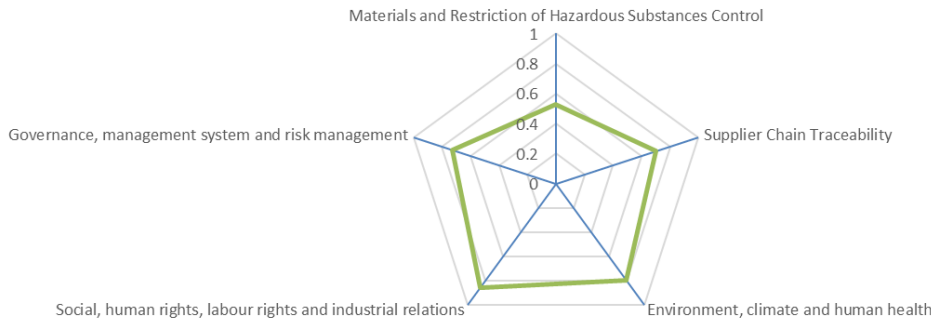


	Battery Due Diligence Audit Report		REF. NO.	EE-TQS-BDDA-01
			VERSION	V01-20250422
			AUTHOR	Kinte Liu/CY Tang
			APPROVED	Jobe Zhou
CUSTOMER: Suzhou Xinlvzhou electronics Co., Ltd.				
SUPPLIER: Changzhou Jintan Chaochuang Battery Co., Ltd.				
FACTORY: Changzhou Jintan Chaochuang Battery Co., Ltd.				
REPORT No.: DDA-Suzhou Xinlvzhou-Changzhou Chaochuang_01-20250603&04				
AUDIT DATE: From 03-Jun-2025 to 04-Jun-2025				Scan to see the report  0603 Verification: check.sgsnline.com.cn
SGS AUDITOR: Kinte Liu / Randy Lv/Reed Ning				
SGS AFFILIATE: SGS_Shanghai Office				
APPROVED BY: CY Tang (cy.tang@sgs.com)				
TOTAL SCORE	74.3	OVERALL RATING	C	
Materials and Restriction of Hazardous Substances Control  Governance, management system and risk management Supplier Chain Traceability Environment, climate and human health Social, human rights, labour rights and industrial relations				
Result Classification				
Class A >= 90 (Good)		Class B >= 80 and < 90 (Acceptable)		
Over performance was found in good practice with below evidence: * The factory has established a good operation system and under effective control.		Overall performance found in acceptable control but with not enough area with below issues: * The operation system has well established, but implement with not enough area, and easier to be recovered, or * The operation system has not well established, but still under suitable control...etc.		
Class C >= 70 and <80 (Conditional acceptance; Not acceptable for product certification. Propose a re-audit within 6 months)		Class D < 70 (Poor and not acceptance)		
Overall performance was found in conditional acceptable control with below non-conforming issues: * Operation system has established, but incomplete. some function missing * The system is not under complete implemented. * The system with major problem * The system need longer time to recover...etc.		Overall performance found in poor control with below non-conforming issues: * No operation system has established. * The system not under implement. * The system with serious problem or system break down * The system could not recovered in short time period...etc.		



GENERAL COMMENT

A: OVERALL COMMENT

Changzhou Jintan Chaochuang Battery Co., Ltd. was founded in Jul 06, 2007 and located at Xiyang Industrial Park, Xuebu Town, Jintan District, Changzhou City, Jiangsu Province, China. It has 248 employees, there are 45 production lines, the max production out of battery is about 1 billion pcs per year. Factory have obtained ISO9001, ISO14001 certification.

Battery value chain in Europe, covering raw materials extraction, sustainable sourcing and processing, sustainable battery materials, cell manufacturing as well as re-use and recycling of batteries.	raw materials extraction	sustainable sourcing and processing	sustainable battery materials	Battery cell/pack manufacturing	re-use and recycling of batteries.
	Outsourcing	Outsourcing	Outsourcing	Own factory	N/A
Tracking element		Natural graphite, lithium or nickel			

B: AUDIT SUMMARY

The company has established traceability procedures and related documents. But currently the company did not have formal traceability system such as ERP, MES etc. The company current traceability management is unable to trace back to the graphite, lithium and nickel mining process. The factory did not focus on the stocking method of the special material and product. The company has internal control system of QMS, CSR, OHS and get the valid certificate. But The company's measures for controlling GHG emissions are not sufficiently comprehensive. The company's energy conservation and emission reduction measures need to be continuously improved.

C: SCORE SUMMARY

No.	Section	Full Score	Actual Score	Section Score	Overall Score
2.0	Raw Material & Restriction of Hazardous Substances control	34	18	52.9%	6.2%
3.0	Supplier Chain Traceability	84	59	70.2%	20.2%
4.0	Environment, climate and human health	64	50	78.1%	17.1%
5.0	Social, human rights, labor rights and industrial relations	70	58	82.9%	19.9%
6.0	Governance, management system and risk management	40	26	65.0%	8.9%
				Total Score	72.3

D: NOT ENOUGH POINTS DURING AUDIT AND LISTED AS FOLLOWS:

NC No.	KPI No	Not enough contents
NC-01	2.1.2	The company did not traced the graphite, lithium and nickel back to its original smelters or processors.
NC-02	2.1.3	The company did not establish the conflict minerals management norms. The conflict minerals statement was not disclosed publicly on the official website.
NC-03	2.1.5	The supplier management procedure does not stipulate the due diligence of suppliers.
NC-04	2.2.2	The list of hazardous substances refers to EU regulations such as REACH and ROHS, without considering WHO requirements.
NC-05	2.2.3	Based on site observation, 2nd container and MSDS document for chemical material in glue workshop is not available. MSDS document of Zhonglan lithium electrolyte is not available in chemical material store.
NC-06	2.2.7	For internationally banned materials such as lead, Hg, Cd, the company has no plans to phase it out.
NC-07	2.2.8	The limits for mercury, cadmium and lead have not been revised in accordance with the battery regulations 2023/1542.
NC-08	3.1.2	The company did not identify high-risk suppliers in order to comply with the regulation (EU) 2023/1542.
NC-09	3.1.3	Traceability information and ESG requirements were not considered in supplier selection and qualification process.
NC-10	3.1.4	The company did not communicate its traceability scope and requirements to suppliers such as the conflict minerals management requirement.
NC-11	3.2.3	No designated areas and demarcation is available to identify the specialty material.
NC-12	3.2.4	Some component such as steel strap and lithium electrolyte are not identified with label.
NC-13	3.3.1	Currently, the raw materials, production process and product information of the batteries are recorded manually, and there is no traceable software system to manage them.
NC-14	3.3.5	The Production Material Requisition Form only indicates the specification number but not record the information of supplier. Therefore, it is impossible to confirm the uniqueness of the materials.
NC-15	4.1.1	There is no formal plan to control and/or reduce greenhouse gas emissions in the company's operations.
NC-16	4.1.3	GHG inventory doesn't include scope 3 emissions
NC-17	4.1.5	No greenhouse gas control requirement is imposed on the supplier.
NC-18	4.1.6	The company has not established a dedicated energy-saving and emission reduction working committee (energy-saving group/dual carbon committee, etc.).
NC-19	4.1.8	There is no clear emission reduction plan, strategy, or measure.
NC-20	4.2.2	The company has not developed a water management plan.



