



Employee HSE Assessment Management Measures

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Chapter 1 General Provisions

Article 1 Purpose and Basis

To establish and improve a sound Health, Safety and Environment (HSE) assessment mechanism, strengthen the awareness of HSE responsibilities among all employees, implement HSE accountability, promote the implementation of HSE behaviors through quantitative evaluation, encourage employees to consciously perform HSE duties, prevent work safety accidents, occupational health injuries and environmental pollution incidents, and ensure the compliant operation of HSE in business links such as material storage, equipment maintenance, transportation and distribution, and equipment procurement. These Measures are formulated in accordance with the Work Safety Law of the People's Republic of China, the Environmental Protection Law of the People's Republic of China, the Occupational Disease Prevention and Control Law of the People's Republic of China, the Requirements for HSE Management System of COMPANY, the COMPANY Employee HSE Assessment Standards, and the company's HSE management system documents.

Article 2 Scope of Application

1. Scope of Personnel: Covering all on-the-job employees of the company, including regular employees, dispatched employees, seconded employees, and interns who have been on the job continuously for more than 3 months; the HSE assessment for contractor personnel shall be implemented with reference to these Measures, led by the outsourcing management department;
2. Scope of Positions: Covering management personnel (company leaders, middle-level / grass-roots management positions), professional and technical personnel (engineering and technical positions, full-time HSE positions), and operation and service personnel (front-line operation positions, special operation positions), with key coverage of high-risk positions (hazardous material warehouse managers, special operation personnel, transportation drivers), medium-risk positions (equipment maintenance technicians, procurement specialists), and low-risk positions (administrative positions, financial positions).

Article 3 Assessment Principles

1. Hierarchical Classification and Risk Orientation: Differentiated assessment indicators shall be set according to job risk levels (high / medium / low) and personnel types (management / technical / operation). The assessment weight of high-risk positions shall be higher than that of medium and low-risk positions, highlighting core risk management and control;
2. Quantification as the Mainstay and Qualification as the Supplement: Core indicators (number of violations, self-inspection rate of hidden dangers) shall be scored quantitatively, and auxiliary indicators (HSE awareness, rectification attitude) shall be evaluated qualitatively to avoid vague expressions;
3. Objectivity, Fairness, Openness and Transparency: Assessment data shall be true and traceable (such as violation records, drill videos), and assessment standards and results shall be publicized and open to accept employee supervision;
4. Equal Emphasis on Process and Result: Daily assessment shall track the real-time HSE behaviors of positions, and regular assessment shall comprehensively evaluate the phased results, realizing the dual management and control of "dynamic monitoring + phased review";
5. Incentive and Restraint, and Closed-loop Improvement: Assessment results shall be directly linked to performance remuneration, job promotion, and selection of excellent employees. Follow-up rectification shall be conducted for assessment problems to form a closed loop of "assessment - application - improvement";
6. Hierarchical Management and Level-by-level Assessment: The company's HSE Committee shall make overall decisions, the HSE Department shall take the lead in organizing, business departments shall implement at different levels, and team leaders shall implement daily assessment to ensure the layer-by-layer transmission of responsibilities.

Chapter 2 Assessment Organization and Responsibilities

Article 4 Responsibilities of the Company's HSE Committee

1. Examine and approve the company's employee HSE assessment management system, annual assessment plan and assessment result application methods (such as the establishment of a special reward fund);
2. Make decisions on major HSE assessment matters (such as exemption from assessment for major violations, adjustment of assessment standards for special positions, and establishment of long-term incentive mechanisms);
3. Supervise the fairness of the assessment process and accept major cross-departmental assessment appeals (such as assessment disputes involving middle-level cadres);
4. Review the annual HSE assessment summary report and deploy the next year's assessment optimization direction (such as indicator adjustment, talent reserve plan).

