

Control Union  
Certifications B.V.  
Evaluation of RWE Supply  
Trading GmbH.  
Compliance with the SBP  
Framework: Public  
Summary Report

Third 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*

*Version 1.2: published 4 April 2018*

*Version 1.3: published 10 May 2018*

*Version 1.4: published 16 August 2018*

*© Copyright The Sustainable Biomass Program Limited 2018*

# Table of Contents

<b>1</b>	<b>Overview</b>
<b>2</b>	<b>Scope of the evaluation and SBP certificate</b>
<b>3</b>	<b>Specific objective</b>
<b>4</b>	<b>SBP Standards utilised</b>
4.1	SBP Standards utilised
4.2	SBP-endorsed Regional Risk Assessment
<b>5</b>	<b>Description of Company, Supply Base and Forest Management</b>
5.1	Description of Company
5.2	Description of Company's Supply Base
5.3	Detailed description of Supply Base
5.4	Chain of Custody system
<b>6</b>	<b>Evaluation process</b>
6.1	Timing of evaluation activities
6.2	Description of evaluation activities
6.3	Process for consultation with stakeholders
<b>7</b>	<b>Results</b>
7.1	Main strengths and weaknesses
7.2	Rigour of Supply Base Evaluation
7.3	Compilation of data on Greenhouse Gas emissions
7.4	Competency of involved personnel
7.5	Stakeholder feedback
7.6	Preconditions
<b>8</b>	<b>Review of Company's Risk Assessments</b>
<b>9</b>	<b>Review of Company's mitigation measures</b>
<b>10</b>	<b>Non-conformities and observations</b>
<b>11</b>	<b>Certification recommendation</b>

# 1 Overview

CB Name and contact: Control Union Certifications; Meeuwenlaan 4-6; P.O.Box 161, 8000AD, Zwolle, Netherlands. certification@controlunion.com

Primary contact for SBP: Andrea Ferrazzo; aferrazzo@controlunion.com

Current report completion date: 16/Apr/2019

Report authors: Ms Ashlyn Priest (Auditor), Mr Lennart Holm (Senior Auditor), Andrea Ferrazzo (Certifier)

Name of the Company: RWE Supply & Trading GmbH, Whitehill Way, Trigonos, SN5 6PB, Swindon, UK

Company contact for SBP: Mr Richard Glibbery

Certified Supply Base: N/A - Trader

SBP Certificate Code: SBP-06-03

Date of certificate issue: 29/Jul/2016

Date of certificate expiry: 28/Jul/2021

This report relates to the Third Surveillance Audit

## 2 Scope of the evaluation and SBP certificate

RWE Supply & Trading GmbH is a trader of biomass sourced from different parts of the world. The scope of this evaluation includes trading of wood pellets and wood chips. The scope of the certificate does not include a Supply Base Evaluation.

### 3 Specific objective

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

The scope of the evaluation covered:

- Review of RWE's management procedures;
- Review of Chain of Custody system control points and an analysis of the existing FSC and PEFC CoC system;
- Interviews with responsible staff;
- Review of a sample of trades
- GHG data collection analysis

## 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 - No SBP endorsed Regional Risk Assessment was used for this assessment

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

### 5.1 Description of Company

RWE Supply & Trading GmbH is a Biomass Trader. The company is a German company specializing in the trade of fuels to supply power production stations. Biomass Trading is part of the Solid Fuels Trading group. The trading is currently focused on wood pellets

The Biomass Trading business includes supply to both RWE owned and third party power stations. The majority of the business is based around supply to utilities.

The normal form of delivery is from ocean going vessels. These range in size subject to the journey. Coasters are used too. The company does not own storage facilities or fleet (transport).

The company consists of many people, including a biofuel desk. Mr Richard Glibbery (Head of Solid Fuels Logistics) is a central certification coordinator and the manager responsible for their SBP system. Mr Michel Reijersen is responsible for day-to-day administration of the system.

The company is also GGL and PEFC/FSC CoC 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

The organization has implemented FSC transfer and PEFC physical separation systems with biomass (wood pellets and wood chips) in the scope of their certificates. The process covers trade of biomass without physical possession. Valid FSC and PEFC system description and other documents exist. As a trading company, they imports biomass (wood pellets) by sea mainly FOB or CIF, without storage



## 6 Evaluation process

### 6.1 Timing of evaluation activities

The audit occurred on April 16, 2019 by the above mentioned audit team. This report is the result of the findings of a certification evaluation carried out by an independent lead auditor representing Control Union Certifications. The purpose of the assessment was to evaluate the compliance of the client with respect to the standards used within the scope of the certificate.

