covid-19 safety measure has also been very effective in this context. However, cases of assault on security and inspection staff have risen in conjunction with the enforcement of mask regulations on public transport. Traffic accidents now account for the largest proportion of total accident figures at HOCHBAHN.

Work-related injuries / accidents

at HOCHBAHN and HOCHBAHN-Wache

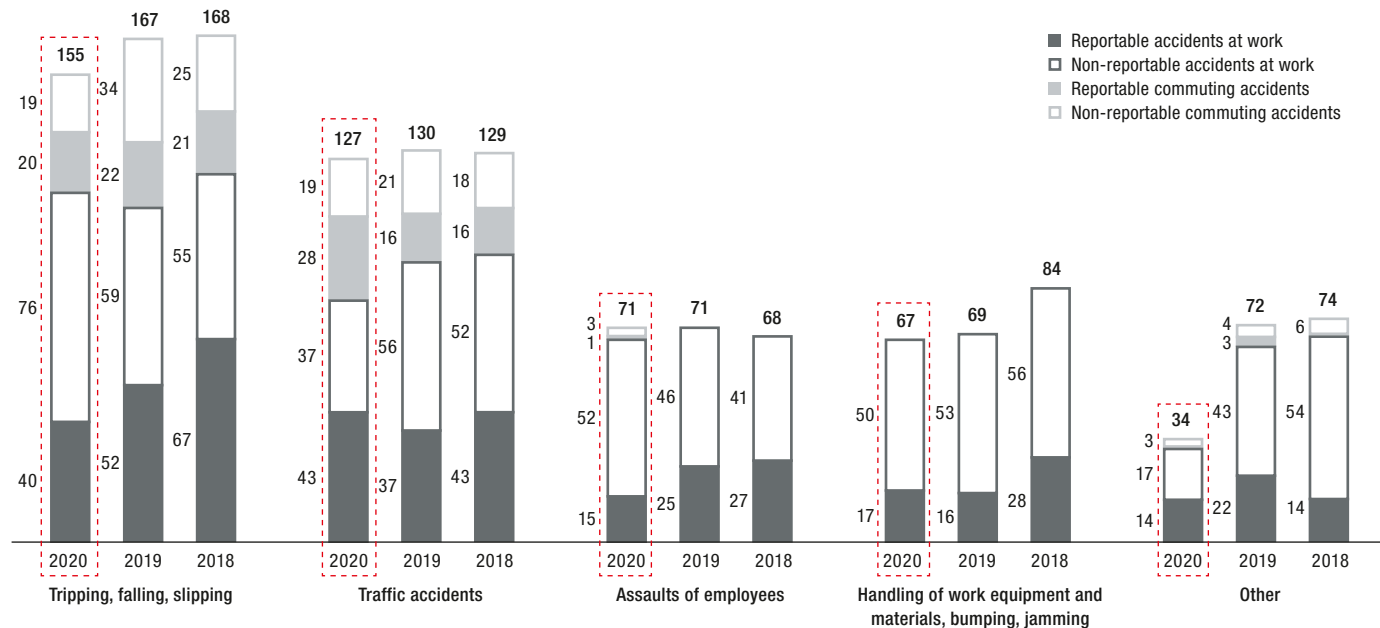
GRI 403-9

	2020	2019	2018
Fatal accidents at work	0	0	0
Fatal commuting accidents	0	0	0
Reportable accidents at work ¹	129	152	179
Non-reportable accidents at work ²	232	257	258
Accidents at work per 1,000 employees ³	20.7	31.1	34
Reportable commuting accidents ¹	49	41	37
Non-reportable commuting accidents ²	43	59	49
Total days away from work due to accidents at work ^{4, 5}	3,646	5,004	5,714
Total days away from work due to commuting accidents ^{4, 5}	1,471	1,318	1,089

- ¹ Accidents resulting in more than 3 days away from work
- ² Accidents resulting in up to 3 days away from work
- ³ 1,000-man rate, based on reportable accidents at work
- ⁴ 2020: provisional figures
- ⁵ 2019: updated figures

Accidents at HOCHBAHN

GRI 403-9



In cases where external contractors are employed, HOCHBAHN pursues a safety strategy that aims to mitigate any elevated risk of accidents or health hazards, and to coordinate work wherever possible. In such scenarios, the external company is itself responsible for reporting and documenting employee accidents. Coordination work also involves ensuring details are provided about the cause of accidents.

Occupational health services

GRI 403-3

The Company Medical Service at HOCHBAHN is positioned as a service provider for management staff and employees, and helps these to implement occupational safety from a medical standpoint. The service aims to ensure the health of all employees while going about their work at HOCHBAHN.

The Company Medical Service is assigned the following tasks:

- Site tours and participation in Occupational Safety Committee sessions
- Regular consultation with external bodies (e.g. employer's liability insurance associations)
- Company medical exams for new hires, fitness tests and work-related medical screening
- Evaluating work-related stress for specific working areas
- Helping with vocational rehabilitation after long illness

The HOCHBAHN Company Medical Service is staffed by a team of seven company doctors supplied by an external service provider. In the 2020 reporting year, the Company Medical Service performed 5,193 medical exams.

Worker participation

GRI 403-4

HOCHBAHN uses a number of approaches to ensure workers are kept informed about occupational safety and health, and to ensure their participation in this topic. As a rule, the Works Council is always involved in the planning of new premises and working areas, projects and working groups. A regular meeting is also held at unit management level. This meeting serves as a sounding board for the orientation and further development of corporate health as a topic. This regular health meeting incorporates the individual working areas as well as key workers, and ensures an interdisciplinary focus is maintained for corporate health decision-making.