GENERAL COMMENT

NC-21	4.5.2	During the audit, it was found that some workers in the tablet pressing workshop and injection molding workshop did not wear earplugs.
NC-22	4.6.4	Currently the air conditioning in the company is at level 3 energy efficiency.
NC-23	5.1.2	Some switchgear/distribution cabinets are not locked, posing a risk of electric shock.
NC-24	5.1.3	The sealing mold lubricant, waste electrolyte, and waste lithium tape in the assembly workshop have not been locked and managed in the storage box.
NC-25	5.2.6	The first aid kit (plastic) in the production workshop was placed in a place with direct sunlight. The drugs in the first aid kit were not configured according to the management guidelines for the kit.
NC-26	5.2.9	The safety exit lights in the powder production workshop are not on, and the evacuation plots for the assembly workshop is placed outside the workshop, which is inconvenient to view. Some emergency lights are not well maintained.
NC-27	5.2.9	In the distribution room, dry powder fire extinguishers and carbon dioxide fire extinguishers are used, and one of them exceeded the pressure limit. It is recommended to replace them with sulfur hexafluoride fire extinguishers.
NC-28	5.4.3	It is common for frontline employees in the company to work overtime exceeding 36 hours per month.
NC-29	6.3.2	According to the anti-corruption and anti-corruption control procedures, important personnel sign the "Anti Corruption/Anti Corruption Commitment Letter" to the company, but the commitment letter cannot be provided.
NC-30	6.4.2	The supplier contract/agreement does not include any content such as code of conduct or business ethics.
NC-31	6.4.3	The company did not include social responsibility audit content when conducting supplier audits.
NC-32	6.5.1	The company hasn't established Grievance Management Procedure.

E: PROPOSED CORRECTIVE AND PREVENTIVE ACTION AND FACTORY FEEDBACK COMMENT:

NC No.	Proposed corrective & preventive actions	Feedback comments from factory
NC-01	The company should trace the graphite, lithium and nickel back to its original smelters or processors.	waiting for feedback
NC-02	The company should establish the conflict minerals management norms. The conflict minerals statement should disclose publicly on the official website.	
NC-03	The supplier management procedure should stipulate the due diligence of suppliers.	
NC-04	The list of hazardous substances refers to EU regulations such as REACH and ROHS, should consider WHO requirements.	
NC-05	2nd container and MSDS document for chemical material should be available.	
NC-06	For internationally banned materials such as lead, Hg, Cd, the company should have plans to phase it out.	
NC-07	The limits for mercury, cadmium and lead should be in accordance with the battery regulations .	
NC-08	The company should identify high-risk suppliers in order to comply with the regulation (EU) 2023/1542.	
NC-09	Traceability information and ESG requirements should be considered in supplier selection and qualification process.	
NC-10	The company should communicate its traceability scope and requirements to suppliers.	
NC-11	Designated areas and demarcation should be available to identify the specialty material.	
NC-12	Some component such as steel strap and lithium electrolyte are not identified with label.	
NC-13	The company should have traceable software system to manage them.	
NC-14	The Production Material Requisition Form should indicates enough information to confirm the uniqueness of the materials.	
NC-15	Formal plan to control and/or reduce greenhouse gas emissions should be available in the company's operations.	
NC-16	GHG inventory should include scope 3 emissions.	
NC-17	Greenhouse gas control requirement should be imposed on the supplier.	
NC-18	The company should establish a dedicated energy-saving and emission reduction working committee (energy-saving group/dual carbon committee, etc.).	
NC-19	Clear emission reduction plan, strategy, or measure should be available.	
NC-20	The company should develop a water management plan.	
NC-21	Workers should wear earplugs in noise environment.	
NC-22	High energy efficiency air conditioner should be used.	



GENERAL COMMENT

NC-23	Switchgear/distribution cabinets should be locked to reduce a risk of electric shock.	
NC-24	The sealing mold lubricant, waste electrolyte, and waste lithium tape in the assembly workshop should be locked and managed in the storage box.	
NC-25	The first aid kit (plastic) in the production workshop should be placed in a place without direct sunlight. The drugs in the first aid kit should be configured according to the management guidelines for the kit.	
NC-26	The safety exit lights in the powder production workshop should be power on, and the evacuation plots for the assembly workshop should be placed inside the workshop. Some emergency lights should be well maintained.	
NC-27	It is recommended to replace them with sulfur hexafluoride fire extinguishers.	
NC-28	Work overtime exceeding 36 hours per month should be forbid.	
NC-29	The Anti Corruption/Anti Corruption Commitment Letter should be available.	
NC-30	The supplier contract/agreement should include content such as code of conduct or business ethics.	
NC-31	The company should conduct social responsibility audit content when conducting supplier audits.	
NC-32	The company should establish Grievance Management Procedure.	

F: FINAL CONCLUSION:

According to the final score and general comments, the following is the final conclusion of this factory audit:

-- **Restriction of Hazardous Substances control**

Poor and need to be improved

-- **Supplier Chain Traceability**

Poor and need to be improved

-- **Environment, climate and human health**

Conditional Acceptable

-- **Social, human rights, labor rights and industrial relations**

Acceptable

-- **Governance, management system and risk management**

Poor and need to be improved



GENERAL INFORMATION

1.1	SUPPLIER INFORMATION		
1.1.1	Supplier Name:	Changzhou Jintan Chaochuang Battery Co., Ltd.	
1.1.2	Address	Xiyang Industrial Park, Xuebu Town, Jintan District, Changzhou City, Jiangsu Province, China	
1.1.3	Contact Information	Name	Position
		Chen Lei	Sales
		Phone No	E-mail
		0519-82483588	chenlei@chaochuang.com
1.2	MANUFACTURER INFORMATION		
1.2.1	Company Name	Changzhou Jintan Chaochuang Battery Co., Ltd.	
1.2.2	Company Address	Xiyang Industrial Park, Xuebu Town, Jintan District, Changzhou City, Jiangsu Province, China	
1.2.3	Contact Information	Name	Position
		Chen Lei	Sales
		Phone No	E-mail
		0519-82483588	chenlei@chaochuang.com
1.2.4	Company Ownership	Private enterprises	
1.2.5	Date of Creation	July 6, 2004	
1.2.6	Enterprise License Number	913204137698710000	
1.2.7	System Certificates Obtained	ISO9001、ISO14001	
1.2.8	Factory Total Area (m ²)	33,647	
	Sub-Area (m ²)	Production Area	Storage Area
		19,411	3500
1.2.9	Product Scope	Button lithium-manganese dioxide battery	
1.2.10	Product Certifications Obtained	CCC、CE、TUV、UL	
1.2.11	Total Number of Employees	248	
	R&D	5	Quality
	PMC	1	Purchasing
	Marketing	6	Production
	Warehouse	4	Engineer (IE/PE/ME)
	Admin. & HR	2	Others
			17
1.2.12	Operation Hours	Shift/day	Hour/day
		8:30-17:30	10
1.2.13	Turnover & Profitability (last year)	150,000,000 CNY in Year 2024	
1.2.14	Sub-contracting Scope	N/A	
1.2.15	Major Clients (Provided by Manufacturer)	Name	Country
		Energizer	US
		Kacheng	China
		Maxell	China

