

# SBP

Sustainable Biomass Program

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

First Surveillance Audit

[www.sbp-cert.org](http://www.sbp-cert.org)



## Completed in accordance with the CB Public Summary Report Template Version 1.4

*For further information on the SBP Framework and to view the full set of documentation see  
[www.sbp-cert.org](http://www.sbp-cert.org)*

### *Document history*

*Version 1.0: published 26 March 2015*

*Version 1.1: published 30 January 2018*

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# 1 Overview

CB Name and contact:	Control Union Certifications B.V.
Primary contact for SBP:	Andrea Ferrazzo
Current report completion date:	13/Sep/2018
Report authors:	Ing. Koen Jongste (auditor), Andrea Ferrazzo (certifier)
Name of the Company:	Uniper Global Commodities SEHolzstrasse 6D-40221 Dusseldorf Germany
Company contact for SBP:	Alfons van-Weereld Senior Manager
Certified Supply Base:	Not applicable
SBP Certificate Code:	SBP-06-10
Date of certificate issue:	15/Jan/2018
Date of certificate expiry:	14/Jan/2023

This report relates to the First Surveillance Audit

## 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

Please select all SBP Standards used during this evaluation. All Standards can be accessed and downloaded from <https://sbp-cert.org/documents/standards-documents/standards>

- SBP Framework Standard 1: Feedstock Compliance Standard (Version 1.0, 26 March 2015)
- SBP Framework Standard 2: Verification of SBP-compliant Feedstock (Version 1.0, 26 March 2015)
- SBP Framework Standard 4: Chain of Custody (Version 1.0, 26 March 2015)
- SBP Framework Standard 5: Collection and Communication of Data (Version 1.0, 26 March 2015)

### 4.2 SBP-endorsed Regional Risk Assessment

Not applicable

## 5 Description of Company, Supply Base and Forest Management

### 5.1 Description of Company

Uniper Global Commodities is part of an international energy company with about 13,000 employees. They overall combine a balanced portfolio of technologically advanced large scale assets with outstanding technical and commercial expertise. These assets and capabilities enable them to deliver flexible, bespoke, competitively priced energy products and services with agility, precision and speed.

Uniper Global Commodities acts as the purchasing department that provides the holdings powerplant with fuels, for biofuels Uniper Global will act as a trader toward third parties. For uniper Global they are acting as outsourcing subcontractor under FSC.

Uniper Global Commodities is FSC CoC and PEFC CoC and SBP certified

### 5.2 Description of Company'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

Uniper Global Commodities holds valid FSC Chain of Custody (COC) and PEFC (COC) certificates. They will (normally ) trade back to back or possibly store material separately without mixing. The sustainability characteristics will stay linked to the shipment and are noted in their transfer system registration balance. The outgoing sustainability declaration will be the same as the incoming declaration, having the same sustainability characteristics. The GHG for handling and shipping while the material is in their possession will be noted in their sreg. Communication and passing information in the chain will be done with the use of the DTS system.



## 6 Evaluation process

### 6.1 Timing of evaluation activities

Preparation 06-09-2018 (email on scope and planning Loek Verwijst), Desktop review 11-09-2018 ing Koen Jongste (lead auditor), Office audit 12-09-2018 ing Koen Jongste (lead auditor), GHG paper audit and evidence review 12-09-2018 ing Koen Jongste (lead auditor), reporting 13-09-2018 ing Koen Jongste (lead auditor),

### 6.2 Description of evaluation activities

Preparation Scope, main audit Office visit, in depth review of procedures, documents and templates, random check suppliers documentation, Visual inspection, Interview, documents, records, Reporting and review

### 6.3 Process for consultation with stakeholders

Not applicable, the company is a Biomass Trader

## 7 Results

### 7.1 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. No SBP material was traded yet.

### 7.2 Rigour of Supply Base Evaluation

Not applicable, Uniper Global Commodities SE is a Biomass Trader

### 7.3 Collection and Communication of Data

The company has in depth procedures for this. Understand DTS system, though no actual trades have yet been received. 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.

