



HSE Internal Audit Checklist and Report

Document No.: CLADDING-HSE-PD-56

Part One: HSE Internal Audit Checklist

I. Basic Audit Information (Integrating New Format Numbering and Types, Retaining Business Relevance)

Audit Item	Content to be Filled
Audit No.	CPPMEC-HSE-PD-56
Audit Type	<input type="checkbox"/> Annual Audit <input type="checkbox"/> Special Audit (<input type="checkbox"/> Risk Control <input type="checkbox"/> Operation Safety <input type="checkbox"/> Contractor Management) <input type="checkbox"/> Pre-Management Review Audit
Audit Objectives	1. Verify the compliance of the HSE management system with the GB/T 45001-2020 standard and company regulations; 2. Evaluate the operational effectiveness of the system in business modules such as material warehousing and loading/unloading transportation; 3. Identify improvement opportunities to promote continuous enhancement
Audit Criteria	1. Laws and Regulations: <i>Work Safety Law of the People's Republic of China, Occupational Disease Prevention and Control Law of the People's Republic of China, Fire Protection Law of the People's Republic of China</i> ; 2. Standards and Specifications: <i>GB/T 45001-2020 Occupational Health and Safety Management Systems - Requirements with Guidance for Use, GB 50444-2008</i> ; 3. Company Regulations: 28 regulations including <i>HSE Management System Documents and Hazard Identification and Management Measures</i>

Audit Team	Leader: Zhang XX (Certified Safety Engineer, Management Representative); Members: Li XX (Safety Specialist), Wang XX (Equipment Engineer), Liu XX (Warehousing Supervisor), Chen XX (Human Resources Specialist)
Audit Period	____ Month ____ Day - ____ Month ____ Day, 2024 (9:00-17:00 daily, including document review, on-site inspection, and personnel interviews)
Audited Departments	Quality, Safety and Environmental Protection Department; Warehousing Department (Hazardous Chemicals / General Materials Management); Equipment Department (Special Equipment / Maintenance); Installation Department (Scaffolding / High-Altitude Operations); Administration and Logistics Department (Occupational Health / Emergency Response); Contractor Unit (XX Installation Company)
Covered Business Modules	1. Material Warehousing: Hazardous chemicals storage, general materials stacking; 2. Loading and Unloading Transportation: Forklift operations, crane lifting; 3. Equipment Maintenance: Hot work operations, electrical maintenance; 4. Equipment Installation: Welding operations, temporary facility construction

II. HSE Management System Document Audit (New Format Module, Associated with Business Documents)

Serial No.	Audit Item	Audit Content	Audit Standard (Aligned with GB/T 45001-2020)	Audit Method	Compliance (<input type="checkbox"/> Compliant <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Observation)	Audit Findings (Associated with Business Documents)	Clause No.
1	Document Completeness	1. Whether the system documents cover risks of all business	1. Cover core risks including hazardous chemicals management, hot	1. Review <i>HSE Management Manual</i> and <i>Procedure Documents</i>		Compliant: The system documents cover 28 business-related	4.1

		<p>modules; 2. Whether supporting documents such as Standard Operating Procedures (SOPs) and record forms are available</p>	<p>work operations, and high-altitude operations; 2. Special SOPs for key operations (e.g., forklift operation, welding) and complete record forms</p>	<p>; 2. Randomly check 5 operation SOPs (forklift / welding / hazardous chemicals storage)</p>		<p>risks; Non-Compliant: <i>Material Stacking SOP</i> for the packaging operation area has not been updated (fails to include the new requirement of "light goods on top, heavy goods at the bottom")</p>	
2	Document Control	<p>1. Whether the document approval and distribution processes are controlled; 2. Whether documents are updated in a timely manner and obsolete documents are retrieved</p>	<p>1. Documents are approved by department heads before issuance and distributed to relevant positions; 2. Obsolete documents are replaced with new versions within 7 days after update, and</p>	<p>1. Review document approval records (January-September 2024); 2. On-site check document versions at positions in the Warehousing Department and Equipment Department</p>		<p>Compliant: Complete approval processes ; Observation: 2 obsolete copies of <i>Hot Work Operation SOP</i> in the maintenance workshop have not been retrieved in a timely manner after update</p>	4.2

			obsolete documents are marked and retrieved				
3	Record Control	1. Whether records are filled out completely and clearly; 2. Whether records are stored and retrieved conveniently, and whether the retention period meets requirements	1. Records include "filler, date, key data" without alterations; 2. Electronic records are stored with encryption, paper records are archived in order, and retention period ≥ 3 years	1. Randomly check 10 records (equipment maintenance / operation permits / gas detection); 2. Review the record archiving ledger in the Administration and Logistics Department		Non-Compliant: "Gas detection data" is not filled in the hot work operation record of the maintenance workshop on September 15; Compliant: Convenient storage and retrieval	4.3

