

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

Fourth Surveillance Audit

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*

Document history

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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: 21/Jan/2020

Report authors: Ashlyn Priest (auditor) Andrea Ferrazzo (Certifier)

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

Company contact for SBP: Mr Michel Reijersen

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 Fourth 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 with physical storage at the ports terminals of Antwerp, Ghent in Belgium and Swinoujscie, Poland. 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

An additional change of scope audit from trader without storage to trader with storage facilities was conducted in November 2019, during that audit the added storage locations were visited and so re-sampling the storage locations for this surveillance audit was not necessary.

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) however is (since November 2019) renting storage locations which are used for some loads.

The company consists of many people, including a biofuel desk. 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 with and 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, previously without storage but in some instances storage is now required.

6 Evaluation process

6.1 Timing of evaluation activities

The audit occurred on 21st January 2020 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	14/01/2019	Ashlyn Priest (Auditor)
Chain of Custody Review and GHG	21/01/2019	Ashlyn Priest (Auditor)
Visit to storage locations	13/11/2019	Bernd Slesazeck (Auditor – Change of Scope audit)

• Names and affiliations of people interviewed	
Name:	Affiliation:
Michel Reijersen	RWE Supply & Trading GmbH
Tim Brinks	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. The change of scope audit in November 2019 focussed on elements relevant for starting to use storage facilities. The procedure was already in place and RWE verification visits to the storage was already an ongoing practice, including verification of safety measures. Hence the quality system was already in place and no other risks have been observed related to storage of SBP materials.

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 most often without physical possession but sometimes with physical possession via outsourced storage. 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.

NC number 2020-01	NC Grading: Minor
Standard & Requirement:	SBP 4; 1.1 - 1.2
Description of Non-conformance and Related Evidence:	
License agreement has been signed. There is use of 'Sustainable Biomass Partnership' and 'SBP' on the company's website however this has not been approved by SBP as required by 'SBP Certification Mark and Trademark use - Guidance For Certificate Holders' documents Evidence: Review of signed L/A dated 18/03/2016, observation during audit, interview with Michel & Richard and specified in '15. Logo use' in the manual. https://www.group.rwe/en/the-group/responsibility/sustainable-supply-chain/biomass	
Timeline for Conformance:	By the next surveillance audit, but no later than 12 months from report finalisation date
Evidence Provided by Company to close NC:	Approval for logo usage received from SBP and included in the manual
Findings for Evaluation of Evidence:	Evidence deemed sufficient and measures taken to prevent re-occurrence
NC Status:	Closed

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:	25/Mar/2020
Other comments:	<i>Click or tap here to enter text.</i>