### 7.4 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

### 7.5 Stakeholder feedback

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

### 7.6 Preconditions

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

## 8 Review of Company’s Risk Assessments

*Describe how the Certification Body assessed risk for the Indicators. Summarise the CB’s final risk ratings in Table 1, together with the Company’s final risk ratings. Default for each indicator is ‘Low’, click on the rating to change. Note: this summary should show the risk ratings before AND after the SVP has been performed and after any mitigation measures have been implemented.*

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

**Table 1. Final risk ratings of Indicators as determined BEFORE the SVP and any mitigation measures.**

Indicator	Risk rating (Low or Specified)	
	Producer	CB
1.1.1	Low	Low
1.1.2	Low	Low
1.1.3	Low	Low
1.2.1	Low	Low
1.3.1	Low	Low
1.4.1	Low	Low
1.5.1	Low	Low
1.6.1	Low	Low
2.1.1	Low	Low
2.1.2	Low	Low
2.1.3	Low	Low
2.2.1	Low	Low
2.2.2	Low	Low
2.2.3	Low	Low
2.2.4	Low	Low
2.2.5	Low	Low
2.2.6	Low	Low
2.2.7	Low	Low
2.2.8	Low	Low
2.2.9	Low	Low
2.3.1	Low	Low
2.3.2	Low	Low

Indicator	Risk rating (Low or Specified)	
	Producer	CB
2.3.3	Low	Low
2.4.1	Low	Low
2.4.2	Low	Low
2.4.3	Low	Low
2.5.1	Low	Low
2.5.2	Low	Low
2.6.1	Low	Low
2.7.1	Low	Low
2.7.2	Low	Low
2.7.3	Low	Low
2.7.4	Low	Low
2.7.5	Low	Low
2.8.1	Low	Low
2.9.1	Low	Low
2.9.2	Low	Low
2.10.1	Low	Low

**Table 2. Final risk ratings of Indicators as determined AFTER the SVP and any mitigation measures.**

Indicator	Risk rating (Low or Specified)	
	Producer	CB
1.1.1	Low	Low
1.1.2	Low	Low
1.1.3	Low	Low
1.2.1	Low	Low
1.3.1	Low	Low
1.4.1	Low	Low
1.5.1	Low	Low
1.6.1	Low	Low
2.1.1	Low	Low
2.1.2	Low	Low
2.1.3	Low	Low
2.2.1	Low	Low
2.2.2	Low	Low
2.2.3	Low	Low
2.2.4	Low	Low
2.2.5	Low	Low
2.2.6	Low	Low
2.2.7	Low	Low
2.2.8	Low	Low
2.2.9	Low	Low
2.3.1	Low	Low
2.3.2	Low	Low

Indicator	Risk rating (Low or Specified)	
	Producer	CB
2.3.3	Low	Low
2.4.1	Low	Low
2.4.2	Low	Low
2.4.3	Low	Low
2.5.1	Low	Low
2.5.2	Low	Low
2.6.1	Low	Low
2.7.1	Low	Low
2.7.2	Low	Low
2.7.3	Low	Low
2.7.4	Low	Low
2.7.5	Low	Low
2.8.1	Low	Low
2.9.1	Low	Low
2.9.2	Low	Low
2.10.1	Low	Low

## 9 Review of Company's mitigation measures

Not applicable, the company is a Biomass Trader

## 10 Non-conformities and observations

Identify all non-conformities and observations raised/closed during the evaluation (a tabular format below may be used here). Please use as many copies of the table as needed. For each, give details to include at least the following:

- applicable requirement(s)
- grading of the non-conformity (major or minor) or observation with supporting rationale
- timeframe for resolution of the non-conformity
- a statement as to whether the non-conformity is likely to impact upon the integrity of the affected SBP-certified products and the credibility of the SBP trademarks.

<b>NC number</b> <i>Enter number</i>	<b>NC Grading:</b> <i>Choose grading.</i>
<b>Standard &amp; Requirement:</b>	There were no non- <input type="checkbox"/> conformities detected during this audit.
<b>Description of Non-conformance and Related Evidence:</b>	
<i>Click or tap here to enter NC description.</i>	
<b>Timeline for Conformance:</b>	<i>Choose NC timeline.</i>
<b>Evidence Provided by Company to close NC:</b>	<i>Click or tap here to enter description provided by Company to close the NC.</i>
<b>Findings for Evaluation of Evidence:</b>	<i>Click or tap here to enter findings for evaluation of evidence by the auditor.</i>
<b>NC Status:</b>	<i>Choose status.</i>

## 11 Certification decision

**Based on the auditor's recommendation and the Certification Body's quality review, the following certification decision is taken:**

<b>Certification decision:</b>	Certification approved
<b>Certification decision by (name of the person):</b>	Loek Verwijst
<b>Date of decision:</b>	19/Sep/2018
<b>Other comments:</b>	<i>Click or tap here to enter text.</i>