

## Scope 1

**Application**

Uniper Commodity Outlook (UCO) EUA prices included in investment decisions

**Actual price(s) used (Currency /metric ton)**

21.88

**Variance of price(s) used**

Evolutionary pricing. The CO2 price used depends on several aspects as for instance the assessment of existing portfolio or future projects and if so mid or long-term projects.

**Type of internal carbon price**

Shadow price

**Impact & implication**

The applied Uniper internal carbon price is derived from the future commodity outlook which forecasts EUA prices based on fundamental market factors. In the context of the Uniper asset fleet strategy, this price is used to make judgements on future power plant investments. No new coal plants to be invested in (strategic announcement).

## C12. Engagement

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### C12.1

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**(C12.1) Do you engage with your value chain on climate-related issues?**

Yes, our suppliers

### C12.1a

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**(C12.1a) Provide details of your climate-related supplier engagement strategy.**

**Type of engagement**

Compliance & onboarding

**Details of engagement**

Included climate change in supplier selection / management mechanism

Climate change is integrated into supplier evaluation processes

**% of suppliers by number**

60

**% total procurement spend (direct and indirect)**

**% of supplier-related Scope 3 emissions as reported in C6.5****Rationale for the coverage of your engagement**

Uniper is conscious about the boundaries to be considered when it comes to the implementation of effective measures to mitigate the climate related impacts of its activities. In regard to procurement, Uniper has clear rules to select providers, which include environmental aspects. In its Guidance on responsible procurement, special mention is made to minimize emissions to air.

**Impact of engagement, including measures of success**

Uniper includes environmental criteria to select suppliers, which include climate responsibility, transparency, and minimizing impacts, including emissions of air pollutants.

**Comment**

In 2019 Uniper further developed the guidance of Responsible Procurement, including its environmental and in particular its climate related elements.

**Type of engagement**

Compliance & onboarding

**Details of engagement**

Included climate change in supplier selection / management mechanism

Climate change is integrated into supplier evaluation processes

**% of suppliers by number****% total procurement spend (direct and indirect)****% of supplier-related Scope 3 emissions as reported in C6.5****Rationale for the coverage of your engagement**

Ensuring sustainable biomass sourcing for our biomass related operations in Maasvlakte (NL)

**Impact of engagement, including measures of success**

By using certified biomass, Uniper ensures that forests from which biomass is sourced in a sustainably not affecting the natural resources, including the timber stocks

**Comment****C12.3****(C12.3) Do you engage in activities that could either directly or indirectly influence public policy on climate-related issues through any of the following?**

Direct engagement with policy makers

Trade associations

Funding research organizations

Other

## C12.3a

(C12.3a) On what issues have you been engaging directly with policy makers?

Focus of legislation	Corporate position	Details of engagement	Proposed legislative solution
Cap and trade	Support	Uniper very clearly supports a strengthening of the EU-ETS. This has been addressed by speeches and talks with politicians as well as journalists by our Political Affairs team.	Permanent proposals of improvements of the EU-ETS mechanisms in our condition as user.
Cap and trade	Support	Indirect engagement in discussions on CO2 price stability mechanisms (Backloading and Market Stability Reserve)	Implementation of Backloading and Market Stability Reserve Mechanisms by the European Commission.
Energy efficiency	Support	Issue is addressed in speeches and talks by the CEO and other senior executives.	The market driven development is supported by a strengthened European Emissions Trading Scheme that should become the leading instrument to address climate change.
Other, please specify (Coal Phase Out)	Support with major exceptions	Germany: general support for establishment of coal commission. Closely following discussions during 2019. NL: Proposed phase-out until 2030 only if Uniper is compensated for losses	Germany: No proposals so far.
Other, please specify (Support of Renewable Energy)	Support with minor exceptions	Support market oriented reforms via EFET	No specific proposals
Other, please specify (Implementation of Energy Efficiency Laws)	Support	none	none
Other, please specify (BREF)	Support	Support efficient approach via BDI	None so far

## C12.3b

(C12.3b) Are you on the board of any trade associations or do you provide funding beyond membership?

Yes

## C12.3c

(C12.3c) Enter the details of those trade associations that are likely to take a position on climate change legislation.

**Trade association**

EFET

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Acknowledge the 2°C limit and set an EU Climate Change target for 2030.

**How have you influenced, or are you attempting to influence their position?**

Directly as regular member

**Trade association**

BDI

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Acknowledge the 2°C limit and set an EU Climate Change target for 2030. Support German Energy Transition.