The machtfit platform offers employees the chance to book items from HOCHBAHN's "GESUNDHEITplus" programme, and to submit feedback and requests in relation to health management. New topics and formats as well as individual providers are recommended by employees using this portal.

The Occupational Safety Committee (OSC) is composed of a company representative, the company doctors, two representatives from the Works Council, two representatives of the Safety Officers, the company Disability Officer and occupational safety support staff. The OSC is chaired by a member of the HOCHBAHN Management Board. "Responsible persons" and "appointed persons" are also named as committee members. These individuals are responsible for enforcing committee decisions in their units. The OSC is an advisory body for occupational safety. As a result of its composition, the committee is able to take decisions that are to be implemented in the corresponding units. Records of committee sessions are published internally and can be accessed by all employees from the company's Employee Portal.

Worker training

GRI 403-5

The internal training programme at HOCHBAHN encompasses a series of employee training programmes on the subject of occupational safety and health aimed at all employees, as well as special courses for management staff, including company first aid, a basic seminar for safety officers and occupational safety as a management task. There is also an opportunity to attend seminars offered by the VBG employer's liability insurance association.

Occupational health management

GRI 403-6

Occupational health management strategy at HOCHBAHN comprises targeted approaches for specific groups as well as a focus on interdisciplinary networking within the company. Together with the Occupational Medical Service, Occupational Integration Management, the Occupational Health Officers and the company Welfare Advice unit, the various health aspects are considered comprehensively, and this interdisciplinary perspective is strengthened by regular steering meetings held with representatives from the company units. This is supported by extensive communications work, with relevant media provided company-wide in printed and online formats, and also catering to specific professions. All of this ensures that the topic of health is highly visible throughout the company.

Occupational Health Management at HOCHBAHN is currently based on the following seven pillars:

- Management development, aiming at health-oriented management styles
- Employee participation in health management at HOCHBAHN
- Health modules for career starters
- Maintaining and promoting mental health, and crisis intervention backed by a professional support system
- Promotion of a healthy diet
- Various health promotion activities from the “GESUNDHEITplus” programme
- Health modules specific to work at various stages in a career

In the reporting year, alongside the provision of extensive occupational health advice and support to company directors, the crisis team and senior management about the Covid-19 pandemic, other key points of focus included company-internal communications about relevant occupational health measures to protect against infection, aimed at both management and staff. Occupational health management also covered the following areas:

1. “40-days-with-or-without” challenge: a gamified approach to positive habit formation
2. “#wirbleibenfit” challenge: a 30-day challenge to stay active despite Covid restrictions
3. “Staying fit while working from home”: special activity and diet programmes for those working from home, with “GESUNDHEITplus” offers
4. Expansion of the user base for the digital offers on the “GESUNDHEITplus” health promotion platform by activities including additional communications and extended offer periods
5. Significant expansion of the Welfare Advice team’s standby capabilities during the first lockdown, plus installation of a backup system for capacity bottlenecks
6. Free skin cancer screening

As part of welfare advice work, the crisis intervention system was expanded and put on a firmer footing. For the first time, the crisis intervention team at HOCHBAHN remained in place throughout the course of the year, which offered a basis for further improvements and integration.

Evaluation and monitoring

Corporate health activities are documented and analysed as part of an annual health report. As an interdisciplinary instrument, the health report offers a comprehensive view of the current state of health for the workforce, as well as the curative and preventive instruments and products.

Alongside further expansion of the existing, comprehensive portfolio of advisory services and products, the results of the annual health report were used to derive the following key points of focus for 2021:

- An increased focus on straightforward and/or workplace-focused formats for encouraging and promoting personal responsibility
- Optimisation and professionalisation of the crisis intervention system as a made-to-measure prevention package
- Expansion of the “sleep performance” pillar in the occupational health management system

In November 2018, occupational health management at HOCHBAHN was presented with the Corporate Health Award and the accolade “outstanding”. This award recognises that HOCHBAHN not only meets the necessary criteria but is also one of Germany’s best practitioners in this respect, and indeed leads the field in the transport and logistics sector.

Compliance and corruption prevention

GRI 103/205, 205-1, 205-3, 103/419, 419-1

Over the course of its hundred-year history, HOCHBAHN has acquired a reputation as a highly capable and highly principled company. HOCHBAHN employees are both loyal and committed to the work they perform for the company. HOCHBAHN therefore does not tolerate behaviour inconsistent with these values that could damage the company's reputation or standing.

For this reason, the company introduced a comprehensive works agreement on corruption prevention in 2008. This agreement, which was developed jointly by the Management Board and Works Council, serves as a code of conduct to be observed by employees. An analysis of potential corruption risks was also performed in this context and evaluated in 2015.

The works agreement provides a wealth of detail on the topic of corruption, and includes guidance for preventing corruption, such as in relation to the acceptance of gifts, concessions or hospitality. When it comes to the prevention of corruption, management staff should seek to lead by example. They are responsible for following up even anonymous tip-offs about corruption and ensuring that all justified cases of suspected corruption are handled properly.

A certified electronic whistleblower system is available to both company employees and third parties for the anonymous reporting of information about criminal activities within HOCHBAHN, and particularly in relation to corruption. In accordance with the Framework Directive on Compliance for Public-Sector Companies in Hamburg that entered into force in February 2020, HOCHBAHN will introduce a compliance management system by the end of 2021.

As part of the management approach described above, the entire company is subject to regular auditing to identify corruption risks. In the 2020 reporting year, there were no confirmed cases of corruption, nor were any measures taken. No fines or other non-monetary sanctions were levied against HOCHBAHN.