Article 5 Responsibilities of the Quality, Safety and Environmental Protection Department (HSE Management Department)

1. Formulation of Systems and Standards: Revise the HSE assessment indicator system (including scoring standards and weight allocation) in December each year, issue the next year's Employee HSE Assessment Implementation Rules, and clarify the differentiated assessment dimensions for management personnel, professional and technical personnel, and operation and service personnel;
2. Organization and Implementation of Assessment:
 - Take the lead in company-level HSE assessment: Such as annual comprehensive assessment, special assessment for special operations, and special assessment for major activities / special operations;
 - Guide business departments to carry out daily assessment: Provide assessment tools (such as behavior observation forms, scoring templates) and organize assessment training every quarter;
3. Data and Supervision:
 - Establish a company HSE assessment database, collect assessment data from various departments (violation records, hidden danger data, training assessment results), and statistically analyze assessment trends (such as quarterly changes in violation rates);
 - Conduct random checks on the implementation of assessment every quarter (to avoid concealment and underreporting), and issue rectification notices to departments with irregular assessment;
4. Results and Appeals:
 - Review the assessment results submitted by various departments and put forward suggestions on performance linkage and rewards and punishments (such as the list of special rewards);
 - Accept employee HSE assessment appeals, organize verification within 3 working days, and feedback handling opinions within 5 working days to ensure the smooth flow of the appeal channel;
5. Archives and Improvement: Establish a company-level HSE assessment archive, organize the evaluation of the assessment system in January each year, and put forward suggestions on indicator optimization.

Article 6 Responsibilities of the Human Resources Department

1. System and Remuneration:
 - Incorporate HSE assessment into the employee performance assessment system, and clarify the assessment weight (management personnel $\geq 20\%$, professional and technical personnel $\geq 18\%$, operation and service personnel $\geq 22\%$);

- Implement the linkage between assessment results and remuneration: Implement the HSE performance annual salary system (for middle-level and above management personnel), set up a HSE special reward fund, and establish a HSE long-term incentive mechanism (such as equity incentives for annual HSE stars);

2. Promotion and Talents:

- Take HSE assessment results as the core basis for job promotion, establish a HSE talent reserve mechanism, and give priority to promoting employees with outstanding HSE performance;

- Employees who fail the HSE assessment shall not be promoted within 1 year, and employees who fail for two consecutive years shall be transferred to other positions;

3. Appeals and Archives:

Assist the HSE Department in establishing an assessment appeal channel and accepting the circulation of employee appeal materials; establish an electronic archive of employee HSE assessment, record the annual assessment results, rewards and punishments, and rectification records, which shall serve as the basis for career development.

Article 7 Responsibilities of Business Departments (Warehousing, Equipment, Transportation, Procurement, Outsourcing Management Departments, etc.)

1. Implementation of Daily Assessment:

- Assessment of management personnel: Evaluate HSE leadership (such as resource guarantee, cultural construction) and management process (plan implementation, supervision and inspection) every month, and score in combination with department performance results;

- Assessment of professional and technical personnel: Evaluate HSE technical management (plan quality, risk management and control) and on-site support (technical guidance, problem solving) every quarter, and score in combination with the control of technical accidents;

- Assessment of operation and service personnel: Check HSE behavior performance (compliance with rules and regulations, standardized operation) and skill level (emergency response, equipment maintenance) every day, and score in combination with personal violation records;

- Special assessment: Conduct immediate assessment for major activities (such as annual material inventory) and special operations (such as large-scale equipment hoisting), and record the performance;

2. Data and Rectification:

- Submit the Monthly Employee HSE Assessment Data Sheet (including assessment scores, number of violations, number of self-inspected hidden dangers, and rectification completion rate) to the HSE management department before the 5th day of each month;

- Formulate a special rectification plan for employees who fail the assessment (such as management personnel participating in HSE leadership training, technical personnel strengthening plan review training, and operation personnel receiving mentoring guidance), and track the rectification progress every week until it meets the standards;
3. Feedback and Suggestions: Feedback assessment problems (such as unreasonable indicators, vague scoring standards) to the HSE Department every quarter and put forward improvement suggestions.

Article 8 Responsibilities of Teams and Employees

1. Team Leaders: Responsible for the daily HSE assessment of operation and service personnel in the team (such as the implementation of safety briefing before work, compliance of on-the-job operation, and on-site behavior observation), record the Team HSE Assessment Log every day, and report the assessment situation to the department every week;
2. Employee Rights and Obligations:
 - Rights: Understand the assessment standards and results, file an appeal within 7 working days if there is any objection to the assessment results, and obtain HSE training and improvement support;
 - Obligations: Cooperate with the assessment work, truthfully provide on-the-job HSE behavior records (such as operation certificates, inspection records), implement personal rectification plans, and actively improve HSE skills.

