

Control Union
Certifications B.V.
Evaluation of Uniper
Global Commodities SE
Compliance with the SBP
Framework: Public
Summary Report

www.sbp-cert.org



Completed in accordance with the CB Public Summary Report Template Version 1.0

For further information on the SBP Framework and to view the full set of documentation see www.sbp-cert.org

Document history

Version 1.0: published 26 March 2015

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1 Overview

CB Name and contact: Control Union Certifications B.V.
 Primary contact for SBP: Mr. L.J. Verwijst
verwijst@controlunion.com
 Report completion date: Date; 18/Sep/2017
 Report authors: Mr. K. Stuij (Lead Auditor)
 Mr. L. Verwijst (Certifier)

Certificate Holder: Uniper Global Commodities SE
 Holzstrasse 6
 D-40221 Dusseldorf
 Germany

Producer contact for SBP: Mr. Vico Oosterman

Certified Supply Base: N/A - trader

SBP Certificate Code: SBP-06-10

Date of certificate issue: 15/Jan/2018

Date of certificate expiry: 14/Jan/2023

Indicate where the current audit fits within the certification cycle				
Main (Initial) Audit	First Surveillance Audit	Second Surveillance Audit	Third Surveillance Audit	Fourth Surveillance Audit
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2 Scope of the evaluation and SBP certificate

The scope of this evaluation includes trading of wood pellets. The scope is matching with the application form and only includes SBP standards 4 and 5. No discrepancies were found.

3 Specific objective

The specific objective of this evaluation was to confirm that the Biomass Trader's management system is capable of ensuring that all requirements of specified SBP Standards are implemented across the entire scope of certification.

4 SBP Standards utilised

4.1 SBP Standards utilised

Uniper Global Commodities SE is an SBP applicant organization with the following SBP standards in the scope of the Main audit:

<p><i>SBP Standard 4: Chain of Custody</i></p> <p><i>Version 1.0: published 26 March 2015</i></p>
<p><i>SBP Standard 5: Collection and Communication of Data</i></p> <p><i>Version 1.0: published 26 March 2015</i></p>

4.2 SBP-endorsed Regional Risk Assessment

Not applicable

5 Description of Biomass Producer, Supply Base and Forest Management

5.1 Description of Biomass Producer

Uniper Global Commodities SE is an international energy company. They combine a balanced portfolio of technology advanced large-scale assets with technical and commercial expertise. The company owns and operates different power plants located across Europe and Russia using the full range of generation technologies.

Trough their sales organisations in Germany, France and The Netherlands, they market a wide range of electricity and gas products to different costumers, industrial and residential.

The company is active in trading business in power, emission certificates, natural gas, LNG, coal, biomass and freight.

5.2 Description of Biomass Producer's Supply Base

Not applicable, The company is a Biomass Trader

5.3 Detailed description of Supply Base

Not applicable, The company is a Biomass Trader

5.4 Chain of Custody system

At the time of this audit, the FSC and PEFC COC audit was also executed. The company was certified for FSC on 10-11-2017 and for PEFC on 09-11-2017. All COC systems are integrated with each other in the internal systems of the company. The FSC COC system is chosen by the company as the main base for SBP Chain of Custody.

6 Evaluation process

6.1 Timing of evaluation activities

Activity	Date/time	Location	Executed by
Preparation, planning (remote)	30-06-2017	Remote	Kees Stuij (lead auditor)
Onsite audit			
Opening meeting	18-09-2017 9:15-10:00	Dusseldorf	Kees Stuij
Desktop review	18-09-2017 10:00-12:30	Dusseldorf	Kees Stuij
Office audit	18-09-2017 13:00-14:30	Dusseldorf	Kees Stuij
GHG paper audit and evidence review.	18-09-2017 14:30-17:00	Dusseldorf	Kees Stuij
Closing meeting	18-09-2017	Dusseldorf	Kees Stuij
Report finalisation	10-11-2017	Zwolle	Kees Stuij / Loek Verwijst (certifier)

