



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

Third Surveillance Audit

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The promise of good biomass



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*

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

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1 Overview

CB Name and contact:	Control Union Certifications B.V.
Primary contact for SBP:	Andrea Ferrazo
Current report completion date:	16/Oct/2020
Report authors:	Bernd Slesazeck
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 Third 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 GGL 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), PEFC (COC) and GGL (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

The audit occurred in September by the 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.

Preparation before 16-09-2020:

- e-mail from the lead auditor with information request, the provided information was reviewed.

Desk review 16-09-2020:

- questions for clarification on information send to the lead auditor (scope, company structure and process flow, critical control points);

Office audit 18-09-2020 B. Slesazeck (lead auditor) and K. Jongste (observer),

- Opening meeting;
- Review changes and developments;
- In depth review of procedures, documents and templates;
- Random check suppliers documentation;
- Visual inspection;
- Interview key responsible people;
- Closing meeting.

Interviews with:

- Vico Ostermann (COC verantwoordelijke UGL, interne auditor Uniper)
- Jo Klaessens (COC verantwoordelijke UBX)
- Kurt Stam (manager operations (UBX Maasvlakte)

Reporting 21-09-2020 B. Slesazeck (lead auditor).

6.2 Description of evaluation activities

Preparation: Review with the received documents and process descriptions the scope, and determine the critical control points (to be further assessed during the office visit).

Main audit Office visit,

During the Head office audit and site visit in depth review of procedures, documents and templates, potential suppliers documentation were performed onsite in general and specifically on the identified critical control points. Amongst the items reviewed were (the systems for) SBP approved Chain of Custody, Purchase, Suppliers: verification and monitoring, Transport and storage, Trademark and Logo Use, Sales, Outsourcing, Training, EUTR and Due Diligence System, Business integrity, Social, Health & Safety, Mass Balance, Complyants, Communication of data and GHG (DTS, SREG).

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 pre-conditions 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.

Click or tap here to describe how the Certification Body assessed risk for the Indicators.

Not applicable.

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.*

None.

11 Certification decision

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

Certification decision:	Certification approved
Certification decision by (name of the person):	Andrea Ferrazzo
Date of decision:	11/Dec/2020
Other comments:	<i>Click or tap here to enter text.</i>