III. Leadership Role and Responsibility Implementation Audit (New Format Module, Supplementing Management Review)

Serial No.	Audit Item	Audit Content	Audit Standard (Aligned with GB/T 45001-2020)	Audit Method	Compliance (□Compliant □Non-Compliant □Observation)	Audit Findings (Associated with Business Responsibilities)	Clause No.
1	HSE Commitment	1. Whether the top	1. The commitment	1. Review HSE		Compliant: The	5.1

	nt	<p>management has issued an HSE commitment; 2. Whether the commitment is communicated to all employees (including contractors)</p>	<p>t includes "resource guarantee, compliant operation, and employee health"; 2. Employee awareness rate $\geq 95\%$, and contractor training records include commitment content</p>	<p><i>Commitment Document</i>; 2. Randomly interview 10 people (including 2 contractors)</p>		<p>commitment has been publicly posted; Observation : 2 warehousing staff cannot fully state the core content of the commitment</p>	
2	HSE Policy	<p>1. Whether the policy is in line with business risks; 2. Whether the policy is properly communicated and implemented</p>	<p>1. The policy includes "safety first, prevention first, comprehensive management" and covers risks such as hazardous chemicals and hot work; 2. The policy is posted in all operation areas, and employees have a good</p>	<p>1. Check the posting of the policy in operation areas; 2. Interview 5 front-line employees (from Equipment Department / Installation Department)</p>		<p>Compliant: The policy is in line with business needs; Compliant: Effective communication</p>	5.2

			understand ing				
3	Organizational Structure and Responsibilities	1. Whether the HSE management organizational structure is clearly defined; 2. Whether HSE responsibilities of various departments and positions are clear	1. An HSE committee is established, with full-time safety officers (1 person per 50 employees); 2. Responsibility documents clearly specify "hazardous chemicals management by the Warehousing Department and special equipment maintenance by the Equipment Department"	1. Review <i>HSE Organizational Structure Document and Job Description</i> ; 2. Interview the Warehousing Department Manager and Equipment Department Engineer		Compliant: Sound organizational structure; Non-Compliant: The "high-altitude operation supervision responsibility" of the Installation Department is not assigned to specific positions	5.3
4	Management Review	1. Whether management reviews are conducted regularly; 2. Whether the input and output of the	1. One management review is conducted annually, with input including "performance, risks, and	1. Review the 2023 annual management review report; 2. Check the implementation records of		Compliant: Standardized review process; Observation: The 2023 improvement measure for "fire facility	5.4

		review are complete, and whether improvement measures are implemented	compliance"; 2. The closure rate of output improvement measures ≥ 90%	5 improvement measures (e.g., contractor management optimization)		maintenance" has not been fully closed (fire extinguishers in the packaging operation area not updated)	
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IV. Risk Management Audit (New Format Module, Detailing Business Risks)

Serial No.	Audit Item	Audit Content	Audit Standard (Aligned with GB/T 45001-2020)	Audit Method	Compliance (☐Compliant ☐Non-Compliant ☐Observation)	Audit Findings (Associated with Business Risks)	Clause No.
1	Hazard Identification	1. Whether the identification scope covers all business modules; 2. Whether the identification method is appropriate and updates are timely	1. Covers 28 risks including hazardous chemical leakage, forklift collision, and scaffolding collapse; 2. Updates are made once a year, and within 7 days after major risk changes	1. Review <i>Hazard Identification List</i> (2024 version); 2. On-site verify the scaffolding risk identification records of the Installation Department		Compliant: Comprehensive scope; Non-Compliant: The "scaffolding collapse" risk in the equipment installation module is not included in the 2024 version list (not updated after the standard change in August)	6.1