New Work

GRI 103/New Work

Contemporary society is being shaped by a multi-faceted transformation in which the general economic, technological and political conditions are undergoing rapid and fundamental change. The workplace is no exception to these changes – nor is the mobility sector. Digitalisation, automation and electrification are creating new forms of transport and new business models. Personal transport and travel needs are changing. Last but not least, a green mobility transformation is urgently needed to counter climate change, and to safeguard and improve quality of life – especially in large cities such as Hamburg – over the long term.

To position itself in this context as a forward-looking provider of mobility services and an attractive employer, HOCHBAHN is striving to strengthen its innovative abilities and customer focus, pairing this with an emphasis on teamwork as the key to intracompany cooperation. HOCHBAHN therefore views workforce diversity as offering a major advantage.

New ways of working offer a route to achieving this objective. These include organisational approaches such as collaborative working, agile working methods and workplace digitalisation (which include digital forms and processes, new tools for online meetings and remote working). For young professionals in particular, the use of agile methods and their associated agile mindset is an important criterion when deciding whether to accept an offer from an employer. In many teams, agile working methods will also help to reduce rates of staff turnover while improving employee motivation.

At the same time, changes are also needed in leadership culture. This involves a new role model whereby management staff work together with their employees while enjoying greater self-determination in work organisation. Conversely, this also means that company employees themselves share greater responsibility for the success of the business, while the employer is required to provide an attractive working environment that is appropriate to the needs of these employees. Sufficient latitude should also be granted to individuality and independent working styles.

HOCHBAHN introduced agile working methods in the company in 2017. In 2020, the Innovation and Change unit was established. This unit brings together a number of competencies, especially in project management and the use of agile methods, and acts as an ideas factory and service provider to HOCHBAHN and its employees for achieving improvements in relation to company organisation and culture. This work includes the following:

- Provision of support and advice to management staff and company units, project participation
- Completion of a comprehensive cultural analysis (management and employee interviews, project analysis) with the aim of deriving options for action to ensure improved collaboration as well as greater employee motivation – especially in the context of “Hamburg-Takt”
- Trialling of new forms of working and methods in the unit for deployment within HOCHBAHN, and organisational structures such as self-organisation
- Promotion of networking and dialogue within the company, one example here being a corporate culture chat group
- Establishment of agile techniques in the organisation, such as by introducing agile teams and – over the last year – migrating agile teams to virtual formats as a result of Covid-19. Since the introduction of agile working at HOCHBAHN, a total of nine agile teams with an average of six participating employees have now been set up in the company.

Training and education

GRI 103/404

The world of work is changing – and not merely in terms of new professions. In response to a general shortage of specialists, HOCHBAHN is increasingly resorting to internal training measures to ensure a supply of qualified personnel.

In 2020, HOCHBAHN trained an average of 119 trainees and 21 work-study programme students (“dual students”) in 16 different roles and study programmes. The proportion of female trainees and work-study programme students was 30.7 percent. A total of 93.8 percent of the graduates became HOCHBAHN employees in 2020 after completing their training.

The Covid-19 pandemic presented the vocational training and continuing professional development programmes at HOCHBAHN with a number of challenges, as this kind of work benefits in particular from face-to-face interaction and group dynamics. To ensure it could continue to offer its employees the best-possible choice of training programmes even in pandemic conditions, HOCHBAHN massively expanded its online courses while simultaneously organising operationally critical seminars with reduced participant numbers, and corresponding safety and hygiene measures. Wherever possible, new, hybrid training formats were also introduced.

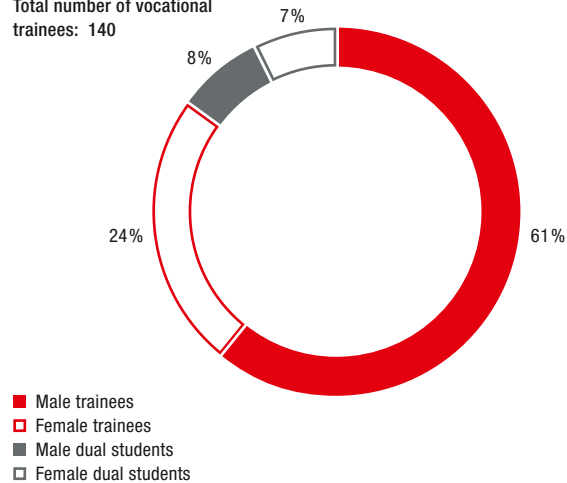
Vocational training at HOCHBAHN

A vocational training course in a technical, industrial or commercial discipline gives HOCHBAHN trainees a varied and thorough grounding in the principles of company operations and practice. HOCHBAHN also partners with several higher education institutions to offer work-study programmes. Agile working methods and a three-day Innovation Camp form an integral part of vocational training at HOCHBAHN. With 16 professions and dual study programmes now available, the company is making a concerted effort to acquire qualified personnel by internal training. Since 2017, HOCHBAHN has offered young adults unable to participate in a full-time programme for family reasons the option of completing vocational training as a part-time course.