2.0 Raw Materials and Restriction of Hazardous Substances Control			34
			18
			52.9%
NO	KPI (Key Point Indicator)	Score	Audit finding and comment
2.1 Raw Material			
2.1.1	Is any of the cobalt, natural graphite, lithium, nickel intentionally added or used in the product(s) or in the production process? If yes, please answer Questions (2)-(5).	YES	Based on the BOM list, it was found that the graphite, lithium and nickel used in the component.
	Cobalt	0	NO
	Natural graphite	2	YES
	Lithium	2	YES
	Nickel	2	YES
2.1.2	Have you traced the cobalt, natural graphite, lithium, nickel back to their original smelters or processors? If yes, please complete i-Appendix-Mapping and j-Traceability Evidence, providing a list of all suppliers in your supply chain that process these minerals, including the company name, the company address, quantity information, the source of information (whether entirely from recycled materials or scrap) and the identification information. If your company chooses to report at the product level, please provide a comprehensive list of all products that contain these minerals.	NO	The company traced the component of graphite, lithium and nickel to its supplier. But: NC-01: The company did not trace the graphite, lithium and nickel back to its original smelters or processors.
	Cobalt	N/A	
	Natural graphite	0	
	Lithium	0	
	Nickel	0	
2.1.3	Have you established a responsible mineral sourcing policy publicly available?	0	NC-02: The company did not establish the conflict minerals management norms. The conflict minerals statement was not disclosed publicly on the official website.
2.1.4	Have you implemented due diligence measures for responsible sourcing?	0	same as NC-01
2.1.5	Do you review due diligence information received from your suppliers against your company's expectations and have corrective action management?	0	NC-03: The supplier management procedure does not stipulate the due diligence of suppliers.
2.2 Restriction of Hazardous Substances			
2.2.1	Does the company produce or use hazardous materials that are deemed illegal under applicable local or national regulations, or which are subject to internationally agreed phase-outs or bans?	2	The company have established social responsibility environmental protection control program. The company claimed they did not produce or use hazardous materials.
2.2.2	Can the company provide an inventory of the hazardous materials it uses and are any of these rated as extremely hazardous (1a) or hazardous (1b) according to the World Health Organization (WHO)?	1	The company provided an inventory of the hazardous materials. But: NC-04: The list of hazardous substances refers to EU regulations such as REACH and ROHS, without considering WHO requirements.
2.2.3	Is there a clear MSDS document available onsite for chemical material, and a second container for avoiding potential leakage (for dangerous/hazardous ones).	2	MSDS document is available onsite for most of chemical Material. (NC-05 Already rectified.)
2.2.4	Can the company provide compliance disposal and proof?	2	The company provided RoHS and Reach test report. Records are checked and found acceptable.
2.2.5	Is there an emergency plan for hazardous substance leakage on site?	2	The company provided emergency plan for hazardous substance leakage. Records are checked and found acceptable.
2.2.6	Does the company conduct regular safety inspections on the use and storage of hazardous substances?	2	The company provided inventory count record for hazardous chemical. Records are checked and found acceptable.

2.2.7	Is the company in the process of phasing out any internationally banned materials?	1	Some internationally banned substances are still in use due to current technological and workmanship limitations. NC-06: For internationally banned materials such as lead, Hg, Cd, the company has no plans to phase it out.
2.2.8	Have you restricted the content of mercury (Hg), cadmium (Cd), lead (Pb) and other hazardous substances in the product to comply with REGULATION (EU) 2023/1542 and Regulation (EC) No 1901/2006? If yes, please provide the effective testing report within 1 year.	1	The company has established social responsibility environmental protection control program. But: NC-07: The limits for mercury, cadmium and lead have not been revised in accordance with the battery regulations 2023/1542.



3.0 Supplier Chain Traceability		84	
		59	
		70.2%	
NO	KPI (Key Point Indicator)	Score	Audit finding and comment
3.1	Supply chain management		
3.1.1	Is there an authorized list of Suppliers and sub-contractors of raw materials/ components to be used in manufacturing goods?	2	Approval Vendor List is available, all raw materials were purchased from approved supplier.
3.1.2	<i>Has company mapped its suppliers and sub-suppliers, and has identified high risk sub-suppliers. Please list the key raw materials supplier's information in the remarks column here.</i>	0	NC-08: The company did not identify high-risk suppliers in order to comply with the regulation (EU) 2023/1542.
1 3.1.3	<i>Does company perform Supplier evaluations before initiating purchase process? And are record and information kept on qualified and disqualified suppliers. The ability and willingness of suppliers to provide traceability information and ESG requirements shall be considered in an organization's supplier selection and qualification process.</i>	3	The company evaluated the their suppliers quarterly from Quality, delivery, coordination. They are classified for the suppliers and annual audit will conduct for all suppliers. But: NC-09: Traceability information and ESG requirements were not considered in supplier selection and qualification process.
3.1.4	Does company communicates clearly its traceability scope and requirements to suppliers?	0	NC-10: The company did not communicate its traceability scope and requirements to suppliers such as the conflict minerals management requirement.
3.1.5	Are there metallurgical plants in the supply chain purchasing cobalt, Natural graphite, Lithium and Nickel from conflict affected and high-risk areas.	0	Same as NC-01: The company did not traced the graphite, lithium and nickel back to its original smelters or processors.
3.2	Raw material control & storage		
3.2.1	Does company establish an effective material tracking system, such as part number, lot number & etc.?	2	The material traceability is based on material type /supplier / lot number of raw material. Actual operation and records are checked and found acceptable.
3.2.2	Does IQC inspection record can trace to lot number or date code of raw material?	2	Checked IQC inspection record, lot number and date code was recorded.
3.2.3	Does company have designated areas to store / stack the specialty material to avoid mixing / contamination and if these area have demarcation for varies materials.	0	NC-11: No designated areas and demarcation is available to identify the specialty material.
3.2.4	Check the storage method/container of components to avoid any risk. All materials are clearly identified, no materials mixed and poor handling & etc.	1	Storage area and all materials are clearly identified. But: NC-12: Some component such as steel strap and lithium electrolyte are not identified with label.
3.2.5	Is the method for correct materials released to production line adequate?	2	The production line submits the production material requirements from PMC according to the work order demands. The warehouse prepares the materials based on the work order and distributes them to the production line. After the production line team leader verifies that the materials are correct, they are put into production.
3.3	Manufacturing process control		



3.3.1	<i>Is traceability system such as MES or similar system available to implement tracking and management of the raw materials, production and finished goods for lithium batteries?</i>	0	NC-13: Currently, the raw materials, production process and product information of the batteries are recorded manually, and there is no traceable software system to manage them.
3.3.2	Can operators understand how to recognize appropriate materials to ensure right inputs for production?	2	Operators can recognize appropriate material by work order, lot number which stated on material travelling label.
3.3.3	Are materials, semi products, finished goods, leftover identified and segregated well to avoid contamination?	2	All materials, semi products, finished goods and leftover materials are well segregated and identified to avoid contamination.
3.3.4	Are the production records to be kept well for traceability?	6	The production records are kept in manually for traceability.
3.3.5	Is company able to trace back all materials used to produce the product, until batch numbers of purchased raw materials / subcomponents?	1	Batch number and raw materials can be traced in manually. But: NC-14: The Production Material Requisition Form only indicates the specification number but not record the information of supplier. Therefore, it is impossible to confirm the uniqueness of the materials.
1 3.3.6	<i>Is the format of battery code (battery passport) conformed to relative requirement?</i>	6	The company have it's battery code format.
3.3.7	Is system in place to ensure the traceability and identification of product/package/ boxes / pallets?	0	Same as NC-13
3.3.8	Is there any authorized area for specific products?	0	Same as NC-11
3.3.9	Do all finished products record tracking information like batch No, Production order No or SN when inbound into finished warehouse into MES or similar system?	2	The production order No, batch No was recorded in manually for tracking when inbound into finished warehouse.
3.3.10	<i>Is traceability system effective from source of raw material and components through finished product? traceability up to the minerals production (particularly in Cobalt mining, Lithium- and Nickel-mining and processing) is ideal. (Refer to e- Appendix sheet)</i>	0	Same as NC-01, NC-13
3.4	Product storage and delivery control		
3.4.1	Are procedures for the control and release for end products adequate?	2	Documented procedure is available to control and release the finished products.
3.4.2	Are storage facilities and handling methods appropriate for end products?	2	Shipment will be ready as per shipment order issued by sales assistant, all PO number and batch will be recorded manually before loading.
1 3.4.3	<i>Is traceability system available to implement tracking and management of finished goods storage, distribution, and sales processes of lithium batteries?</i>	6	Manual traceability system is available to implement tracking and management of finished goods storage, distribution, and sales processes of battery.
3.4.4	Is there a container and seal inspection control procedure? And are container number & seal number correctly recorded?	2	Factory have check list to carry out containers inspection and records are available.
3.4.5	Can company monitor the containers of trucks during transportation?	2	Each container was sealed by seal if applicable before ship out the factory, and the container will be monitored by GPS from logistics company.
3.5	Documentation and training		
3.5.1	Are all the records kept well for certain period as documented procedure defined? (at least 3 years)	2	All records will be kept at least 5 years.
3.5.2	Are the relevant operators trained and qualified on traceability? And are training records available at site? Are there qualified staffs for cross departments coordination?	2	Relevant operators are trained on traceability.