2	Risk Evaluation	<p>1. Whether the evaluation method is scientific;</p> <p>2. Whether risk classification (High / Medium / Low) is reasonable</p>	<p>1. "LEC Method" is adopted for evaluation with true data; 2. High risks (e.g., hazardous chemical leakage) ≤ 5 items, medium risks ≤ 10 items, and classification labels are clear</p>	<p>1. Review <i>Risk Evaluation Report</i>; 2. Check the classification records of high-risk items (e.g., hot work operations)</p>		<p>Compliant: Scientific method; Compliant: Reasonable classification (3 high-risk items, 8 medium-risk items)</p>	6.2
3	Control Measures	<p>1. Whether control measures are risk-oriented and operable;</p> <p>2. Whether measures are properly implemented and their effectiveness verified</p>	<p>1. Control measures for high-risk items (e.g., hazardous chemicals storage) include "double-person double-lock and gas detection"; 2. Implementation rate of measures $\geq 95\%$, and complete effectiveness verification records</p>	<p>1. Randomly check 5 high-risk control measures (hazardous chemicals / hot work / high-altitude operations); 2. On-site verify the implementation of gas detection for hot work operations</p>		<p>Compliant: Targeted measures; Non-Compliant: The "gas detection every 2 hours" requirement for hot work operations in the maintenance workshop is not implemented (only detected once on September 15)</p>	6.3

V. Implementation and Operation Audit (New Format Module, Integrating Operation Safety and Emergency Response)

Serial No.	Audit Item	Audit Content	Audit Standard (Aligned with GB/T 45001-2020)	Audit Method	Compliance (☐Compliant ☐Non-Compliant ☐Observation)	Audit Findings (Associated with Business Operations)	Clause No.
1	Competence Training	1. Whether employees' HSE competence meets job requirements; 2. Whether training plans and records are complete, and whether certificate-based work is implemented	1. Training covers "risk identification, operation specifications, and emergency response" with annual training ≥ 24 hours; 2. Certification rate for special operations (forklift / welding) is 100%	1. Review 2024 training plans and records; 2. Check certificates for special operations (6 forklift drivers, 4 welders)		Compliant: Complete training; Non-Compliant: The certificate of forklift driver Zhao XX expired on September 30 and has not been re-examined in a timely manner	7.1
2	Communication and Consultation	1. Whether internal HSE information communication is smooth; 2. Whether effective channels	1. Monthly HSE meetings are held, and major risk information is communicated within	1. Review HSE meeting records (July-September 2024); 2. Count the submission data of		Compliant: Smooth communication; Compliant: High employee participation	7.2

		for employees to participate in HSE management are available	24 hours; 2. A "Hazard Spotting" channel is established with employee participation rate \geq 80%	"Hazard Spotting" (120 submissions in 3 months)			
3	Document Management	1. Whether current valid documents are available at positions; 2. Whether documents are easy to use and understood by employees	1. Complete documents are available at each position (e.g., hazardous chemicals SOP in the Warehousing Department, maintenance manual in the Equipment Department); 2. Employee document understanding rate \geq 90%	1. On-site check document configuration at 3 positions each in the Warehousing, Equipment, and Installation Departments; 2. Interview 5 employees on document understanding		Compliant: Complete document configuration; Observation : 1 installer has an incomplete understanding of key clauses in <i>High-Altitude Operation SOP</i>	7.3
4	Operation Control	1. Whether key operations (hot work / high-altitude /	1. Permit application rate for special operations is 100%,	1. Randomly check 10 operation permits for September		Compliant: Complete permits; Non-Compliant: The	7.4

		hazardous chemicals) are controlled; 2. Whether operation permits and supervision are implemented	and permits include "risk analysis and safety measures"; 2. Operation supervision rate is 100%, and supervisors are qualified	; 2. On-site check the supervision of hot work operations in the maintenance workshop		"supervisor qualification" column in the high-altitude operation permit of the Installation Department on September 20 is not filled	
5	Emergency Preparedness	1. Whether emergency plans cover business risks; 2. Whether emergency materials are complete and drills are conducted regularly	1. Plans cover "fire, hazardous chemical leakage, and heatstroke" and are revised every 3 years; 2. Emergency material integrity rate \geq 98%, and drills are conducted \geq 2 times a year	1. Review emergency plans (2024 version); 2. Check emergency materials (fire extinguishers / first-aid kits) and drill records (June 2024)		Compliant: Complete plans; Non-Compliant: The quantity of "gauze" in first-aid kit SB-JJ-002 was insufficient during the September inspection and has not been supplemented in a timely manner	7.5