Vocational training at HOCHBAHN

GRI 404-1

Total number of vocational trainees: 140



In 2020, the following measures were implemented by HOCHBAHN in relation to vocational training:

- Expansion of work-study programmes to include Industrial Engineering and Management Construction and Real Estate at hs21 Buxtehude
- Hiring of the first two graduates from the part-time vocational training programme for dialogue marketing administrators started in 2017 to fill positions in the Service and Sales department
- Equipping the new trainee classes with digital devices
- Rollout of a subject-specific digital study portal for technical/ industrial training, and implementation of a digital tool to facilitate collaboration
- Successful completion of onboarding work using a hybrid format
- Completion of the first diversity seminar, entitled “Assertiveness and body language skills for increased self-confidence” in March 2020, for female trainees and dual students

Continuing professional education at HOCHBAHN

Carefully aligned with company goals, the programme of personnel development courses at HOCHBAHN creates a framework within which qualified and motivated employees can deepen their commitment to the company, which thereby ensures that HOCHBAHN is well-positioned to meet the challenges it is likely to face in the future.

HOCHBAHN therefore offers an extensive programme of continuing professional education that includes subject-specific seminars, and courses to develop methodological and personal competencies as well as leadership skills. In addition, interested employees are also given the opportunity to attend a number of lifestyle-focused courses offered by HOCHBAHN.

The “FREIZEIT plus” programme offers courses on IT, languages, communication and self-organisation skills, and tours and presentations on HOCHBAHN as a company. There is also a growing e-learning portfolio that offers a comfortable way to learn at the trainee’s own pace. All e-learning courses are accessible from the HOCHBAHN study portal. The curriculum offers a wide range of interactive content and exercises and can be used both on PCs and mobile devices.

HOCHBAHN completed the following activities in relation to continuing professional education in the 2020 financial year:

- Continuation of the continuing professional development programme while complying in full with Covid-19 regulations
- Expansion of digital learning formats to include 26 new courses in the following subject areas: online collaboration and leadership (including office training, chairing digital meetings, remote leadership, method skills) and agile working methods (agile project management, design thinking, agile leadership and the agile mindset)
- Rollout of the HOCHBAHN study portal – a learning management system to which all company employees have access

The HOCHBAHN study portal now acts as the further training hub for all interested employees in the company. The portal hosts all of the “FREIZEIT plus” courses, the internal continuing professional development programme and the e-learning catalogue. Some departments also offer their own internal training programmes.

Training

GRI 404-1

Vocational training	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Trainees	119	112	115	18	18	20
of which men	86	78	87	17	17	19
of which women	33	34	28	1	1	1
Dual students	21	16	16			
of which men	11	7	9			
of which women	10	9	7			
Retention rate, trainees (%)	93.8	90.0	96.9	100.0	100.0	90.0

Continuing professional education

GRI 404-1

Average number of hours for continuing professional education (hours)	HOCHBAHN		
	2020	2019	2018
Per employee	10.1	15.1	13.4
Per employee (drivers)	12.3	11.3	7.9
Per employee (non-drivers)	8	19.8	19.8
Per female employee	9.4	14.5	12.8
Per male employee	10.3	17.7	16.2
Average expenditure on continuing professional education per employee (in €)	77	195	218

Executive development at HOCHBAHN

The executive development strategy within HOCHBAHN is based on developing competencies to match needs. For those just starting out in their management career, HOCHBAHN has arranged a course consisting of nine mandatory seminars. This curriculum focuses on building leadership skills and company-specific knowledge to support management activities. Techniques to diagnose aptitude are deployed to discover action areas relevant for the individual. For those further up the leadership ladder, the emphasis changes to focus on personal development. Various activities and instruments are used here, including both coaching and mentoring. Alongside formal, curriculum-based courses, HOCHBAHN also offers informal, self-study learning formats. One example is the company's extensive e-learning portfolio, which covers a wide range of leadership topics. Internal and external dialogue formats are also used as informal options.

Diversity

GRI 103/405, 103/406

Diversity is of strategic importance to HOCHBAHN. Not least because the promotion of diversity has a significantly positive effect on business success and company development: diversity forms an important part of an innovative and contemporary corporate culture, leads to increased satisfaction among the workforce, improves employer appeal and also makes it easier to recruit highly qualified personnel. Productivity is also higher in more diverse teams. Just as important is the fact that a diverse workforce reflects the diversity of HOCHBAHN's customer base, which makes it easier to develop more tailored services.

With diversity, HOCHBAHN's strategy is to pursue an integrated approach that considers the subject from all angles. One expression of the philosophy that this engenders is an appreciation of the multi-faceted potential of the company's workforce, supplemented by an inclusive corporate culture that rejects discrimination in any shape or form. For these reasons, HOCHBAHN has established diversity as an integral part of its long-term corporate strategy, has been a signatory to the Diversity Charter since 2007, takes part in the German Diversity Day and is proactive in making diversity part of the workplace. The company created the position of Diversity Manager in 2017.

Aspects of HOCHBAHN's work here include a focus on increasing the proportion of women in the company overall (currently around 17 percent) and the intergenerational workforce.

The Supervisory Board set targets for the proportion of women on the Supervisory Board and the Management Board in 2016. The Management Board, in turn, has set related targets for the first two management levels below the Management Board. Two of these targets have now been achieved (see table). HOCHBAHN continues to strive to reach the targets set for all levels of management. In 2021, the HOCHBAHN Supervisory Board and Management Board defined new targets to be met by 31 December 2023.