**How have you influenced, or are you attempting to influence their position?**

Indirect through an association.

**Trade association**

CO2 Value Europe

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Development of CCU processes

**How have you influenced, or are you attempting to influence their position?**

Directly, own professional is president of the board

**Trade association**

IETA

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Build international policy and market frameworks for reducing greenhouse gases at lowest cost.

**How have you influenced, or are you attempting to influence their position?**

Regular Member

**Trade association**

Working Group Emission Trading at BMU

**Is your position on climate change consistent with theirs?**

Consistent

**Please explain the trade association's position**

Space for discussion and assessment of topics related to Emission Trading and Carbon Markets, also in the context of climate policy packages, aiming to make proposals for increasing robustness of the instruments.

**How have you influenced, or are you attempting to influence their position?**

Directly as regular member

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## C12.3d

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**(C12.3d) Do you publicly disclose a list of all research organizations that you fund?**

Yes

## C12.3e

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**(C12.3e) Provide details of the other engagement activities that you undertake.**

Uniper's memberships shows key associations and initiatives that may be directly or indirectly related to our material sustainability topics, including climate change. The membership of these associations and initiatives can be highly diverse, and it is not always possible to assign them unequivocally to individual sustainability topics. Nevertheless, these memberships are fundamentally relevant to our sustainability efforts.

Uniper's memberships in key associations and initiatives in 2018 were following:

**Gas/Gas Storage**

- Zukunft ERDGAS e. V. (Germany): Association representing of product Natural Gas and counterpart for users, politics and market partners. Voluntary membership.
- Eurogas (Europe, global): Association representing the European gas wholesale, retail and distribution sectors towards the EU institutions. Voluntary membership.

- INES – Initiative Erdgasspeicher [Gas Storage Initiative] (Germany): Association of natural gas storage operators in Germany. Voluntary membership.
- International Gas Union (IGU) (global): Worldwide non-profit association advocating gas as an integral part of a sustainable global energy system and to promote the political, technical and economic progress of the gas industry. Voluntary membership.

#### **Coal:**

- Bettercoal (global): association for a responsible coal supply chain established by a group of coal buyers to promote continuous improvement of sustainability performance in their coal supply chain. Voluntary membership.
- Coal Industry Advisory Board (CIAB) (global): group of high level executives from coal-related industrial enterprises established by the IEA to provide advice to the IEA on a wide range of issues related to coal. Voluntary membership.
- Verein der Kohleimporteure (VdKi) [Association of Coal Importers] (Germany): represents the political and commercial interests of coal importers. Voluntary membership.

#### **Technology:**

- VGB PowerTech e.V. (Europe): international technical association for generation and storage of power and heat. Voluntary membership.
- AGFW E.V.: Association for Energy-Efficient Heat, Cooling, and Cogeneration. Voluntary membership.
- Hydrogen Europe (Europe): European hydrogen and fuel cell association. Voluntary membership.

#### **Climate Protection:**

- DVGW -Deutscher Verein des Gas- und Wasserfaches e.V.(Germany): Standardization body for the gas and water industry, centre for technical and scientific know-how in the gas and water sectors and initiator and promoter of research projects and innovations.
- CO2 Value Europe (Europe): industry-driven European association representing CO2 utilization community at European level, building an integrated vision and action plan to develop CO2 utilization.

- EnerChain P2P Trading Project (Europe): Blockchain based distributed ledger capable of covering the entire trade cycle. Voluntary membership.
- SBP – Sustainable Biomass Program (global): sustainability certification system designed for woody biomass (pellets or wood chips) used in the large-scale energy production. Voluntary membership.
- IETA (Europe): non-profit organization to serve businesses engaged in the field of carbon markets, with the objective to build international policy and market frameworks for reducing greenhouse gases at lowest price. Voluntary membership.
- Innovationsforum Energiewende (Germany): forum for stakeholders from the energy sector to discuss on options for a cost-effective energy transition.

NOTE: This list may not be conclusive!

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## C12.3f

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**(C12.3f) What processes do you have in place to ensure that all of your direct and indirect activities that influence policy are consistent with your overall climate change strategy?**

Energy supply is a heavily regulated business and is the subject of extensive political debate, particularly with regard to climate protection. Europe's commitment to climate protection is fundamentally altering its energy supply system. To meet these challenges, we need a policy and regulatory environment that enables us to take action that makes business and environmental sense. Adequate representation of our business interests is essential for the successful operation of our assets and for our strategic prospects.