3.5.3	Are supply chain transaction documentation available? – including supply contracts, purchase orders, invoices, bill(s) of lading, delivery records related to traceable materials.	2	Relative documents and records are available.
3.5.4	Does company have internal annual traceability validation in regularly to monitoring product traceability performance?	2	Factory will conduct internal annual traceability audit in regularly to monitor its product traceability performance, records are checked and found acceptable.
3.5.5	<i>Have company developed and implemented a due diligence system & function team to its traceability system and its supplier's performance.</i>	6	The company has team to monito its traceability system and supplier's performance.



4.0 Environment, climate and human health			64
			51
			79.7%
NO	KPI (Key Point Indicator)	Score	Audit finding and comment
4.1 Air			
4.1.1	Does the company have formal plans to control and/or reduce GHG emissions from company operations?	1	The company reduces greenhouse gas emissions through equipment upgrades, rooftop photovoltaics, and other measures, but NC-15: There is no formal plan to control and/or reduce greenhouse gas emissions in the company's operations.
4.1.2	Has a greenhouse gas inventory been conducted?	6	Has done GHG inventory, the total GHG emission of 2024 is 3859.18tCO ₂ e.
4.1.3	Does the scope of greenhouse gas inventory include scope 3 emissions?	0	NC-16: GHG inventory doesn't include scope 3 emissions
4.1.4	Has the greenhouse gas inventory been verified by a third party?	2	GHG inventory is verified by SGS.
4.1.5	Are greenhouse gas control requirements imposed on suppliers?	0	NC-17: No greenhouse gas control requirement is imposed on the supplier.
4.1.6	Has the enterprise established a special working committee for energy conservation and emission reduction (energy conservation group/dual carbon Committee, etc.)	0	NC-18: The company has not established a dedicated energy-saving and emission reduction working committee (energy-saving group/dual carbon committee, etc.).
4.1.7	Has GHG emissions been monitored?	2	Developed an environmental monitoring plan, third party exhaust gas monitoring reports can be provided.
4.1.8	Does the company have measures to reduce GHG emissions?	3	The company reduces greenhouse gas emissions through equipment upgrades, rooftop photovoltaics, and other measures, but NC-19: There is no clear emission reduction plan, strategy, or measure.
4.2 Water			
4.2.1	Has the company identified and mapped its water withdrawal and use by source and type?	2	There is only one type of water withdrawal i.e. Municipal tap water.
4.2.2	Has the company undertaken water management plans, with time-bound targets that address major risks identified in the above criterion?	0	NC-20: The company has not developed a water management plan.
4.2.3	What is the total amount of water used? Have water-saving measures been adopted?	2	25566 tone in 2024, most of faucets have been replaced with water-saving faucets
4.2.4	Are wastewater recycling measures implemented throughout the company facilities?	2	The company has established a sewage treatment plant to achieve the recycling and use of production water.
4.3 Soil			
4.3.1	Does the company manage and control the adverse impacts of their activities on soil?	2	The company has a fixed pollution source discharge registration form, and hazardous waste, recyclable waste, and general solid waste are managed separately. Due to not being a key soil monitoring unit, no soil testing has been conducted.
4.3.2	Does the company follow the conditions in their permit which tell them to prevent or minimize pollution and set limits on emissions to soil?	2	Follow the conditions in EIS, no soil contamination was observed on site.
4.4 Biodiversity			
4.4.1	Does the company have a biodiversity management plan and/or controls measures in place for their impact on the local biodiversity?	2	The company has a good ecosystem, high greening rate, and has national first-class protected tree species.
4.4.2	Does the company have targets and/or programmed to prevent or minimize risks and impacts to biodiversity?	2	According to the environmental impact assessment report to prevent or minimize risks and impacts to biodiversity.
4.5 Noise and vibration			

4.5.1	Does company controls noise and vibration?	2	Every year, third-party companies inspect the noise outside the factory boundary and the production process noise in the workshop.
4.5.2	If the noise is too loud, is the factory equipped with noise and vibration reduction treatment facilities?	2	All workstations have noise levels below 85 decibels. Workers have weard earplugs.
4.5.3	Is there regular monitoring of noise and vibration, and maintenance of monitoring reports?	2	Annual noise inspection reports are available.
4.6 Energy use			
4.6.1	Does the company monitor and measure its energy consumption from renewable and non-renewable sources?	6	The total electricity consumption in 2024 is 8520000 kWh. All energy sources are non renewable.
4.6.2	Has the enterprise currently carried out renewable energy production or consumption activities?	2	The company starts rooftop photovoltaic power generation in May 2025.
4.6.3	Where energy is supplied by the national grid, are there any controls in place to manage risks associated with this supply (e.g. power outages or dramatic price increases).	2	The power supply is stable, and power outages will be notified in advance. The company has a generator on hand.
4.6.4	Are energy reduction measures implemented throughout the company facilities?	1	The company has taken some energy-saving and consumption reducing measures, but NC-22: currently the air conditioning in the company is at level 3 energy efficiency.
4.7 Waste and residues			
4.7.1	If contractors are used to dispose of solid waste, does the company monitor them and have documentary evidence of safe and legal disposal (i.e. duty of care for waste management)?	2	There is one contractor for hazardous waste disposal, handle once a year. About 100 tons of solid waste are processed by third-party companies six times a year.
4.7.2	Are waste materials segregated at the office/site locations ready for recycling etc.?	2	All waste materials are segregated in office and site locations.
4.7.3	Does the company have measures to reduce waste generation?	2	The company has taken some measures to reduce waste generation, such as using phosphate free lubricants.



