

Control Union Certifications Evaluation of HCC Hanseatic Coal & Coke Trading GmbH Compliance with the SBP Framework: Public Summary Report

Main (Initial) 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

Version 1.0: published 26 March 2015

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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 |
| Primary contact for SBP: | Mr. Andrea Ferrazzo |
| Current report completion date: | 09/Feb/2020 |
| Report authors: | Mr. Diederik Stoel |
| Name of the Company: | HCC Hanseatic Coal & Coke Trading GmbH |
| Company contact for SBP: | Mr. Peter Schumacher |
| Certified Supply Base: | N/A |
| SBP Certificate Code: | SBP-06-39 |
| Date of certificate issue: | 03/Mar/2020 |
| Date of certificate expiry: | 02/Mar/2025 |

This report relates to the Main (Initial) Audit

2 Scope of the evaluation and SBP certificate

The scope of this evaluation comprises trading of wood pellets and wood chips without any physical possession. 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: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

5 Description of Company, Supply Base and Forest Management

5.1 Description of Company

Hanseatic Coal & Coke Trading GmbH (“Hanseatic”), founded by Reinhard Seifert in 1990, is an independent and privately owned trading company based in Hamburg, Germany. The company is specialized in international trading with solid fuels with the main strategy having direct transactions on both sides, production and consumer.

5.2 Description of Company’s Supply Base

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer.

5.3 Detailed description of Supply Base

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer.

5.4 Chain of Custody system

Valid FSC CoC (CU-COC-869210) and PEFC CoC (CU-PEFC-869210) certificates are in place. Scope of certificate: Brokers/traders without physical possession. The

Wood pellet and chips trader without storage. Back to back trading, where they can sometime also take ownership (little risk) during the sea voyage. They use FSC CoC and PEFC as underlying CoC system. 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 (or without SBP claim in case the buyer is not SBP certified and part of DTS). The GHG for handling and shipping while the material is in their possession will be noted in the SREG. Communication and passing information in the chain will be done in the use of the DTS system.

6 Evaluation process

6.1 Timing of evaluation activities

21-11-2019: (2h) Application and planning of main assessment

16-12-2019: (2h) Audit Plan set and preparation of audit

6-2-2020 (09:00 -16:00), Office audit: Opening, Procedures, Code of Conduct and Verification of order registration and transactions.

28-2-2020, (09:00 – 15:00) Completion of report

6.2 Description of evaluation activities

Preparation of company background, CoC certification, scope and application.

Audit program: Opening meeting, Clarification on the Scope Certificate, Review of SBP Manual and applicable documentation, Verification of order registration, transactions and sales documents. Interview on GHG data collection and communication, Reporting, Closing Meeting

6.3 Process for consultation with stakeholders

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

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 comprehensive procedures and record keeping are thought to be more than sufficient for the size and complexity of the company.

7.2 Rigour of Supply Base Evaluation

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

7.3 Collection and Communication of Data

As certificate is not obtained yet, the company has not been provided access to DTS. Knowledge on using the SREG in case of relevant energy and carbon data is proven.

7.4 Competency of involved personnel

For the SBP processes, All involved personnel has been instructed on the requirements. Competence and expertise is demonstrated in interviews.

7.5 Stakeholder feedback

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

7.6 Preconditions

No issues identified

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: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

9 Review of Company's mitigation measures

Not applicable: HCC Hanseatic Coal & Coke Trading GmbH acts as a trader of woody biomass. No Biomass Producer, no storage or processing.

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.*

No non-conformities were identified.

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: | 03/Mar/2020 |
| Other comments: | <i>Click or tap here to enter text.</i> |