We conduct an intensive dialog with a variety of external stakeholders, such as government entities, political parties, regulatory agencies, and trade associations. This dialog is crucial for us to communicate openly and transparently with representatives of political parties and institutions and to explain our positions. As an example, Uniper uses the "Uniper in Dialog" format to engage in stakeholder discussions at, for example, party conventions in Germany to answer questions about our business activities. We're committed to keeping activities in advocacy groups transparent at all times. This is the only way to avoid the suspicion of undue influence on policymaking and to prevent damage to our reputation.

Uniper has effective organizational structures & assigned roles & responsibilities based on the principles of good corporate governance. We promote a constructive, proactive & transparent bi-lateral dialog with our stakeholders. Our primary considerations in designing our sustainability strategy are to identify which aspects influence shareholder value & ensure the long-term stability of our business. We focus on material aspects: those that are highly relevant for Uniper & for our external & internal stakeholders. Material aspects have a significant direct or indirect impact on the key drivers of value creation at Uniper. We count with government & regulatory support mechanisms to facilitate the implementation of these programmes & help achieve the global targets. Our updated Stakeholder Management Policy establishes clear rules for our participation in political decision-making processes & the open, consistent topical interaction with our stakeholders. It sets standards for the information we convey & delineates responsibilities, processes, & mechanisms. These include rules regarding the transparent management of information & policy dialog by Uniper government affairs staff, prohibiting the release or distribution of wrong, misleading or excessively selective information, taking immediate action if those releases occur. Our policy also contains additions to sustainability management & communication. It specifically guides the tasks & responsibilities of Group management, as well as our global & regional business units. All processes related to climate change are steered by corporate strategy, political affairs, communications & HSSE & Sustainability. In relation to Climate our management mechanisms are driven through the close coordination of corporate strategy, lobbying, stakeholder management, power plant planning & the sustainability work program. As part of our general performance we organize multidisciplinary HSSE meetings with our Group-wide Management Units: Climate Change as part of the environmental subject which delivers to our Sustainability performance is one of the issues systematically raised in it.

Uniper is committed to a transparent exchange with citizens, EU institutions and governments of the countries Uniper operates. Uniper joined the EU Transparency Register for organizations & self-employed individuals influencing EU policymaking & implementation. We are also signatory members to the Code of Conduct it contains. We authorize our representatives through the EU Parliament's accreditation process for lobbyists. Uniper complies with European & national laws of the countries where we operate, as well as with the applicable rules for participating in committees & public policy working groups. We contribute our expert knowledge to legislative decision-making processes and do so transparently for our stakeholders. We focus primarily on energy, environmental & climate policy.

#### Examples:

- Discussions on overarching topics such as the review of EU Climate Targets to 2030,
- Regulation on Wholesale Energy Market Integrity & Transparency (REMIT) & the harmonization of electricity transmission tariff mechanisms - the latter especially within the framework of the dialog process initiated by the Agency for the Cooperation of Energy Regulators (ACER),



- Discussions on measures to stabilize CO2 price (Backloading and Market Stability Reserve for the EU-ETS),
- Debate of the gas supply security: This has a high priority both for EU legislators & members,
- Contribution to discussions on technological standards (e.g. BREF),
- Discussion on Coal Phase-Out, Renewable Energy and Energy Efficiency promotion
- Debates on introduction of capacity market mechanisms

## C12.4

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**(C12.4) Have you published information about your organization's response to climate change and GHG emissions performance for this reporting year in places other than in your CDP response? If so, please attach the publication(s).**

### Publication

In mainstream reports

### Status

Complete

### Attach the document

[20200310-uniper-report-fy-19-en.pdf](#)

### Page/Section reference

Page 109 - 112

### Content elements

Governance

Strategy

Emissions figures

Emission targets

### Comment

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### Publication

In voluntary sustainability report

### Status

Complete

### Attach the document

[Uniper-Sustainability-Report-2019-EN.pdf](#)

### Page/Section reference

Pages 10-17

Content elements

- Governance
- Strategy
- Risks & opportunities
- Emissions figures
- Emission targets
- Other metrics

Comment

C15. Signoff

C-FI

(C-FI) Use this field to provide any additional information or context that you feel is relevant to your organization's response. Please note that this field is optional and is not scored.

C15.1

(C15.1) Provide details for the person that has signed off (approved) your CDP climate change response.

	Job title	Corresponding job category
Row 1	Chief Sustainability Officer (CSO), responsible for - Sustainability Strategy - ESG Risk Management - Sustainability related Stakeholder Management - Sustainability related Management Representation	Chief Sustainability Officer (CSO)



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