5.0 Social, human rights, labor rights and industrial relations			70
			60
			85.7%
NO	KPI (Key Point Indicator)	Score	Audit finding and comment
5.1 Plant safety			
5.1.1	Does the company have formal machine safety controls in place?	2	The company has established equipment and facilities safety management System.
5.1.2	Does the company have formal electrical safety controls in place?	1	The company has established electrical locking and labeling management System, but NC-23: Some switchgear/distribution cabinets are not locked, posing a risk of electric shock.
5.1.3	Does the company have formal chemical safety controls in place? Is MSDS available for dangerous chemicals?	1	The company has established chemical pollution control procedure. Separate chemical and recycling warehouses have been set up, and MSDS is available. But NC-24: The sealing mold lubricant, waste electrolyte, and waste lithium tape in the assembly workshop have not been locked and managed in the storage box.
5.2 Occupational health and safety			
5.2.1	Does the company have a formal health and safety system in place designed for the protection of workers?	2	The company has established occupational health management system.
5.2.5	Is there a formal process for the completion and review of Risk Assessments?	3	The company has established risk source identification and risk assessment system. But there are also some potential safety risk, please refer to NC of 5.1.2, 5.1.3
5.2.3	Does the company have a process to record, and investigate near misses and accidents and to ensure that corrective actions are effectively implemented?	2	The company has established accident incident reporting, investigation and handling control procedure.
5.2.4	Does the company have data on OHS performance (e.g. Lost Time Injury Frequency Rates).	2	The company updates the occupational health and safety performance data sheet every month include lost time injury frequency rates and etc..
5.2.5	Is formal OHS training provided to workers? (including part time, seasonal, indirect employees and other workers). This may be sector specific or relate to specific types of risk (e.g. falls from height, risk of fire, safe and defensive driving).	2	The company has yearly training plan for OHS include all type of workers. The training records are all kept.
5.2.6	First aid equipment is stocked and accessible?	1	The company has established emergency materials management system. But NC-25: The first aid kit (plastic) in the production workshop was placed in a place with direct sunlight. The drugs in the first aid kit were not configured according to the management guidelines for the kit.
5.2.7	Are workers aware of PPE requirements and wearing PPE in designated areas?	3	The company has established personal protective equipment management procedure. Workers wear PPE in designated areas. But same as NC-21
5.2.8	Is drinking water accessible and adequate at each facility floor?	2	Drinking water is accessible and adequate at each facility floor.

5.2.9	Are fire safety facility and equipment in normal condition? Are fire escape exits unblocked or unlocked? Are correct evacuation plots being posted at all floors of facility?	1	Fire-fighting equipment and flood prevention supplies are subject to regular inspections. Fire escape exits are unblocked. The safety exit lights in the powder production workshop are on. Emergency lights are maintained. (NC-26) NC-27: In the distribution room, dry powder fire extinguishers and carbon dioxide fire extinguishers are used, and one of them exceeded the pressure limit. It is recommended to replace them with sulfur hexafluoride fire extinguishers.
5.2.10	Are documented fire drills conducted at least once a year or per local law requirements? Does the facility have a written fire evacuation plan covering (1) roles and responsibilities in case of fire, and (2) evacuation routes, and (3) assembly area, and (4) fire equipment location, and (5) first aid location, and (6) emergency telephone numbers, and (7) how to checked off that no one is left unaccounted for in the building?	2	Fire drills are conducted three times a year. Written fire evacuation plan is available.
5.3 Child labor			
5.3.1	Are there any child labors identified at the time of this audit?	2	Not found child labor during audit.
5.3.2	Are there specific requirements for minimum age?	2	18 year in Management Procedure for Child Labor and Underage Workers.
5.3.3	Does the company have effective procedures to verify the age of employees during recruitment?	2	HR check ID card when have interview, compare with the local public security department system.
5.3.4	If there are any young workers (typically under that age of 18) are they prohibited from undertaking high risk activities?	NA	All workers are over 18 years old.
5.4 Forced labor			
5.4.1	Are there any forced, bonded or involuntary labor identified at the time of this audit?	6	Not found forced, bonded or involuntary labor during audit.
5.4.5	Are there specific requirements for forced labor?	2	There are specified requirements in Manual on Forced Labor Control.
5.4.3	Do workers' working hours comply with national employment regulations and core ILO Labor Conventions?	0	NC-28: It is common for frontline employees in the company to work overtime exceeding 36 hours per month.
5.4.4	Is overtime voluntary?	2	Overtime is voluntary, employees can choose not to work overtime if they have personal matters.
5.4.5	Has the institution withheld original personal identification documents such as ID cards and passports for employment purposes?	2	No cases of employees withholding their ID cards were found.
5.4.6	Is it allowed for employees to resign after giving reasonable notice?	2	Employees are free to resign with reasonable reasons according to Employee Resignation Management Rule.
5.5 Discrimination			
5.5.1	Does the company implement Policies and processes to ensure respect for the rights of minority groups?	2	Anti discrimination management program stipulates that employees shall not be discriminated against based on race or ethnicity, no employee reported experiencing discrimination during the interview.
5.5.2	Are there specific requirements for the prohibition of discrimination?	2	The company promises that all employees will not be subjected to harassment and illegal discrimination, including recruitment, training, pregnancy, etc.
5.6 Trade union freedoms			
5.6.1	Can workers freely express their opinions/concerns?	2	Workers can freely express their opinions/concerns.
5.6.5	Do workers have the right of "Freedom of Association" or to "Collectively Bargain"?	2	The company has stipulated freedom of association and collective bargaining rights in Free association and collective bargaining procedures.
5.6.3	Are workers union representatives democratically elected and free to carry out their duties within working hours?	2	Workers union representatives are democratically elected and free to carry out their duties within working hours.
5.7 Community life			
5.7.1	Does the company manage and control any new or significant risks and/or impacts on local communities?	2	The environmental impact factors has taken into account the influence of the local community.
5.7.2	Does the company actively contribute to the local community through charitable programmed?	2	The company has carried out public welfare, charity, and volunteer services for the local community, such as donations, paired assistance.



6.0		Governance, management system and risk management		40	
				29	
				72.5%	
NO	KPI (Key Point Indicator)	Score	Audit finding and comment		
6.1	Management system and internal control				
6.1.1	Does the company have a formal ESG management system(s)? (i.e. ISO9001, ISO14001, ISO45001, SA8000 etc.)	2	The company has obtained the certificate of ISO9001, ISO14001.		
6.1.2	Does the company have an adequate internal control system is in place?	2	The company has established a Quality System Management Manual, Environmental Management System Manual.		
6.1.3	Does the company have an effective quality management system and internal control for product quality control?	2	The company has established Quality Management System and have internal audit once a year.		
6.2	Risk management				
6.2.1	Does the company have an active monitor and review mechanism in place to prevent and detect ESG risks?	2	The company has established Risk and Opportunity Control Procedure to prevent and detect risks. The company provides 2024 Risk and Opportunity Assessment Review Report for review.		
6.2.2	Has the company assessed the existed or pential risk and potential risks every year?	6	The 2024 Risk and Opportunity Assessment Review Report can be provided.		
6.2.3	Does the company take action for the high ESG risks?	2	There are corrective actions in 2024 Risk and Opportunity Assessment Review Report		
6.3	Anti-Corruption				
6.3.1	Is there a formal written anti-corruption policy?	2	The company has established Social responsibility, business ethics, and anti-corruption control procedures.		
6.3.2	Are details of the anti-corruption policy communicated to workers and signatures of acceptance collected?	6	Training records can be provided. Anti Corruption/Anti Corruption Commitment Letter" can be provided. (Nc-29)		
6.3.3	Does the company have Whistleblowing policy/company documents designed to encourage employees to report instances of bribery and corruption and other corporate wrongdoing?	2	The company has established Complaint Management Procedure.		
6.4	Code of Conduct				
6.4.1	Does the company have a Company Code of Conduct and/or policies?	2	The company has established Social responsibility, business ethics.		
6.4.2	Is the Code of Conduct included in contracts and/or agreements with suppliers and business partners?	0	NC-30: The supplier contract/agreement does not include any content such as code of conduct or business ethics.		
6.4.3	Has the company established procedures for monitoring compliance with the Code of Conduct?	1	The company has established Social responsibility, business ethics. But NC-31: The company did not include social responsibility audit content when conducting supplier audits.		
6.5	Grievance mechanism				
6.5.1	Does the company have a grievance mechanism?	0	NC-32: The company hasn't established Grievance Management Procedure.		
6.5.2	Is it accessible, transparent, understandable and culturally and gender sensitive?	0	Same as NC-32.		