VI. Procurement and Contractor Management Audit (New Format Module, Expanding Supplier Evaluation)

Serial	Audit Item	Audit Content	Audit Standard	Audit Method	Compliance (☐Compliance)	Audit Findings	Clause No.
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No.			(Aligned with GB/T 45001-2020)		t <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Observation)	(Associated with Procurement / Contractors)	
1	Supplier Evaluation	1. Whether suppliers' HSE qualifications are included in the evaluation; 2. Whether evaluation records are complete and the qualified supplier list is updated	1. Evaluation includes "work safety license and HSE management system certification"; 2. Re-evaluation is conducted once a year, and the qualified supplier list is dynamically updated	1. Review supplier evaluation records (January-September 2024); 2. Check the qualified supplier list (3 hazardous chemical suppliers)		Compliant: Standardized evaluation; Compliant: Timely update of the list	8.1
2	Procurement Control	1. Whether HSE requirements are specified in procurement contracts; 2. Whether procured materials (e.g., protective equipment, fire-fighting	1. Contracts include "materials meet national standards and provide HSE instructions"; 2. Acceptance records include	1. Randomly check 5 procurement contracts (protective masks / fire extinguishers); 2. Check acceptance records (September 2024)		Compliant: Clear contract requirements; Compliant: Qualified acceptance	8.2

		equipment) pass acceptanc e	"quality inspection and complianc e certificates " with an acceptanc e pass rate of 100%				
3	Contractor Managem ent	1. Whether contractor qualificatio n review and on-site training are implement ed; 2. Whether contractor operation supervisio n and hazard rectificatio n are in place	1. Qualificatio ns include "work safety license and special operation personnel certificates " with a training rate of 100%; 2. Daily supervisio n records are kept, and hazard rectificatio n rate is 100%	1. Review contractor qualificatio ns (XX Installation Company) and training records; 2. Check supervision records and hazard rectification ledgers (September)		Non- Compliant: 1 temporary worker of XX Installation Company did not participate in on-site training (entered the site on October 8); Non- Compliant: The scaffolding hazard on September 25 was not rectified on time	8.3

VII. Inspection and Improvement Audit (New Format Module, Supplementing Compliance Evaluation)

Seri al No.	Audit Item	Audit Content	Audit Standard (Aligned	Audit Method	Complianc e (□Complia	Audit Findings (Associate	Clau se No.
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			with GB/T 45001-2020)		nt <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Observation)	d with Inspection and Improvement)	
1	Performance Monitoring	1. Whether monitoring indicators cover business risks; 2. Whether monitoring data is true and analysis is in place	1. Indicators include "accident rate, fire facility integrity rate, and training pass rate"; 2. Data is counted monthly, and analysis reports include "trends and improvement suggestions"	1. Review the monitoring indicator list (2024 version); 2. Check September monitoring data and analysis reports		Compliant: Complete indicators; Observation: "Welding fume concentration" monitoring data is not included in the analysis	9.1
2	Compliance Evaluation	1. Whether compliance evaluations are conducted regularly; 2. Whether evaluation results are used for improvement and non-compliance items are rectified	1. One compliance evaluation is conducted annually, covering "laws, standards, and regulations"; 2. Rectification rate of non-compliance items is 100% with	1. Review the 2023 annual compliance evaluation report; 2. Check rectification records of non-compliance items (e.g., fire facility maintenance)		Compliant: Standardized evaluation; Compliant: In-place rectification	9.2

			complete rectification records				
3	Incident Investigation	1. Whether incidents (accidents, near-misses) are reported and investigated in a timely manner; 2. Whether corrective measures are implemented	1. Incidents are reported within 24 hours, and investigations include "cause analysis and responsibility determination"; 2. Closure rate of corrective measures \geq 95% with effectiveness verification	1. Review 2024 incident records (2 near-misses); 2. Check investigation reports and corrective measure records		Compliant: Timely reporting; Compliant: Implemented measures	9.3
4	Internal Audit	1. Whether internal audits are conducted as planned; 2. Whether audit findings are rectified and their effectiveness verified	1. One comprehensive audit is conducted annually, and special audits are conducted as needed; 2. Rectification rate of audit findings \geq 90% with complete verification records	1. Review the 2023 internal audit report; 2. Check rectification verification records (e.g., risk control optimization)		Compliant: Implemented plans; Compliant: Rectification verification	9.4
5	Continuou s	1. Whether improveme	1. Improveme	1. Review the		Compliant: Sufficient	9.5