Activity	Date	Executed by
Preparation	08-04-2019	Andrea Ferrazzo (certifier)
Chain of Custody Review	16/04/2019	Ashlyn Priest (Auditor), Lennart Holm (Auditor)
GHG paper audit and evidence review.	16/04/2019	Ashlyn Priest (Auditor), Lennart Holm (Auditor)

• Names and affiliations of people interviewed	
Name:	Affiliation:
Michel Reijersen	RWE Supply & Trading GmbH
Richard Glibbery	RWE Supply & Trading GmbH

### 6.2 Description of evaluation activities

The audit consisted of an opening meeting, during which the scope was confirmed. The auditor also explained the methods to be employed during the audit. After this introduction, all relevant requirements of the applicable SBP standard(s) were verified on compliance through the use of a report template and checklists. The audit was completed by filling in the audit report and discussing the audit results. Critical Control points were evaluated and found to be sufficiently managed and a closing meeting performed.

### 6.3 Process for consultation with stakeholders

Not applicable, RWE Supply & Trading GmbH. is a Biomass Trader

## 7 Results

### 7.1 Main strengths and weaknesses

The audit of RWE demonstrated a good level of compliance with the required criteria of Standard 4 and 5. There was reasonable evidence provided to support compliance where a Non-Conformity was not detected. The existence of a FSC/PEFC Chain of Custody system in combination with GGL are considered a main strength with respect to RWE overall conformity with the relevant SBP standards. One minor non-conformity was identified; relating to the fact that SBP Compliant and SBP Controlled claims were not split on a sales invoice (the volumes were correctly split in DTS however hence a minor grading).

### 7.2 Rigour of Supply Base Evaluation

Not applicable, RWE Supply & Trading GmbH. is a Biomass Trader

### 7.3 Collection and Communication of Data

RWE assures the completeness of incoming documentation to forward to their buyers. RWE is a trader without physical possession, and does not handle with the purchased biomass. RWE forwards to its customer the energy use data, received from their suppliers

### 7.4 Competency of involved personnel

The company consist of a biofuel 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, RWE Supply & Trading GmbH. is a Biomass Trader so no stakeholder consultation is executed by the CB

### 7.6 Preconditions

N/A, no preconditions.

## 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, RWE Supply & Trading GmbH. is a Biomass Trader.

## 9 Review of Company's mitigation measures

Not applicable, RWE Supply & Trading GmbH. 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> 2019-01	<b>NC Grading:</b> Minor
<b>Standard &amp; Requirement:</b>	SBP 4; 5.2.7
<b>Description of Non-conformance and Related Evidence:</b>	
<p>Only SBP Compliant claims are accepted when passing on an SBP Compliant claim and FSC/ PEFC claims are accepted when passing on SBP Controlled claim. The majority of trades were allocated correctly. One only made reference to 'SBP Compliant as per DTS' on the sales invoice but was in fact made up of SBP Compliant and SBP Controlled. As it made reference to the trade in DTS which was recorded correctly this is raised as a minor non-conformity. Evidence: Review of a sample of trades;- P90247Purchased from Georgia Biomass Invoice 3000000007 SBP Compliant Sold to Drax Preliminary Invoice 3610050535 Final Invoice 3610051257 SBP Compliant. Recorded in DTS transaction L133-P95053Purchased from Georgia Biomass Invoice 3000000059 SBP Compliant Sold to Macquire Invoice 3610052726 SBP Compliant Recorded in DTS transaction L137-P103339Purchased from Pinnacle Invoice 1832 - SBP Compliant (70% volume), SBP Controlled (30% volume)Sold to Drax Invoice 3610057433 'SBP 06-03 Compliant as per DTS'. DTS recorded volumes correctly</p>	
<b>Timeline for Conformance:</b>	By the next surveillance audit, but no later than 12 months from report finalisation date
<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>	Open

## 11 Certification decision

<b>Based on the auditor's recommendation and the Certification Body's quality review, the following certification decision is taken:</b>	
<b>Certification decision:</b>	Certification approved
<b>Certification decision by (name of the person):</b>	Andrea Ferrazzo
<b>Date of decision:</b>	11/Jun/2019
<b>Other comments:</b>	<i>Click or tap here to enter text.</i>