Chapter 3 Assessment Content and Indicator System

Article 9 Classified Design of Assessment Content (by Personnel Type + Risk Level)

(I) Assessment Indicators for Management Personnel (Weight: 100 Points, Applicable to Company Leaders, Middle-level / Grass-roots Management Positions)

Assessment Dimension	Core Indicators	Scoring Standards	Weight	Data Source
HSE Leadership	Commitment Fulfillment and Resource Guarantee	30 points for 100% fulfillment of HSE commitments and full guarantee of	30%	HSE commitment ledger, fund use records

		HSE investment; 10 points deducted for each missing item		
HSE Management Process	Plan Implementation and Supervision and Inspection	40 points for plan completion rate \geq 95% and inspection coverage rate 100%; 8 points deducted for each 5% decrease in completion rate, and 5 points deducted for each 10% decrease in coverage rate	40%	Work plans, inspection records
HSE Performance Results	Accident Control and Environmental Protection Compliance	30 points for 0 accidents and 100% environmental protection compliance; 15 points deducted for each minor injury accident, and 10 points deducted for each environmental protection non-compliance item	30%	Accident reports, environmental monitoring data
Disqualification Indicators	Occurrence of serious injuries or above accidents / major environmental incidents	If any of the above occurs, the annual assessment shall be directly	-	Accident investigation reports, environmental penalty notices

		determined as "unqualified"		
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(II) Assessment Indicators for Professional and Technical Personnel (Weight: 100 Points, Applicable to Engineering and Technical Positions, Full-time HSE Positions)

Assessment Dimension	Core Indicators	Scoring Standards	Weight	Data Source
HSE Technical Management	Technical Plan Quality and Risk Management and Control	40 points for plan qualification rate 100% and risk identification accuracy \geq 90%; 8 points deducted for each 5% decrease in qualification rate, and 5 points deducted for each 5% decrease in accuracy	40%	Technical plan ledger, risk records
HSE On-site Support	Technical Guidance and Problem Solving	30 points for guidance response time \leq 1 hour and problem solving rate \geq 95%; 5 points deducted for each response timeout, and 4 points deducted for each 5% decrease in solving rate	30%	Technical guidance records, problem ledger

HSE Performance Results	Technical Accidents and Hidden Danger Treatment	30 points for 0 technical accidents and 100% hidden danger treatment rate; 15 points deducted for each technical accident, and 6 points deducted for each 5% decrease in treatment rate	30%	Technical accident reports, hidden danger records
Disqualification Indicators	Occurrence of serious injury accidents caused by technical errors	If the above occurs, the annual assessment shall be directly determined as "unqualified"	-	Accident investigation reports

(III) Assessment Indicators for Operation and Service Personnel (Divided by Risk Level, Applicable to Front-line Operation Positions)

1. High-risk Positions (Hazardous Material Warehousing, Special Operations, Transportation and Driving, Weight: 100 Points)

Assessment Dimension	Core Indicators	Scoring Standards	Weight	Data Source
HSE Behavior Performance	Compliance with Rules and Regulations and Standardized Operation	50 points for 0 violations and 100% operation compliance rate; 20 points deducted for each violation, and 10 points deducted for	50%	Violation records, operation videos

		each 5% decrease in compliance rate		
HSE Skill Level	Emergency Response and Equipment Maintenance	30 points for 100% emergency response qualification rate and equipment integrity rate \geq 98%; 15 points deducted for each unqualified response, and 3 points deducted for each 1% decrease in integrity rate	30%	Emergency drill records, equipment ledger
HSE Performance Results	Hidden Danger Detection and Environmental Protection Implementation	20 points for detecting \geq 5 hidden dangers per year and 100% implementation of environmental protection measures; 4 points deducted for each missing hidden danger, and 5 points deducted for each unimplemented measure	20%	Hidden danger ledger, environmental inspection records
Disqualification Indicators	Occurrence of minor injuries or above accidents	If the above occurs, the annual assessment shall be directly determined as "unqualified"	-	Accident investigation reports