Targets for the share of women at HOCHBAHN

GRI 405-1

Ebene	Target by 31.12.2020	Actual share (in %) as of 31.12.2020	Target by 31.12.2023
	(share of women in %)		(share of women in %)
Supervisory Board	37.5	31.3	37.5
Management Board	25	25	25
First management level	28	21.7	30
Second management level	19	20.3	25

Diversity

GRI 405-1

	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Total employees¹	6,378	5,607	5,345	303	284	274
Average age (total workforce)	46	46	45	39	39	39
under 30 years old (%)	10.7	11.1	11.2	31.0	32.4	30.7
30–50 years old (%)	47.8	47.5	47.9	41.9	41.9	42.0
over 50 years old (%)	41.5	41.4	41.0	27.1	25.7	27.4
Nationalities (total workforce)	67	60	57	10	11	13
of which German citizens (%)	87.8	90.0	91.1	95.0	95.8	96.4
of which other nationalities (%)	12.2	10.0	8.9	5.0	4.2	3.6
Total employees (excluding managers)	6,046	5,300	5,039	272	253	244
of which men (%)	82.7	82.2	82.6	93.0	93.7	94.4
of which women (%)	17.3	17.8	17.4	7.0	6.3	6.6

¹ The total number of employees working for the company is the sum total of the Management Board, managers and salaried employees, including employees on parental leave.

	HOCHBAHN			FFG		
	2020	2019	2018	2020	2019	2018
Share of women among drivers (%)	11.7 ¹	12.4	11.4			
Average age	46	45	45	38	41	38
under 30 years old (%)	11.2	11.6	11.8	34.2	35.6	34.8
30–50 years old (%)	47.7	47.6	47.8	40.1	38.3	38.1
over 50 years old (%)	41.1	40.8	40.4	25.7	26.1	27.1
Total number of nationalities	67	59	56	10	11	13
of which German citizens (%)	87.2	89.5	90.6	95.5	96.5	97.1
of which other nationalities (%)	12.8	10.5	9.4	4.5	3.5	2.9
Total number of managers	328	303	302	31	31	30
of which men (%)	81.1	81.8	83.4	100.0	100.0	100.0
of which women (%)	18.9	18.2	16.6	0.0	0.0	0.0
Average age	49	49	49	46	44	44
under 30 years old (%)	2.1	1.3	1.3	3.2	6.5	3.3
30–50 years old (%)	49.4	47.2	48.3	58.1	71.0	70.0
over 50 years old (%)	48.5	51.5	50.3	38.7	22.6	26.7
Total number of nationalities	6	6	6	1	1	1
of which German citizens (%)	98.5	98.3	98.3	100.0	100.0	100.0
of which other nationalities (%)	1.5	1.7	1.7	0.0	0.0	0.0
Total number of Management Board members	4	4	4			
of which men (%)	75	75	75			
of which women (%)	25	25	25			
Average age	55	54	53			
under 30 years old (%)	0.0	0.0	0.0			
30–50 years old (%)	50.0	50.0	50.0			
over 50 years old (%)	50.0	50.0	50.0			
Total number of nationalities	1	1	1			
of which German citizens (%)	100	100	100			
of which other nationalities (%)	0	0	0			
Supervisory Board	16	16	16	6	6	5
of which men (%)	68.7	68.7	68.7	66.7	66.7	80.0
of which women (%)	31.3	31.3	31.3	33.3	33.3	20.0
Average age	54	57	56	53	52	53
under 30 years old (%)	0.0	0.0	0.0	0.0	0.0	0.0
30–50 years old (%)	37.5	25.0	25.0	33.3	33.3	20.0
over 50 years old (%)	62.5	75.0	75.0	66.7	66.7	80.0
Share of severely disabled persons						
HOCHBAHN (%)	6.1	6.1	6.4	2.1	1.9	2.3

¹ The share of women among drivers was 10.7% (bus) and 17.3% (U-Bahn) in December 2020

In 2020, the figure for women as a proportion of the overall workforce fell slightly year-on-year, from 17.9 percent (2019) to 17.4 percent. This decline can be attributed to the acquisition of Jasper and Süderelbe Bus GmbH in January 2020. These two companies added approximately 520 employees to the workforce, but only around 5 percent of these were women. In contrast, the proportion of women in management positions rose from 18.4 percent (2019) to 18.9 percent in 2020. Although the proportion of women in management positions trails behind the company-wide figure in many businesses, at HOCHBAHN, the vertical quota for women exceeds the horizontal quota.

In 2020, the following measures were implemented on the topic of diversity at HOCHBAHN:

- Participation in the German Diversity Day
- Support for Hamburg Pride, with the Pride Bus, a bus from regular scheduled services with the slogan #RideWithPride (see also Annual and Sustainability Report, p. 57)
- Various training courses and seminars on topics including “unconscious biases”, and improving mutual understanding between genders, cultures and generations
- Networking events for female management staff
- Networking events for the Queer Group
- Active implementation of gender-neutral language (as introduced in 2019), both in internal and external corporate communications
- Participation in EMOTION Women’s Day–career development
- Organisational handling of a company-wide survey on the subject of working from home
- Further improvements to the mentoring programme
- Launch of a study to assess whether gender-specific wage differentials exist at HOCHBAHN (results will be available in 2021)
- Establishment of an equal opportunities plan
- Company awarded the Helga Stödter Prize (see also Annual and Sustainability Report, p. 60)

In 2021, HOCHBAHN is planning the following measures in relation to diversity:

- Launch of an intergenerational initiative by bringing together a number of areas within this topic with the aim of better integrating the strengths of different generations
- Initial measures, e.g. workshops with colleagues from the 50+ age group, to better understand their needs for maintaining job satisfaction in the years up to retirement age
- Establishment of a formal process pursuant to section 13 of the German General Equal Treatment Act (AGG) (process following a discrimination complaint)
- Organisation of activities for Pride Week 2021
- Creation of a diversity calendar plus internal company communications about days commemorating various diversity topics

Discrimination incidents

GRI 406-1

HOCHBAHN does not tolerate employees being discriminated against for any reason whatsoever. Any employee at HOCHBAHN can contact the Diversity Manager or the Welfare Advice team to report discrimination on account of their gender, age, ethnic background, religion, physical circumstances or some other reason.