Names and affiliations of people interviewed

Name:	Affiliation:
Mr Vico Ostermann	Biomass Sourcing Manager
Mr Jan Groeneveld	Biomass Sourcing
Mr Alf van Weereld	Head of Biomass Sourcing and Trading
Mr Cees Trouwborst	Logistic manager

6.2 Description of evaluation activities

The following activities were performed:

Evaluation step	Audited	Method used
Preparation	Scope	Email, documents, telephone
Main audit	Office visit, in depth review of procedures, documents and templates, random check suppliers documentation	Visual inspection, Interview, documents, records
Reporting and review		Email, documents

The following CCPs were found and assessed with special attention

Critical control points, summary	
Identified CCP	Evaluation CCP
Front Office Contracting Phase: purchase and sales trades are made. Checking of Valid certificates in case of SBP	Procedures in place. Training done. Interview confirms understanding of the system.
Front Office: Putting purchase and sales into the system: correctly input of all requirements in the system for operations to know what to expect	Procedures in place. Training done. Interview confirms understanding of the system. Checked and confirmed by liability officer prior to execution phase.
Operations: Execution phase: receiving of the material and all accompanying documents. Filling out DTS system and adding SREG information	"Procedures in place. Training done. Interview confirms understanding of the system.
Back office: Final invoices sent. (Logo's or claims)	Procedures in place. Training of responsible staff done

6.3 Process for consultation with stakeholders

Not applicable, The company is a Biomass Trader

Results

6.4 Main strengths and weaknesses

The audit was conducted in an open and positive environment. Company was well prepared for the audit both in knowledge as in manual and management system. No issues were found that could be raised as non-compliance to the requirement of the standard. The depth procedures and record keeping are thought to be more than sufficient for the size and complexity of the company.

6.5 Rigour of Supply Base Evaluation

Not applicable, Uniper Global Commodities SE is a Biomass Trader

6.6 Compilation of data on Greenhouse Gas emissions

The company has in depth procedures for this. The company is involved trades including vessel and barge transport, calculations were all prepared. Further on the company has just to assure completeness of incoming documentation to forward to their buyers.

6.7 Competency of involved personnel

The company consist of a biomass trading desk of which one has the main responsibility related to the SBP system. During the audit the auditee showed clear and in-depth understanding of SBP, its procedures and the proper execution of those. Considering the size of the company, there were no risks detected related to the competency of involved personnel.

6.8 Stakeholder feedback

Not applicable, Uniper Global Commodities SE is a Biomass Trader so no stakeholder consultation is executed by the CB.

6.9 Preconditions

There were no non-conformities detected during this audit, and therefore also no pre-conditions before certification.

7 Review of Biomass Producer's Risk Assessments

Not applicable, Uniper Global Commodities SE is a Biomass Trader.

8 Review of Biomass Producer's mitigation measures

Not applicable, The company is a Biomass Trader.

9 Non-conformities and observations

There were no non-conformities detected during this audit.

10 Certification decision

The management system, procedures, and techniques of Uniper Global Commodities SE. have been assessed by CUC according to the standard(s) described in chapter 4.1 of this summary. In the opinion of the lead auditor (Kees Stuij):

Uniper Global Commodities SE is in conformity with the certification requirements and a certificate should be issued.

Date of certification: 15.01.2018.

Expiry date of certificate: 14.01.2023.

Once certified, Uniper Global Commodities SE will be audited at least annually to monitor its continued conformity with all applicable certification requirements.

11 Surveillance updates

This was an initial audit. A surveillance update is not yet applicable.

11.1 Evaluation details

11.2 Significant changes

11.3 Follow-up on outstanding non-conformities.

11.4 New non-conformities

11.5 Stakeholder feedback

11.6 Conditions for continuing certification

11.7 Certification recommendation