	Improvement	nt opportunities are identified; 2. Whether improvement measures are systematically implemented and their effectiveness evaluated	nt opportunities come from "audits, reviews, and employee suggestions"; 2. ≥ 10 improvement measures are implemented annually, and effectiveness evaluation includes "performance comparison"	improvement opportunity list (January-September 2024); 2. Check implementation records of 5 improvement measures (e.g., intelligent monitoring construction)		opportunity identification; Observation: The progress of the improvement measure "forklift speed limit alarm installation" is delayed	
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VIII. Summary of Audit Findings (New Format Classification and Statistics)

Audit Module	Number of Audit Items	Compliant Items	Non-Compliant Items	Observation Items	Compliance Rate (%)	Distribution of Major Non-Compliant Items (Business Association)
System Document Audit	12	9	2	1	75.0	1. <i>Material Stacking SOP</i> for the packaging operation area not updated; 2.

						Missing key data in hot work operation records
Leadership Role and Responsibility	10	8	1	1	80.0	1. "High-altitude operation supervision responsibility" of the Installation Department not assigned to specific positions
Risk Management	15	12	2	1	80.0	1. Scaffolding collapse risk not included in the identification list; 2. Gas detection for hot work operations not conducted as required
Implementation and Operation	20	16	3	1	80.0	1. Expired forklift driver certificate; 2. Supervisor qualification not filled in high-altitude operation permit; 3. Emergency materials not supplemented

Procurement and Contractor	9	6	2	1	66.7	1. Contractor temporary worker not trained; 2. Scaffolding hazard not rectified on time
Inspection and Improvement	14	12	0	2	85.7	-
Total	80	63	10	7	78.8	Non-compliant items are mainly concentrated in "contractor management (2 items), operation control (3 items), and risk management (2 items)"

IX. Non-Compliance Report (New Format Standardized Example)

Non-Compliance No.	Audited Department	Audit Date	Description of Non-Compliance Facts (Associated with Business)	Non-Compliance Clause (GB/T 45001-2020)	Nature of Non-Compliance	Root Cause Analysis	Corrective Measures	Planned Completion Date	Responsible Department	Verification Method
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			Scenarios)							
NC-2024-001	Installation Department		The "supervisor qualification" column in the high-altitude operation permit (No. AZ-GC-021) on September 20 is not filled, and the supervisor has no high-altitude operation supervision training certificate	7.4 Operation Control	Minor	1. Inadequate review by permit approvers; 2. Supervisor qualification verification not included in the permit application processes	1. Supplement the supervisor qualification (training certificate No.) in the permit; 2. Revise <i>Operation Permit Management Regulations</i> and add the "supervisor qualification verification" section		Installation Department	1. Check the supplemented permit; 2. Verify the revised regulations

NC-2024-002	Equipment Department	The certificate (No. T2021XXXX) of forklift driver Zhao XX expired on September 30, but he still worked in October without timely re-examination	7.1 Competence Training	Minor	1. Lack of a reminder mechanism for expired employee certificates; 2. The Equipment Department has not established a certificate management ledger	1. Zhao XX shall stop working immediately and complete re-examination within 3 days; 2. Establish a "special operation certificate ledger" and set a 1-month advance warning before expiration		Equipment Department	1. Check the re-examination certificate; 2. Verify the certificate ledger and warning records
NC-2024-003	Warehousing Department	The pressure of fire extinguisher XF-002 in the packaging	7.5 Emergency Preparedness	Minor	1. Monthly inspection of fire facilities not closed; 2. Lack	1. Immediately replace fire extinguisher XF-002 (model: ABC dry		Warehousing Department	1. On-site check the new fire extinguisher; 2. Verify the

		operati on area is 0.9MP a (lower than the 1.2MP a green zone standa rd), and it has not been replac ed since discov ered in Septe mber			of a "probl em facility trackin g and replac ement " proces s	powder 4kg); 2. Establi sh a "fire facility proble m trackin g form" and update the rectificati on progres s daily			trackin g form records
NC-2024-004	Install ation Depart ment (Contr actor)	A tempor ary worker (ID No. XXXX) of XX Install ation Comp any entere d the site for work on Octob er 8	8.3 Contra ctor Manag ement	Minor	1. Formal istic contra ctor access review ; 2. The Install ation Depart ment has not verifie d the trainin g	1. The tempor ary worker shall stop working immedi ately, receive supple mentar y training , and pass the assess ment;		Install ation Depart ment	1. Check the training records and assess ment results; 2. Verify the revised regulati ons

		without participating in on-site HSE training and has no training records			status of all on-site personnel	2. Revise <i>Contractor On-Site Management Regulations</i> and add the "personnel list verification" section			
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Part Two: HSE Internal Audit Report (Integrating New Format Structure)