2. Medium-risk Positions (Equipment Maintenance, Material Handling, Procurement Assistance, Weight: 100 Points)

Assessment Dimension	Core Indicators	Scoring Standards	Weight	Data Source
HSE Behavior Performance	Compliance with Rules and Regulations and Labor Discipline	45 points for 0 violations and 100% discipline compliance rate; 15 points deducted for each violation, and 10 points deducted for each discipline violation	45%	Violation records, attendance records
HSE Skill Level	Operation Skills and Risk Identification	35 points for qualified skill assessment and identifying ≥ 3 risks per year; 20 points deducted for unqualified skills, and 5 points deducted for each missing risk	35%	Skill assessment results, risk records
HSE Performance Results	Personal Hidden Danger Treatment and Cooperation	20 points for 100% hidden danger treatment rate and no complaints about cross-job cooperation; 5 points deducted for each 5% decrease in treatment rate,	20%	Hidden danger records, complaint ledger

		and 10 points deducted for each complaint		
Disqualification Indicators	Occurrence of slight injury accidents / major violations	If the above occurs, the annual assessment shall be reduced by 1 level (such as "excellent" to "good")	-	Accident reports, violation confirmation certificates

3. Low-risk Positions (Administration, Finance, Logistics, Weight: 100 Points)

Assessment Dimension	Core Indicators	Scoring Standards	Weight	Data Source
HSE Behavior Performance	Office Safety and Compliance with Rules and Regulations	40 points for 0 violations and 100% safety compliance rate; 10 points deducted for each violation, and 8 points deducted for each 5% decrease in compliance rate	40%	Administrative random inspection records, violation ledger
HSE Skill Level	Emergency Response and Safety Knowledge	35 points for qualified emergency drills and knowledge test score ≥ 90 points; 15 points deducted for unqualified drills, and 7 points deducted for each 5%	35%	Drill records, test results

		decrease in test score		
HSE Performance Results	Safety Suggestions and Cooperation	25 points for putting forward ≥ 2 effective suggestions per year and no prevarication in cooperation with inspections; 10 points deducted for each missing suggestion, and 8 points deducted for each prevarication	25%	Suggestion ledger, inspection records
Disqualification Indicators	Occurrence of general safety incidents caused by personal violations	If the above occurs, the annual assessment shall be directly determined as "unqualified"	-	Incident reports

Article 10 Assessment Levels and Scoring Standards

Assessment Level	Score Range	Level Description	Applicable Scenarios
Excellent	90-100 Points	Comprehensively exceed HSE targets, with outstanding HSE performance, no violations / accidents, and can be promoted as a model	Management personnel: Strong leadership, standardized management process, and excellent performance; Technical personnel: Zero errors in plans, efficient on-site support; Operation

			personnel: Zero violations in behaviors, excellent skills
Good	80-89 Points	Better achieve HSE targets, with good HSE performance, occasional minor violations (≤ 1 time / year), and no accidents	Management personnel: Stronger leadership, relatively standardized management process, and good performance; Technical personnel: Plan qualification rate $\geq 95\%$, relatively timely on-site support; Operation personnel: Behavior compliance rate $\geq 95\%$, good skills
Qualified	70-79 Points	Basically achieve HSE targets, with up-to-standard HSE performance, violations ≤ 2 times / year, and no minor injuries or above accidents	Management personnel: Up-to-standard leadership, basically standardized management process, and up-to-standard performance; Technical personnel: Plan qualification rate $\geq 90\%$, basically timely on-site support; Operation personnel: Behavior compliance rate $\geq 90\%$, up-to-standard skills
Unqualified	< 70 Points	Fail to achieve HSE targets, with substandard HSE performance, violations ≥ 3 times /	Any dimension is substandard, or disqualification

		year or occurrence of minor injuries or above accidents	indicators are triggered
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Article 11 Assessment Cycles and Key Points