SUPPLY CHAIN MAPPING

7.1 Supply Chain Mapping

Graphite powder

Supplier: Qingdao Fujin Graphite Co., Ltd.
Location: Nansui Town, Laixi City, Qingdao,

Nickel-plated steel strip

Supplier: Jiangxi Kangjiseng New Materials Co., Ltd.

Lithium strip

Supplier: Xinghua Far-Infrared Components Factory
Location: 400 meters



Button battery

Supplier: Changzhou Jintan Chaochuang Battery Co., Ltd.
Location: Xiyang Industrial Park, Xuebu Town, Jintan District, Changzhou City, Jiangsu Province, China

7.1.1 Supply Chain Mapping of Battery



7.2 Actual Traceability Practice Verification

Traceability Mapping
(Box PO number: 7100127345)



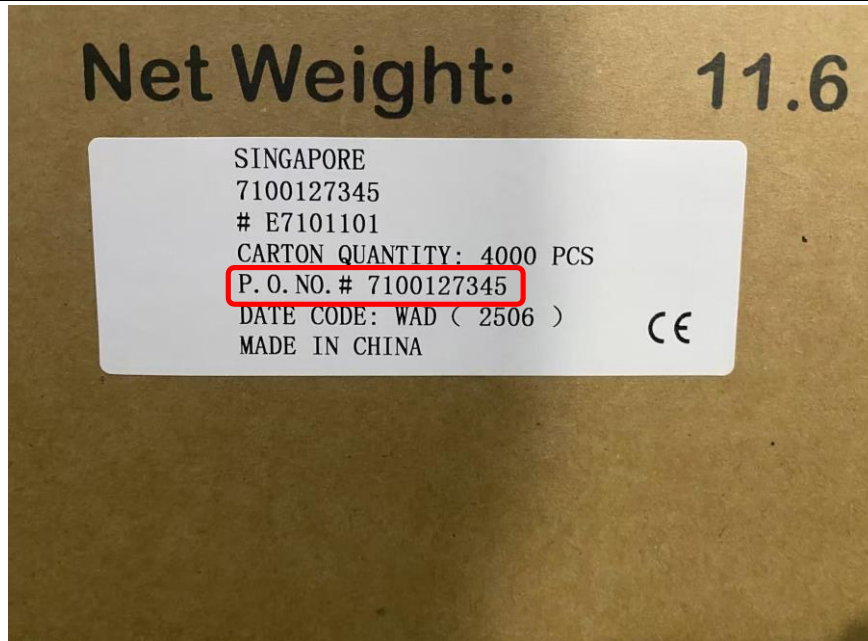
SUPPLY CHAIN MAPPING

Supplier Information	Production Transportation Process	Traceability Connecting Points		Quantity Information		Source of Information	Brief Introduction of Traceability
				Battery Quantity (Unit)	Pack Quantity (Unit)		
Changzhou Jintan Chaochuang Battery Co., Ltd.	Button battery production	Button battery production order	7100127345	1400000 pcs	/	Paper record	By checking the PO number of sampled box number to find out production batch number.
		Battery batch	In the out-going inspection report, the production batch number can be traced back through the order number. The production batch number is D25042012,D25042014, D25042018	113484pcs	/	Paper record	By checking the PO number of sampled box number to find out production batch number.
Qingdao Fujin Graphite Co., Ltd.	Graphite powder transportation	Graphite powder batch number	20241231	8000kg	/	Paper record	By checking the button battery batch code to find out Graphite powder batch number.
		Graphite powder purchase order	20241220	8000kg	/	Paper record	By checking the fuse production order number to find out cover plate purchase order.
Jiangxi Kangjiseng New Materials Co., Ltd.	Nickel-plated steel strip transportation	Nickel-plated steel strip batch number	2444321302-15	15761kg	/	Paper record	By checking the button battery batch code to find out Graphite powder batch number.
		Nickel-plated steel strip purchase order	220-20250220001	100000kg	/	Paper record	By checking the fuse production order number to find out cover plate purchase order.
Xinghua Far-Infrared Components Factory	Lithium strip	Lithium strip batch number	20250330	604.329kg	/	Paper record	By checking the fuse production order number to find out cover plate purchase order.
		Lithium strip purchase order	2025032401	1000kg	/	Paper record	By checking the fuse production order number to find out cover plate purchase order.

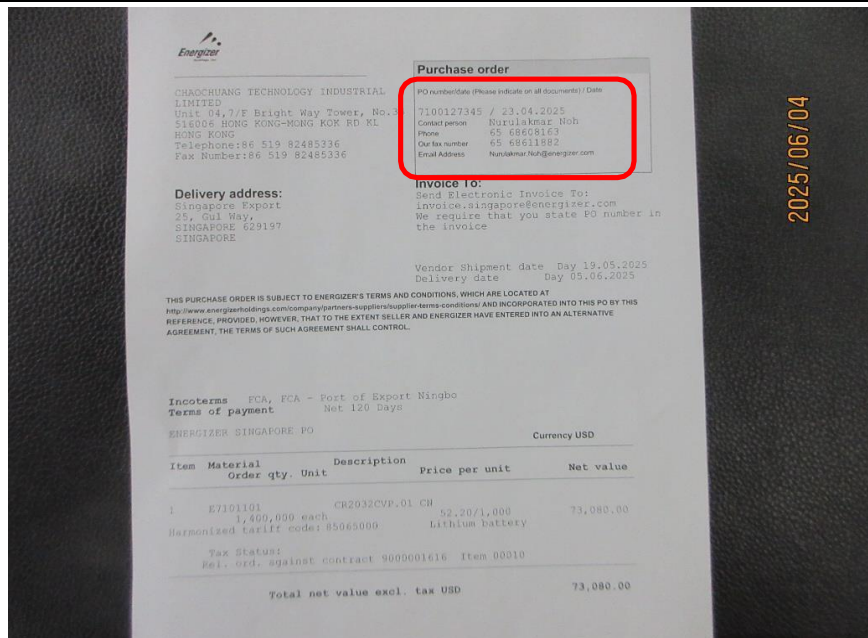


TRACEABILITY EVIDENCE

8.1. Box PO number (7100127345)



8.2. Sales PO number (7100127345)



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TRACEABILITY EVIDENCE

8.3. Outgoing inspection report (the production batch number can be traced back through the order number)

出货检验报告									
产品名称 Product name	锂离子电池扣式电池 LITHIUM - Manganese dioxide battery	规格/型号 Specification / model	D25042012 (1000120472) PS						
产品数量 (pcs) Product Quantity	240000	抽样依据 Sampling basis	《OQC出货检验规范》 (OQC Shipment Inspection Specification)						
检验号 (Batch number)	10° 20° 30°	检验日期 Date of	2025.06.21						
订单号 PO No.	7100120472	出货日期 Shipment Date	2025.06.21						
出厂检验数据 Inspection Data									
序号 No.	检验项目 Inspection Standard	检验标准 Inspection Item	检验数量 Inspection quantity	检验结果 Test results					判定结论 Conclusion
01	开路电压 (V) OCV (V)	320-340	120 只	332	333	332	336	335	OK
02	负载电压 (V) CCV (V)	≥270 (Q3 8.0)	120 只	322	320	321	318	323	OK
03	短路电流 (mA) SCC (mA)	≥200	120 只	661	672	643	667	665	OK
04	外形尺寸: 1. 直径 (mm) Diameter (mm)	24.00 ^{+0.10} _{-0.15}	20 只	19912	19912	19917	19933	19910	OK
05	外形尺寸: 2. 高度 (mm) Height (mm)	3.20 ^{+0.10} _{-0.20}	10 只	3167	3172	3180	3171	3183	OK
06	密封剂外径直径 (mm) Average ID	17.80-18.20	10 只	18.00	17.95	17.97	17.90	17.90	OK
07	密封剂内径直径 (mm) Average ID	15.80-16.20	10 只	15.89	16.00	15.90	15.93	16.01	OK
08	密封剂点直径 (mm) Average measured dot size	0.80-1.00	10 只	0.91	0.90	0.90	0.89	0.93	OK
09	触点数量 number of dots	40-43	10 只	42	42	42	41	43	OK
10	净重 (mg) Net loading	1.68-2.52	10 只	1.77	1.82	1.87	1.97		OK
11	漏液距离 (mm) Leak distance	≤0.35	10 只	0.33	0.33	0.25	0.30	0.30	OK
12	外观 Appearance	密封: 标志清晰, 无: 变形, 锈蚀, 漏液, 明显缺陷. (Ac: Re: 7.8)	800 只						OK