HOCHBAHN is not aware of any cases of discrimination for the 2020 reporting year.

Community engagement

As a local company with a long tradition, HOCHBAHN is dedicated to supporting the people in the City of Hamburg. HOCHBAHN therefore believes strongly in supplementing donations in kind with the commitment of time, know-how, infrastructure and the use of its network for the benefit of the people of Hamburg. In this context, HOCHBAHN aims to provide continued support to social and community projects over the long term.

One particular focus here is the company’s work on addressing social responsibilities such as supporting homeless people or promoting the inclusion of disadvantaged groups in the labour market. HOCHBAHN

employees are also actively included in the company's engagement with these issues. The company's commitments were maintained during the Covid-19 pandemic, with some new formats being adopted as a result of contact restrictions. See also the Annual and Sustainability Report, p. 62.

HOCHBAHN provided support for the following social projects in 2020.

“Keep-Warm Bus”, in cooperation with Hanseatic Help

Homeless people have been hit particularly hard by the pandemic. Some facilities and support services offer only limited access due to hygiene regulations, while many homeless people have pre-existing conditions that place them in high-risk groups. As part of the #wärmegeben campaign from Hanseatic Help, HOCHBAHN therefore made its very first “Keep-Warm Bus” available in 2020. The Keep-Warm Bus is a mobile collection point for donations to the homeless in Hamburg. The main focus here is on donations in kind, especially sleeping bags and mats, tents and winter clothing. This partnership will continue in 2021.

GoBanyo – Showers provide dignity

Keeping clean is a basic human right. But a lack of facilities turns it into a luxury. Thanks to GoBanyo, homeless people get free access to sanitary facilities and care products – while also enjoying privacy. For this project, HOCHBAHN supplied a converted bus previously used for public transport. In 2020, the “Shower Bus” saw over 200 days of service and was used for over 3,500 showers. HOCHBAHN is also a member of the GoBanyo Advisory Council, and is providing long-term support to the project with infrastructure and expertise. The company also handles vehicle cleaning and maintenance for the bus.

More than just a hot meal

Since 2012, Rock Antenne Hamburg, Hinz&Kunzt and Friends Cup Förderverein e.V. have organised a special event for homeless people just before Christmas in Hamburg's former fish auction markets with the support of Hamburg-based businesses, as well as a large army of volunteers. For its part, HOCHBAHN provides buses and bus drivers for transporting participants to and from the event.

ASB – Hamburger Tafel

Hamburger Tafel provides food to around 30,000 people on a regular basis with its food bank services. These services are predominantly staffed and run by volunteers who are typically 65 years or older. During the Covid-19 pandemic, many of the food bank distribution points

had to close, because most of these volunteers belong to a risk group. So in 2020, HOCHBAHN trainees and dual students sprang into action to replace them, staffing one of the five mobile ASB food banks where food could be handed out in accordance with distancing regulations.

Hamburg packt's zusammen

(Hamburg gets it (done) together)

In April 2020, 16 companies signed up as initial partners for the initiative “Hamburg packt's zusammen!”, joining forces with the charity Hanseatic Help e.V. A large part of this charity's work involves putting together care parcels for disadvantaged members of society and distributing these parcels via various community facilities. Alongside families with both younger and older children, older people and the homeless, refugees and students all benefit from the “Hamburg packt's zusammen!” initiative. By February 2021, the number of participating companies had grown to 29, with some 750,000 euros being amassed in the form of products and other donations in kind. To date, the 210 volunteers have packed up more than 30,000 parcels and therefore helped over 60,000 people. HOCHBAHN trainees and dual students have also helped out with this packing work. In addition, HOCHBAHN has supported this initiative by featuring the campaign on its passenger TV service and by helping out with logistics.

Social Day

A keen interest in the importance of social responsibility and raising awareness of the role played by voluntary work resulted in the creation of Social Day at HOCHBAHN. As a result, HOCHBAHN trainees and dual students now swap a full day of work at the company for time spent on a community activity. This might involve parcelling up clothing for people in need, tackling gardening work at facilities for homeless people, refugees and asylum-seekers, or organising holiday activities for kids at the Arche Billstedt charity.

Alongside these projects, HOCHBAHN is also represented on the Social Responsibility Committee in the Hamburg Chamber of Commerce. In 2020, this Committee addressed the question of “Hamburg 2040: How do we want to live – and how will we achieve it?”.



Detailed information on HOCHBAHN's various social projects can be found on the company's website under Taking responsibility - locally and globally.

www.hochbahn.de/hochbahn/hamburg/en/home/company/our_contribution/social_responsibility

Sustainability frameworks

HOCHBAHN's GRI report was prepared in accordance with the GRI Standards "Core" option. The GRI has confirmed the placement of the General Standard Disclosures GRI 102-40 to 102-49 using a Materiality Disclosure Service.

The GRI Content Index lists all topics on which HOCHBAHN reports in accordance with the GRI Standards. The content index also shows which principles of the United Nations Global Compact (UNGC) and

which criteria of the German Sustainability Code (DNK) the respective statements provide information on. It also presents the link to the United Nations Sustainable Development Goals (SDGs).

The ten principles of the United Nations Global Compact (UNGC)

Human rights

1. Businesses should support and respect the protection of internationally proclaimed human rights
2. Businesses should ensure that they are not complicit in human rights abuses.