Assessment Type	Cycle	Covered Personnel	Assessment Focus	Responsible Entity
Daily Assessment	Daily / Weekly	Operation and service personnel (daily), technical / management personnel (weekly)	Operation positions: Behavior performance, skill operation; Technical positions: On-site support, problem solving; Management positions: Process implementation, inspection and implementation	Team leaders, department heads
Monthly Assessment	Monthly	All personnel	Collect daily assessment data, focus on evaluating process indicators (such as plan completion rate, number of violations)	Business departments
Quarterly Assessment	Quarterly	All personnel	Comprehensively evaluate process and result indicators, and assess phased HSE performance (such as accident control, hidden danger treatment)	HSE Department + Business Departments

Annual Assessment	December every year	All personnel	Comprehensively assess annual HSE performance, rectification effects, and contribution of suggestions, and determine the level based on the annual data	Led by the HSE Department, with multi-department collaboration
Special Assessment	Immediate triggering	Personnel involved in major activities / special operations	Assess HSE performance in specific scenarios (such as safety of major material transportation, standardization of confined space operations)	HSE Department + Business Departments

Chapter 4 Assessment Implementation Process

Article 12 Assessment Implementation Steps

1. Assessment Preparation (Before the 5th day of the first month of the assessment cycle):
 - The HSE Department issues an assessment notice, clarifying the focus of the current assessment (such as "rainy season transportation safety" and "summer heatstroke prevention and cooling" for quarterly assessment);
 - Business departments establish an assessment team (composed of department heads, safety officers, and technical backbones), update job assessment data (violations, hidden dangers, training), and ensure the data is true and traceable;
2. Data Collection and Scoring (Before the 15th day of the last month of the assessment cycle):
 - Data Sources: HSE supervision and inspection records, accident / incident reports, training assessment records, daily behavior observation forms, work records (operation certificates, equipment ledger);
 - Scoring Implementation: The assessment team scores according to the indicator system, fills in the Employee HSE Assessment Scoring Form (Appendix B), and attaches data supporting materials (such as violation photos, rectification records, drill videos);

- Review Requirements: The assessment of high-risk positions and management personnel shall be reviewed by the HSE Department, and the assessment of medium and low-risk positions and technical personnel shall be reviewed by the department heads;

3. Level Determination and Feedback (Before the 20th day of the last month of the assessment cycle):

- Level Determination: Determine the assessment level (excellent, good, qualified, unqualified) according to the score. The proportion of excellent employees shall be controlled: management personnel $\leq 15\%$, professional and technical personnel $\leq 18\%$, operation and service personnel $\leq 20\%$, to avoid "equalitarianism";

- Result Feedback: The assessment team provides one-on-one feedback on the results to employees, explains the advantages and shortcomings, and jointly formulates an improvement plan (such as skill improvement direction, behavior improvement focus);

4. Result Publicity and Appeal (Before the 25th day of the last month of the assessment cycle):

- Publicity Requirements: The assessment results shall be publicized within the department for 3 working days, and the publicity content shall include name, position, assessment level, and core scoring items;

- Appeal Handling: If an employee has an objection to the result, he / she shall submit the HSE Assessment Appeal Form (Appendix C) and supporting materials within 7 working days. The HSE Department shall complete the verification within 15 working days (such as re-retrieving violation videos, reviewing scoring basis), issue the Assessment Appeal Handling Opinion Letter, and re-publicize the adjusted results;

5. Result Confirmation and Archiving (Before the 30th day of the last month of the assessment cycle):

- Confirmation Process: After no objection is raised during the publicity period, employees sign to confirm the assessment results, and the department enters the results into the employee HSE archive;

- Summary and Reporting: Business departments submit the Annual HSE Assessment Overview Form to the HSE Department, and the HSE Department compiles the company assessment report and submits it to the company's HSE Committee for review.