8.4 OQC inspection record (Product batch number: D25042012, D25042014, D25042018)

OQC 检验记录表										
检验内容		检验项目	总数 (只)	抽检数 (只)	抽检结果					判定
检验日期: 2025 年 06 月 21 日		开路电压 (V)	113404	120	01	02	03	04	05	OK
规格、型号: D25042012 (1000120472) PS		负载电压 (V)		120	3201	3213	3219	3202	3178	OK
检验号: 10° 20° 30°		短路电流 (mA)		120	541	602	613	557	558	OK
产品批号: D25042012		直径 (mm)		20	19934	19941	19937	19933	19943	OK
生产日期: 2025.04.21		高度 (mm)		50	3157	3102	3146	3166	3157	OK
检验日期: 2025.06.21		外观		50	MA: Ac: Re= 12					OK
规格、型号: 锂离子电池扣式电池		内包装质量		100	MI: Ac: Re= 5.6					OK
产品批号: D25042014, D25042018		内包装重量 (g)		29	1687					OK
生产日期: 2025.04.21		外包装质量		3	1647					OK
检验号: 10° 20° 30°		外包装重量 (Kg)			1646					OK
检验日期: 2025 年 06 月 21 日		开路电压 (V)			1647					OK
规格、型号: 锂离子电池扣式电池		负载电压 (V)								
产品批号: D25042012		短路电流 (mA)								
		直径 (mm)								
		高度 (mm)								
		外观								

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TRACEABILITY EVIDENCE

8.5 Assembly Workshop Material Usage Register (positive plate batch number: A250411first19, Positive electrode shell, negative electrode cap at stamping process(batch number: B250425first46, Lithium strip batch number: 20250330)

组装车间材料使用登记表

日期	班次	线别	产品名称/型号 (CR)	订单号	零 部 件			带		隔阻纸		电绝缘		NO.		
					正板壳材料	正板壳型号	负板壳材料	负板壳型号	供应商	型号	供应商	型号	供应商	型号	生产日期	使用状态
2024.05.21	08:00	1#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		2#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		3#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		4#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		5#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		6#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		7#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		8#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		9#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		10#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		11#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		12#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		13#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		14#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		15#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		16#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		17#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		18#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		19#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看
		20#	2024.05.21	D20240521	430	B-2024.11.10	430	B-2024.11.10	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	2024.05.21	看

贵州安辰储能电池有限公司
QA-707-25 版本B

批准:

审核: 修国忠

编制:

修国忠

2025/06/04

8.6 Positive electrode shell, negative electrode cap at stamping process(batch number: B250425first46) traced back to Nickel-plated steel strip material (batch number: 2444321302-15)

[illegible]



TRACEABILITY EVIDENCE

8.7 positive plate at power and marking positive sheet process (batch number: A250411first19) traced back to Graphite powder material (batch number: 20241231)

生产流程卡(制片段)				生产流程卡(制粉段)			
机台号	19	正极片型号	20241231	正极片批号	A25041199	正极片批号	A25041199
正极片型号	I	正极片批号	20250402	正极片批号	A25041199	正极片批号	A25041199
正极片盒号	3419	正极片盒号	5227	正极片盒号	4860	正极片盒号	4860
正极片盒号	1846	正极片盒号	3479	正极片盒号	1798	正极片盒号	1798
正极片盒号	429	正极片盒号	4323	正极片盒号	4777	正极片盒号	4777
正极片盒号	2735	正极片盒号	5443	正极片盒号	209	正极片盒号	209
正极片盒号	6140	正极片盒号	1528	正极片盒号	1065	正极片盒号	1065
正极片盒号	2341	正极片盒号	2584	正极片盒号		正极片盒号	
正极片盒号	3431	正极片盒号	737	正极片盒号		正极片盒号	
正极片盒号	2875	正极片盒号	2416	正极片盒号		正极片盒号	
正极片盒号	6194	正极片盒号	5019	正极片盒号		正极片盒号	
入待检区日期	20250412	入待检区时间	5:20	操作员	李长	入待检区日期	20250412
检验员	向海燕	机修工	王华	数量(箱)	12	检验员	向海燕
入库日期	2025412	入库时间	8:23	入库人	王华	入库日期	2025412

常州金坛超创电池有限公司
00-14-002 版本B

8.8 Production Material Requisition Form (Nickel-plated steel strip material batch number: 2444321302-15, Graphite powder material batch number: 20241231, Lithium strip batch number: 20250330)

领料单							领料单						
No. 2204539							No. 1605454						
年 4 月 14 日							年 4 月 16 日						
编号	品名及规格	单位	数量	单价	总值	用途	编号	品名及规格	单位	数量	单价	总值	用途
420	0.2x37.5"	1	474.1kg	2.444321302-15			1.1	1.1x5	1	1.1x5	1.1x5		
	0.2x40.5"	2	679kg	2.444321302-15			1.2	1.2x6	1	1.2x6	1.2x6		
	0.2x48"	4	3999kg	2.444321302-15	8407.68		1.3	1.3x10	1	1.3x10	1.3x10		
合计			741.1kg	2.444321302-15	2777.68		26.176	26.176	1	26.176	26.176		
财务部门	记账	保管部门	发料	领料部门	领料		财务部门	记账	保管部门	发料	领料部门	领料	

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TRACEABILITY EVIDENCE

8.9 Purchase order number (Graphite powder: 20241220, Nickel-plated steel strip: 220-20250220001, Lithium strip purchase: 2025032401)

青島福金石墨有限公司 銷售合同					
合同編號: 20241220					
主 要 內 容	交易名稱	規格	單位	數量	備 注
	石墨	899.9	噸	8	含稅
合 計	人民幣大寫:				
合 同 有 關 條 款	一、質量、驗收標準: 按國家標準執行, 到貨7日內完成驗收, 未提出質量問題視為合格。(即存在驗收設備不同、人工操作誤差等因素, 導致雙方檢測結果有差異, 需方應及時與供方對標、溝通, 產品停止使用。) 二、運交地點和運輸方式及費用承擔: 汽運至需方倉庫, 費用供方承擔。 三、合理損耗: ±0.5% 四、包裝標準: 包裝物的供應與回收: 裝袋不回收。 五、核算方式及期限: 月結60天。 六、此批石墨型號及標準已經需方驗證並確定使用。 七、收到后需方化驗合格后方可使用, 否則產生的一切損失供方不負責。 八、违约责任: 按《中華人民共和國民法典》有關條款執行, 凡因本合約引起的或本合約有關的任何爭議, 如雙方不能通過友好協商解決, 可向任何一方法院提起訴訟。 九、本合一式二份, 供需雙方各執一份。 十、其他約定事項: 質量問題雙方取得委託第三方檢驗為準, 傳真或者微信有效。				
供 方	青島福金石墨有限公司				
需 方	常州金壇超創電池有限公司				
單位名稱:	青島福金石墨有限公司				
單位地址:	山東省青島萊陽市港城鎮				
法定代表人:	孫錫金				
委託代理人:	孔聖松				
開戶銀行:	工商銀行萊陽支行				
賬 號:	380302860900001108				
電話:	13706304359				
傳真:	0532-82434356				
需 方	常州金壇超創電池有限公司				
單位名稱:	常州金壇超創電池有限公司				
單位地址:	江蘇省常州市金壇區茅巷鎮西門村				
法定代表人:	孔聖松				
委託代理人:	孔聖松				
開戶銀行:	工商銀行常州分行				
賬 號:	380302860900001108				
電話:	0512-82480129				
傳真:	0512-82480129				