Labour standards

3. Businesses should uphold the freedom of association and the effective recognition of the right to collective bargaining.
4. Businesses should uphold the elimination of all forms of forced and compulsory labour.
5. Businesses should uphold the effective abolition of child labour.
6. Businesses should uphold the elimination of discrimination in respect of employment and occupation.

Environment

7. Businesses should support a precautionary approach to environmental challenges
8. Businesses should undertake initiatives to promote greater environmental responsibility
9. Businesses should encourage the development and diffusion of environmentally friendly technologies.

Anti-corruption

10. Businesses should work against corruption in all its forms, including extortion and bribery.

More at: <https://www.unglobalcompact.org/>

The 20 criteria of the German Sustainability Code (DNK)

Strategy

1. Strategic analysis and measures
2. Materiality
3. Objectives
4. Depth of the value chain

Process management

5. Responsibility
6. Rules and processes
7. Control
8. Incentive schemes
9. Stakeholder engagement
10. Innovation and product management

Environment

11. Usage of natural resources
12. Resource management
13. Climate-relevant emissions

Society

14. Employee rights
15. Equal opportunities
16. Qualifications
17. Human rights
18. Corporate citizenship
19. Political influence
20. Conduct that complies with the law and policy

More at:

www.deutscher-nachhaltigkeitskodex.de

THE 17 SUSTAINABLE DEVELOPMENT GOALS (SDGs)



For the Materiality Disclosures Service, the GRI Service Team checked whether the GRI Content Index is clearly presented and the references for disclosures 102-40 to 102-49 are consistent with the relevant parts of the report. The service was performed for the German version of the report.



GRI Content Index

GRI 102-55

GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 or reference	Comment	UNGC Principle	DNK Criterion	SDG
GRI 101: Foundation 2016			GRI 101 does not contain any disclosures.			
GRI 102: General disclosures 2016						
102-1	Name of the organisation	7				
102-2	Activities, brands, products	7				
102-3	and services	7				
102-4	Location of headquarters	7				
102-5	Location of operations	7				
102-6	Ownership and legal form	7				
102-7	Markets served	7				
102-8	Scale of the organisation	42		6		8
102-9	Information on employees and other workers	38			4	
102-10	Supply chain	7			4	
102-11	Significant changes to the organisation and its supply chain	5, 26, 46		7, 8, 9	1, 3	
102-12	Precautionary principle or approach	11			1	
102-13	External initiatives	11			19	
102-14	Membership of associations	5			1	
102-16	Statement from senior decision-maker	8		1-10	5, 6, 7	
102-18	Values, principles, standards and norms of behaviour	11, Management report 2020: p. 47				
102-19	Governance structure	11				
102-35	Delegating authority	44, Management report 2020: p. 15			8	
102-38	Remuneration policies	44, Management report 2020: p. 16			8	
102-40	Annual total compensation ratio	11				
102-41	List of	44		3	14	8
102-42	stakeholder groups	11			9	
102-43	Collective bargaining agreements	11, 19, 20			9	
102-44	Identifying and selecting stakeholders	13			9	



GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 or reference	Comment	UNGC Principle	DNK Criterion	SDG
102-45	Approach to stakeholder engagement	6, Annual report 2020: p. 3				
102-46	Key topics and concerns raised	13				
102-47	List of material topics	14			2	
102-48	Restatements of information	6				
102-49	Changes in reporting	6			2	
102-50	Reporting period	6				
102-51	Date of most recent report	6				
102-52	Reporting cycle	6				
102-53	Contact point for questions regarding the report	6				
102-54	Claims of reporting in accordance with the GRI Standards	6				
102-55	GRI Content Index	60				
102-56	External assurance	6				
Noise protection						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		32				3
New Work						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		50			10	8, 9
GRI 201: ECONOMIC PERFORMANCE						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		7				
201-1	Direct economic value generated and distributed	Management report 2020: p. 27			18	8, 9
GRI 203: INDIRECT ECONOMIC IMPACTS 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		15		8, 9		
203-1	Infrastructure investments and services supported	7, 15 Annual report 2020: p. 12		8, 9	10	5, 9, 11
GRI 205: ANTI-CORRUPTION 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		50		10		
205-1	Operations assessed for risks related to corruption	50		10	20	
205-3	Confirmed incidents of corruption and actions taken	50		10	20	
GRI 301: MATERIALS 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		37		7, 9		

3 GOOD HEALTH AND WELL-BEING



5 GENDER EQUALITY



8 DECENT WORK AND ECONOMIC GROWTH



9 INDUSTRY, INNOVATION AND INFRASTRUCTURE



11 SUSTAINABLE CITIES AND COMMUNITIES



GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 or reference	Comment	UNGC Principle	DNK Criterion	SDG
301-1	Materials used by weight or volume	38			11	
GRI 302: ENERGY 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		32, 34, 35, 37, 39		7, 8, 9		
302-1	Energy consumption within the organisation	33		8, 9	11, 12, 13	7, 9, 12, 13
302-3	Energy intensity	34		8, 9	12, 13	7, 12, 13
302-4	Reduction of energy consumption	36		8, 9	10, 12, 13	7, 12, 13
GRI 305: EMISSIONS 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		26, 29, 39		7, 8, 9		
305-1	Direct (Scope 1) GHG emissions	27		8, 9	13	9, 12, 13
305-2	Energy indirect (Scope 2) GHG emissions	27		8, 9	13	12, 13
305-3	Other indirect (Scope 3) GHG emissions		Scope 3 emissions are currently not yet recorded.		13	12, 13
305-4	GHG emissions intensity	28		8, 9	13	12, 13
305-5	Reduction of GHG emissions	27			13	12, 13
305-7	Nitrogen oxides (NOx), sulphur oxides (SOx) and other significant air emissions	31			13	3, 12
GRI 308: SUPPLIER ENVIRONMENTAL ASSESSMENT 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		38		7, 8, 9		
308-1	New suppliers that were screened using environmental criteria	38		8	4	
GRI 401: EMPLOYMENT 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		41		6		
401-1	New employee hires and employee turnover	43		6		5, 8
401-3	Parental leave	45		6		5, 8
GRI 403: OCCUPATIONAL HEALTH AND SAFETY 2018						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		46		1		
403-1	Occupational health and safety management system	46		1	14	3, 8
403-2	Hazard identification, risk assessment and incident investigation	46				3, 8