Article 13 Handling of Special Cases

1. Job Change: If an employee changes jobs within the year, the annual assessment result shall be calculated by weighting according to the "proportion of assessment time in the original position + proportion of assessment time in the new position" (for example, working in the original position for 6 months and the new position for 6 months, each with a weight of 50%);

2. Leave / Business Trip:

- For leave (sick leave / personal leave) with a total of ≤ 1 month, the assessment shall be conducted according to the actual on-the-job time, and the missing assessment period shall be converted according to the "qualified" level benchmark score;

- For leave > 1 month, the assessment weight shall be reduced as appropriate (such as reducing the weight of high-risk positions to 15%), and the assessment during the business trip shall be supported by the business trip counterpart department to provide data (such as the off-site driving record of drivers, the off-site technical support record of technical personnel);

3. Newly Recruited Employees:

- Employees who have been employed for less than 3 months shall not participate in the annual assessment;

- Employees who have been employed for 3-6 months shall have their assessment results converted according to the "actual on-the-job time / 6 months", and focus on evaluating their HSE performance during the adaptation period (such as training qualification rate, mentor evaluation);

- Employees who have been employed for 6 months or more shall be assessed according to the normal position;

4. Major Contributions / Exemption Scenarios:

- Major Contributions: Employees who timely detect major hidden dangers (to avoid accidents) and successfully handle emergency incidents may be promoted by 1 level in the annual assessment (such as "qualified" to "good"), and included in the HSE talent reserve pool;

- Exemption Scenarios: For violations caused by force majeure (such as earthquakes, extreme weather), after approval by the HSE Committee, the relevant assessment deductions may be exempted, and the assessment level shall not be affected.

Chapter 5 Application of Assessment Results

Article 14 Linkage with Remuneration

1. Monthly Performance:

- Excellent: Monthly performance remuneration increased by 10%-15% (15% for management personnel, 12% for technical personnel, 10% for operation personnel);

- Good: Monthly performance remuneration increased by 5%-8% (8% for management personnel, 6% for technical personnel, 5% for operation personnel);

- Qualified: Monthly performance remuneration paid at the benchmark, no fluctuation;

- Unqualified: Monthly performance remuneration decreased by 5%-10% (10% for management personnel, 8% for technical personnel, 5% for operation personnel);

2. Annual Remuneration:

- Excellent: Annual bonus increased by 20%-30%, and priority to obtain the HSE special reward fund (5,000-10,000 yuan for management personnel, 4,000-8,000 yuan for technical personnel, 3,000-6,000 yuan for operation personnel);

- Good: Annual bonus increased by 10%-15%, and eligible to participate in the selection of HSE special rewards;
 - Qualified: Annual bonus paid at the benchmark;
 - Unqualified: Annual bonus cancelled, and HSE performance annual salary deducted (20% for management personnel, 15% for technical personnel);
3. Long-term Incentives: Employees who have been assessed as excellent for 3 consecutive years shall be included in the company's HSE long-term incentive plan (such as equity incentives for middle-level cadres, project dividends for core technical personnel, and career development funds for excellent operation personnel).

Article 15 Linkage with Promotion and Job Adjustment

1. Promotion Qualification:

- Annual assessment of "excellent" is a necessary condition for job promotion. Employees who have failed the assessment once in the past 2 years shall not be promoted within 1 year;
- Promotion of management personnel: At least 2 "excellent" assessments in the past 3 years, and no major accidents in the managed field;
- Promotion of technical personnel: At least 2 "excellent" assessments in the past 3 years, and zero errors in technical plans;
- Promotion of operation personnel (such as team leaders): "Excellent" assessment in the past 2 years, and no violation records;

2. Job Adjustment:

- High-risk position employees who fail the annual assessment shall be transferred to medium and low-risk positions;
- Medium and low-risk position employees who fail the assessment for 2 consecutive years shall receive on-the-job training (1-3 months), and if they still fail after training, the labor contract shall be terminated;
- Management personnel who fail the assessment for 2 consecutive years shall be demoted or transferred to non-management positions;

3. Talent Reserve: Employees with annual "excellent" assessment results shall be included in the company's HSE talent reserve pool, and given priority to participate in group / COMPANY HSE backbone training and industry exchanges (such as special operation technical competitions, HSE management forums).

