

Declaration of Principles pursuant to § 6 (2) of the German Supply Chain Due Diligence Act (Lieferkettensorgfaltspflichtengesetz (LkSG))

Preamble

With this declaration, the Helmholtz Centre for Infection Research commits itself to responsible and sustainable action and respect for human rights at all company sites and ensures that human rights are observed and complied with by direct suppliers. The HZI supports the implementation of internationally recognized principles on human rights and fair working conditions as well as the minimization of environmental pollution and the promotion of environmental protection in its own business area.

The responsibility for implementing the declaration of principles in accordance with the conditions of the Supply Chain Duty of Care Act lies with the management and is regarded and managed as a central corporate action.

The management aims to ensure the implementation of the principles of the Supply Chain Due Diligence Act through clear structures and responsibilities.

1. Compliance with internationally applicable standards

The following internationally recognized standards are taken as basis for the Helmholtz Centre for Infection Research's observance of human rights.

- United Nations Universal Declaration of Human Rights UDHR | A/RES/217, UN Doc. 217/A-(III) (including recognition of the inherent dignity and inalienable rights of all members of the human community for freedom, justice and peace)
- Principles of the UN Global Compact (including protection of international human rights, prevention of human rights violations, precautionary principle for environmental problems)
- Core labor standards of the International Labor Organization (ILO) with their four basic principles (freedom of association and the right to collective bargaining, abolition of forced labor, elimination of child labor, no discrimination in employment and occupation)
- European Convention for the Protection of Human Rights and Fundamental Freedoms (including the Universal Declaration on the Protection and Development of Human Rights)

2. Implementation of measures to fulfill due diligence obligations

In order to ensure compliance with human rights and environmental protection in its own company and with direct suppliers, the Helmholtz Centre for Infection Research has established the following procedures for fulfilling its legal obligations in accordance with the requirements of § 6 (2) sentence 3 no. 1 LkSG:

- § 4 (1) LkSG (risk management)
 - o We have established an LkSG-related risk management system.
- § 5 (1) LkSG (risk analysis)
 - o We carry out an annual risk analysis to determine human rights and environmental risks. The results of the risk analysis are documented.
 - § 6 (3) to (5) LkSG (preventive measures)
 - § 7 LkSG (remedial measures)

- §§ 8 and 9 LkSG (complaints procedure)
- § 9 LkSG (measures concerning indirect suppliers)
- § 10 LkSG (documentation and reporting obligations)
- o In case of actual indications of a violation of a human rights-related or environmental obligation at suppliers is (substantiated knowledge), an event-related risk analysis is carried out immediately and, if necessary, measures are updated accordingly and taken in accordance with § 9 (3) LkSG.
- § 8 LkSG (complaints procedure)
The HZI has set up a whistleblower system and an internal reporting office for employees and third parties. Using a digital system, there is the possibility for confidential and, if desired, anonymous reporting of human rights or environmental risks as well as the reporting of violations of human rights or environmental obligations caused by the HZI or by direct and indirect suppliers of the HZI or cooperation and business partners.

3. Identification of human rights and environmental risks

Based on our annual and ad-hoc risk analysis, we identify our main risks with regard to human rights and environmental protection within our supply chains. The following priority human rights and environmental risks have been identified in accordance with the requirements of § 6 (2) sentence 3 no. 2 LkSG:

- Forced and child labor
- Restrictions on freedom of assembly and association
- Discrimination in any form (e.g. based on gender, age, ethnic and social origin, nationality, religion or ideology, physical or mental disability, sexual orientation)
- Endangering data protection and privacy
- Threats to health and safety in the place of employment
- Health hazards due to environmental pollution
- Corruption and bribery
- Restriction of access to education

4. Expectations regarding compliance with human rights and environmental risks and prevention

The Helmholtz Centre for Infection Research expects all employees and all business partners and suppliers to respect the protection of the environment and human rights and to comply with corresponding legal and internal requirements.

In accordance with the requirements (§ 3 of this declaration), the following groups of people are considered to be particularly worthy of protection:

- Women
- Elderly people
- Children
- Sick people and people with disabilities
- Groups in weak/unregulated environments
- Ethnic/religious minorities
- People with low education or limited access to education

We contribute to prevention through a strict supplier selection process, through which we carefully select our main suppliers and check them for human rights and environmental

anomalies. Furthermore we have clearly defined our expectations toward suppliers with regard to environmental protection and human rights.

5. Further development of human rights due diligence processes

As an internationally operating research center, the Helmholtz Centre for Infection Research attaches great importance to respecting human rights, protecting the environment and implementing due diligence accordingly. The Helmholtz Centre for Infection Research will ensure that the due diligence obligations arising from the LkSG are complied with and regularly adapted to the requirements.

Braunschweig, July 15, 2024

Management of the Helmholtz Centre for Infection Research GmbH