3 GOOD HEALTH AND WELL-BEING



7 AFFORDABLE AND CLEAN ENERGY



9 INDUSTRY, INNOVATION AND INFRASTRUCTURE



12 RESPONSIBLE CONSUMPTION AND PRODUCTION



13 CLIMATE ACTION



GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 or reference	Comment	UNGC Principle	DNK Criterion	SDG
403-3	Occupational health services	48				3, 8
403-4	Worker participation, consultation and communication on occupational health and safety	48			14	3, 8
403-5	Worker training on occupational health and safety	48				3, 8
403-6	Promoting worker health	48				3, 8
403-7	Prevention and mitigation of occupational health and safety impacts directly linked by business relationships	46				3, 8
403-8	Workers covered by an occupational health and safety management system	46				3, 8
403-9	Work-related injuries	47			14	3, 8
GRI 404: TRAINING AND EDUCATION 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		51		1, 6		
404-1	Average hours of training per year per employee	52, 53		6	16	4, 5
GRI 405: DIVERSITY AND EQUAL OPPORTUNITY 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		54		1, 6		
405-1	Diversity of governance bodies and employees	54		6	15	5, 8
GRI 406: NON-DISCRIMINATION 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		54		1, 2, 6		
406-1	Incidents of discrimination and corrective actions taken	56		6		5, 8
GRI 413: LOCAL COMMUNITIES 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		19				
413-1	Operations with local community engagement, impact assessments and development programmes	19				11
GRI 414: SUPPLIER SOCIAL ASSESSMENT 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		38		1-6		
414-1	New suppliers that were screened using social criteria	38		1-6	4, 17	5, 8
GRI 416: CUSTOMER HEALTH AND SAFETY 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		23				

3 GOOD HEALTH AND WELL-BEING



4 QUALITY EDUCATION



5 GENDER EQUALITY



8 DECENT WORK AND ECONOMIC GROWTH



GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 or reference	Comment	UNGC Principle	DNK Criterion	SDG
416-1	Assessment of the health and safety impacts of product and service categories	23				3, 11
GRI 418: CUSTOMER PRIVACY 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		40				
418-1	Substantiated complaints concerning breaches of customer privacy and losses of customer data	41				
GRI 419: SOCIOECONOMIC COMPLIANCE 2016						
GRI 103: Management approach 2016 (incl. 103-1, 103-2, 103-3)		50				
419-1	Non-compliance with laws and regulations in the social and economic area	50			20	

3 GOOD HEALTH AND WELL-BEING



5 GENDER EQUALITY



8 DECENT WORK AND ECONOMIC GROWTH



11 SUSTAINABLE CITIES AND COMMUNITIES



Additional GRI performance indicators disclosed by HOCHBAHN based on the DNK criteria:

GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 Disclosure or reference	Comment	UNGC Principle	DNK Criterion	SDG
GRI 303: WATER AND EFFLUENTS 2018						
303-3	Water withdrawal	38			11, 12	12
GRI 306: WASTE 2020						
306-3	Waste generated	38			11, 12	11, 12
GRI 403: OCCUPATIONAL HEALTH AND SAFETY 2018						
403-10	Work-related ill health		Involvement in clarifying and determining work-related illnesses is carried out at the initiative of the employer's liability insurance association (VBG) responsible for HOCHBAHN, which is also responsible for the recognition of occupational illnesses. This is usually done for one or two cases per year.		14	
GRI 412: HUMAN RIGHTS ASSESSMENT 2016						
412-1	Operations that have been subject to human rights reviews or impact assessments		The operating sites of HOCHBAHN are located in Germany, where high legal standards regarding the observance of human rights apply. No separate audit has been performed.	1-6	17	
412-3	Significant investment agreements and contracts that include human rights clauses or that underwent human rights screening	38		1-6	17	



GRI Standard and disclosure	Title of disclosure	Page(s) in the GRI report 2020 Disclosure or reference	Comment	UNGC Principle	DNK Criterion	SDG
GRI 414: SUPPLIER SOCIAL ASSESSMENT 2016						
414-2	Negative social impacts in the supply chain and actions taken		By signing the Code of Conduct, the direct suppliers and business partners of HOCHBAHN commit themselves to complying with social standards and human rights. HOCHBAHN asks manufacturers to supply information on compliance with social standards and human rights – including at subordinated levels of the supply chain – for product groups with a risk profile and considers such information when making the award decision.	1-6	4, 17	5, 8
GRI 415: PUBLIC POLICY 2016						
415-1	Political contributions	11		10	19	
FS11	Percentage of assets subject to positive and negative environmental or social screening		Investments in financial assets mainly related to the purchase of money market fund shares in the amount of €1.6 million, which serve to finance partial retirement and long-term working hours accounts. Investments are not screened based on environmental or social factors.		10	

5 GENDER EQUALITY



8 DECENT WORK AND ECONOMIC GROWTH



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