Article 16 Linkage with Selection of Excellent Employees and Rewards and Punishments

1. Selection of Excellent Employees:

- Candidates for honorary titles such as "Excellent Employees" and "Advanced Workers" must have an annual HSE assessment of "excellent";

- For a department to be selected as "HSE Advanced Collective", the annual HSE assessment excellent rate of its employees shall be $\geq 15\%$, and the unqualified rate shall be $\leq 3\%$;

- Set up HSE special honors: "Annual HSE Star", "HSE Technical Model", "HSE Operation Expert", and provide honorary certificates and material rewards;

2. Punishment Measures:

- Monthly assessment unqualified: Deduct 50% of the monthly HSE performance bonus for high-risk positions and 30% for medium and low-risk positions, and rectify within a time limit of 1 week;

- Quarterly assessment unqualified: Suspend the post operation qualification (1 week for high-risk positions, 3 days for medium and low-risk positions), participate in special training (HSE leadership training for management personnel, plan review training for technical personnel, safe operation training for operation personnel), and return to work only after passing the assessment;

- Annual assessment unqualified: Cancel the annual excellent selection qualification, deduct the annual performance bonus, the department formulates a 3-month rectification plan, the HSE Department tracks and verifies, and adjusts the position if the rectification fails to meet the standards;

- Occurrence of major violations / accidents: Additional handling shall be conducted in accordance with the company's HSE Responsibility Investigation Measures (such as circular criticism, demotion, fine), and those who constitute a crime shall be transferred to the judicial organ.

Article 17 Application of Improvement Measures

1. Personal Improvement: For problems found in the assessment, formulate a personalized improvement plan (such as skill shortage \rightarrow mentoring guidance + practical training, weak awareness \rightarrow case warning education + knowledge test), track the improvement effect every month until it meets the standards;

2. Department Improvement: Collect employee assessment problems in the department, analyze common shortcomings (such as common violations in a certain position \rightarrow optimize operation procedures, many hidden dangers in a certain link \rightarrow strengthen supervision and inspection), formulate a department improvement plan every quarter, and the HSE Department verifies the improvement effect;

3. System Improvement: Incorporate systematic problems found in the assessment (such as unreasonable indicators, process loopholes) into the annual assessment system evaluation, optimize indicator settings and scoring standards, and improve the scientificity of the assessment.

Chapter 6 Appeal Handling Mechanism

Article 18 Appeal Conditions

Employees may file an appeal if they believe the assessment has the following circumstances:

1. The assessment result is obviously inconsistent with the facts (such as wrong violation records, statistical deviation of data);
2. The assessment procedure violates the regulations (such as failure to establish an assessment team, failure to publicize the results);
3. Improper application of assessment standards (such as using low-risk position standards to assess high-risk positions);
4. Existence of favoritism or discrimination (such as large score differences among employees with the same performance);
5. Other legitimate appeal reasons (relevant evidence shall be provided).

Article 19 Appeal Procedures

1. Submission of Application: Within 7 working days after the assessment results are publicized, the employee shall submit the HSE Assessment Appeal Form (Appendix C) to the HSE Department, attached with relevant evidence materials (such as violation record correction certificates, operation videos, witness testimony);
2. Acceptance and Verification:
 - The HSE Department shall review the appeal materials within 3 working days, accept those that meet the conditions and issue the Appeal Acceptance Notice; for those that do not meet the conditions (such as insufficient evidence), explain the reasons in writing;
 - Establish an appeal verification team (composed of representatives of the HSE Department, Human Resources Department, and business departments), and complete the verification within 10 working days (such as retrieving assessment records, interviewing assessment personnel, reviewing scoring basis);
3. Review and Ruling: The verification team shall issue the Assessment Appeal Handling Opinion Letter within 5 working days, clarifying the ruling result (maintaining the original result, adjusting the level, re-assessment);
4. Result Feedback: The HSE Department shall feedback the ruling result to the employee and his / her department within 3 working days. The adjusted result shall be re-publicized, and the re-assessment shall be completed within 15 working days.

Article 20 Appeal Time Limits

1. Appeal Submission Time Limit: Within 7 working days after the assessment results are publicized;
2. Acceptance and Review Time Limit: Within 3 working days;
3. Verification Time Limit: Within 10 working days;
4. Ruling and Feedback Time Limit: Within 5 + 3 working days;

5. If the time limit needs to be extended under special circumstances (such as involving major accident investigation), it shall be approved by the company's HSE Committee, the extension shall not exceed 10 working days, and the employee shall be notified in writing.