產品訂貨合同					
合同編號: 2025032401					
供 方	興化市通紅石墨有限公司				
需 方	常州金壇超創電池有限公司				
訂 貨 方 式	傳 真				
產 品 名 稱	規 格	單 位	數 量	單 價	備 注
石墨	1051.1	kg	1000		
合計金額(大寫)	1000				
一、驗收標準: 按 11≥99.99%, N1≤0.02%, C1≤0.04%, S1≤0.04, Fe≤0.01, Al≤0.02, Cu≤0.014標準驗收。					
二、運輸方式及運費承擔: 由供方代為運輸運抵在需方公司倉庫, 運費由供方承擔。					
三、包裝標準: 外包裝採用雙層瓦楞紙, 內包裝採用雙層瓦楞紙, 包裝物不回收。					
四、提出異議期限: 驗收標準按本合約第一項執行, 如有異議, 應在收到出庫產品 10日內以書面形式向供方提出, 逾期視為符合合同約定。					
五、核算方式及交付期: 按約定方式付款, 交貨期為7天。					
六、违约责任: 按《合約法》執行。					
七、爭議解決方式: 本合約在履行過程中發生爭議, 由雙方當事人協商解決, 如協商不成, 可在原告人所在地法院提起訴訟。					
八、本合約經雙方簽字蓋章後生效。					
九、未盡事宜, 雙方協商解決。					
供 方	需 方				
單位名稱:	常州金壇超創電池有限公司				
地 址:	江蘇省常州市金壇區茅巷鎮西門村				
法定代表人:	孔聖松				
委託代理人:	孔聖松				
電 話:	0512-82480129				
傳 真:	0512-82480129				
開戶銀行:	工商銀行常州分行				
賬 號:	380302860900001108				
郵政編碼:	213255				
合同簽訂日期:	2025年3月24日				

產品訂貨合同					
合同編號: 2025032401					
供 方	興化市通紅石墨有限公司				
需 方	常州金壇超創電池有限公司				
訂 貨 方 式	傳 真				
產 品 名 稱	規 格	單 位	數 量	單 價	備 注
石墨	1051.1	kg	1000		
合計金額(大寫)	1000				
一、驗收標準: 按 11≥99.99%, N1≤0.02%, C1≤0.04%, S1≤0.04, Fe≤0.01, Al≤0.02, Cu≤0.014標準驗收。					
二、運輸方式及運費承擔: 由供方代為運輸運抵在需方公司倉庫, 運費由供方承擔。					
三、包裝標準: 外包裝採用雙層瓦楞紙, 內包裝採用雙層瓦楞紙, 包裝物不回收。					
四、提出異議期限: 驗收標準按本合約第一項執行, 如有異議, 應在收到出庫產品 10日內以書面形式向供方提出, 逾期視為符合合同約定。					
五、核算方式及交付期: 按約定方式付款, 交貨期為7天。					
六、违约责任: 按《合約法》執行。					
七、爭議解決方式: 本合約在履行過程中發生爭議, 由雙方當事人協商解決, 如協商不成, 可在原告人所在地法院提起訴訟。					
八、本合約經雙方簽字蓋章後生效。					
九、未盡事宜, 雙方協商解決。					
供 方	需 方				
單位名稱:	常州金壇超創電池有限公司				
地 址:	江蘇省常州市金壇區茅巷鎮西門村				
法定代表人:	孔聖松				
委託代理人:	孔聖松				
電 話:	0512-82480129				
傳 真:	0512-82480129				
開戶銀行:	工商銀行常州分行				
賬 號:	380302860900001108				
郵政編碼:	213255				
合同簽訂日期:	2025年3月24日				

8.10 Invoices (Qingdao Fujin Graphite Co., Ltd.)

電子發票 (增值稅專用發票)					
發票號碼: 2592200000000285217					
開票日期: 2025年01月13日					
購 買 方 信 息	名 稱: 常州金壇超創電池有限公司				銷 售 方 信 息
統一社會信用代碼/納稅人識別號: 913204137698710596				名 稱: 青島福金石墨有限公司	
項 目 名 稱				規 格 型 號	單 位
*非金屬礦物製品*石墨粉				噸	數 量
8				單 價	金 額
稅 率/征 收 率				13%	稅 額
合 計				稅 額	
價 稅 合 計 (大 寫)				(小 寫)	
銷 方 開 戶 銀 行: 中國工商銀行股份有限公司萊西支行; 銀行賬號: 380302860900001108;					
備 注					
開 票 人: 任玉鳳					

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TRACEABILITY EVIDENCE

8.11 Invoices (Jiangxi Kangjiseng New Materials Co., Ltd.)

电子发票 (增值税专用发票)

发票号码: 25362000000039451867
开票日期: 2025年04月26日

购买方信息	销售方信息
名称: 常州金坛超创电池有限公司 统一社会信用代码/纳税人识别号: 913204137698710596	名称: 江西康吉圣新材料有限公司 统一社会信用代码/纳税人识别号: 91360822MADK3UJ67N

项目名称	规格型号	单位	数量	单价	金额	税率/征收率	税额
*金属制品*加工费	电镀材料0.23	公斤	21824.5			13%	
*金属制品*加工费	电镀材料0.2	公斤	651.6			13%	
黑色金属冶炼压延品	0.23	公斤	39.6			13%	

合计

价税合计 (大写) ☒ (小写)

备注

2025/06/1

8.11 Invoices (Xinghua Far-Infrared Components Factory)

电子发票 (增值税专用发票)

发票号码: 25322000000192570500
开票日期: 2025年04月28日

购买方信息	销售方信息
名称: 常州金坛超创电池有限公司 统一社会信用代码/纳税人识别号: 913204137698710596	名称: 兴化市远红外元件厂 统一社会信用代码/纳税人识别号: 91321281142614665W

项目名称	规格型号	单位	数量	单价	金额	税率/征收率	税额
*碱及碱土金属*锂带		公斤	1112.116			13%	
*碱及碱土金属*锂带		公斤	1825			13%	
*碱及碱土金属*锂带		公斤	1569.628			13%	

合计

价税合计 (大写) ☒ (小写)

备注

开票人: 徐小屋

2025/06/04

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PHOTO FILE OF FACTORY

Part A: The Factory Outlook

Factory gate		Factory building	
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Part B: Production process

Production process		Production process	
Production process		Production process	

Part C: Warehouse

Raw materials		Finished goods	
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Part D: Non-conforming Photo

PHOTO FILE OF FACTORY

NC-12: Some component such as steel strap and lithium electrolyte are not identified with label.		NC-23: Some switchgear/distribution cabinets are not locked, posing a risk of electric shock.	
NC-25: The first aid kit (plastic) in the production workshop was placed in a place with direct sunlight. The drugs in the first aid kit were not configured according to the management guidelines for the kit.		NC-26: The safety exit lights in the powder production workshop are not on, and the evacuation plots for the assembly workshop is placed outside the workshop, which is inconvenient to view. Some emergency lights are not well maintained.	