Chapter 7 Archive Management

Article 21 Archive Content

1. Company-level Archives:

- System Documents: Employee HSE Assessment Management Measures, Annual Assessment Implementation Rules, Indicator System and Scoring Standards, HSE Assessment Result Application Rules (Appendix D);
- Plan and Result Documents: Annual assessment plan, quarterly / annual assessment overview form, assessment appeal handling opinion letter, list of excellent / unqualified employees, list of HSE special rewards;
- Improvement Documents: Assessment system evaluation report, improvement plan, verification result;

2. Department-level Archives:

- Implementation Documents: Department assessment implementation rules, list of assessment team members, employee HSE assessment scoring form, daily assessment ledger (violation / hidden danger / training data), special assessment records;
- Rectification Documents: Department rectification plan, employee rectification records, verification result;

3. Employee Personal Archives:

- Basic Information: Name, position, entry time, personnel type (management / technical / operation), risk level;
- Assessment Records: Annual monthly / quarterly / annual assessment results, levels, rewards and punishments records, special assessment performance;
- Rectification Records: Personal rectification plan, implementation status, verification result, appeal materials and handling opinions;
- Qualification Records: Copies of special operation certificates, HSE training certificates, HSE honor certificates.

Article 22 Archive Management Requirements

1. Storage Form:

- Implement a dual-track system of electronic + paper: Electronic archives shall be stored in the company's OA system / HR system (with permission access), and automatically backed up every month; paper archives shall be stored by category (company-level stored in the HSE Department, department-level stored in business departments, personal-level stored in the Human Resources Department);

- Establish an electronic retrieval system to support quick query of archives by name, position, and assessment cycle;

2. Retention Period:

- Company-level Archives: Permanent retention;
- Department-level Archives: Retention period of no less than 5 years;
- Employee Personal Archives: Permanent retention during employment, and retention for 5 years after resignation;

3. Access Permissions:

- Company-level Archives: Accessible to the HSE Committee, HSE Department, and company leaders, and the Archive Access Registration Form shall be filled in;
- Department-level Archives: Accessible to department heads and the HSE Department, and subject to the approval of department heads;
- Personal Archives: Accessible to the employee himself / herself (can access his / her own archives), department heads (can access the archives of employees in the department), the Human Resources Department (can access the archives of all employees), and the HSE Department (can access the assessment-related content), and access shall be approved by the corresponding authority;

4. Confidentiality Requirements:

- Archives involving employee privacy (such as health information, appeal reasons) and company secrets (such as accident investigation reports, assessment dispute details) shall be strictly confidential, and unauthorized copying and dissemination shall be prohibited;
- Archive managers shall sign a confidentiality agreement, and those who leak archive information shall be handled in accordance with the company's regulations.

Chapter 8 Supplementary Provisions

Article 23 Right of Interpretation

These Measures shall be interpreted by the company's Quality, Safety and Environmental Protection Department.

Article 24 Implementation Date

These Measures shall take effect as of the date of issuance, and the former Employee Safety Assessment Regulations of China National Petroleum Pipeline Materials and Equipment Co., Ltd. shall be repealed simultaneously.

Article 25 Others

1. Matters not covered in these Measures shall be implemented in accordance with national laws and regulations, and the relevant provisions of China National Petroleum

Corporation and Pipeline Bureau; if there is a conflict with the latest provisions of higher-level authorities, the provisions of higher-level authorities shall prevail;

2. For the HSE assessment of special positions (such as external experts, temporary project personnel), the company's HSE Committee shall formulate a separate assessment plan with reference to these Measures;
3. These Measures shall be revised every year according to the update of laws and regulations, business changes, and assessment evaluation results to ensure applicability and effectiveness.

Article 26 Appendices

1. Appendix A: Employee HSE Assessment Indicator System (by Personnel Type + Risk Level)
2. Appendix B: Employee HSE Assessment Scoring Form (Template)
3. Appendix C: HSE Assessment Appeal Form (Template)
4. Appendix D: HSE Assessment Result Application Rules
5. Appendix E: HSE Assessment Archive Management Measures