I. Audit Overview (Supplementing New Format Sampling and Scope)

1. Audit Organization and Method:

This audit is led by the Quality, Safety and Environmental Protection Department, with a cross-departmental audit team (covering safety, equipment, warehousing, and human resources) established. The sampling methods include "document review (86 records) + on-site inspection (32 operation points) + personnel interviews (45 people, including 5 contractors)". The sampling coverage rates are: 90% for documents, 80% for on-site operation points, and 75% for personnel, ensuring the representativeness of the audit.

1. Audit Scope and Focus:

It covers all business modules of the company (material warehousing, loading and unloading transportation, equipment maintenance, equipment installation) and all elements of HSE management. The focus is on high-risk areas such as "hazardous chemical storage, hot work operations, high-altitude operations, and contractor management" to verify the operational effectiveness of the system in actual business.

1. Overall Compliance:

A total of 63 compliant items (78.8%), 10 non-compliant items (12.5%), and 7 observation items (8.7%) are identified in this audit. The HSE management system generally complies with the GB/T 45001-2020 standard and company regulations. However, there are implementation deviations in modules such as "operation control, contractor management, and risk management", which require key rectification.

II. Audit Result Statistics (New Format Field Classification)

Audit Field	Number of Audit Items	Compliant Items	Non-Compliant Items	Compliance Rate (%)	Key Business-Related Highlights
Document Management	12	9	2	75.0	The system documents cover 28 business-related risks, and there are special SOPs for key operations (forklift / welding)
Leadership Responsibility	10	8	1	80.0	The HSE Committee holds regular meetings, and 1.2 million yuan of safety funds are invested in 2024 (for intelligent monitoring and protective equipment)
Risk Management	15	12	2	80.0	Targeted control measures are formulated for high-risk items (3 items), such as the "triple protection of gas detection + fire blanket + supervisor" for

					hot work operations
Implementation and Operation	20	16	3	80.0	The operation permit application rate is 100%, the emergency drill participation rate is 95%, and no work safety accidents occurred in 2024
Procurement and Outsourcing	9	6	2	66.7	Standardized HSE evaluation of suppliers, with a 100% acceptance pass rate for procured materials
Inspection and Improvement	14	12	0	85.7	Complete performance monitoring indicators, with high employee participation in "Hazard Spotting" (120 suggestions in 3 months)
Total	80	63	10	78.8	-

III. Major Achievements (New Format Structured Presentation)

(I) Solid System Foundation, Meeting Business Needs

1. Comprehensive System Coverage: 28 HSE regulations have been established, covering core businesses such as "hazardous chemical management, special equipment maintenance, and hot work operation permits". In 2024, 3 regulations (*Operation Permit Management, Contractor*

Management, Risk Identification) were revised in accordance with the new *Work Safety Law*, ensuring strong compliance.

2. Sufficient Resource Guarantee: 6 full-time safety officers are allocated (1 person per 50 employees), and 1.2 million yuan of safety funds are invested in "forklift speed limit alarm installation and hazardous chemical gas detection system upgrading", providing strong hardware support.

(II) Effective Risk Control, Sound On-Site Foundation

1. In-depth Hazard Identification: 28 business-related risks have been identified, and special control measures have been formulated for high-risk items (3 items). For example, the "triple protection of gas detection + fire blanket + supervisor" is adopted for hot work operations, and no high-risk incidents occurred from January to September 2024.
2. Qualified Emergency Capability: 3 special emergency plans (fire, hazardous chemical leakage, heatstroke) have been formulated, and 3 drills have been conducted. The emergency response time is ≤ 10 minutes, and the material deployment accuracy rate is $\geq 90\%$, meeting the business emergency needs.

(III) Active Employee Participation, Strong Cultural Atmosphere

1. Standardized Training and Education: 12 HSE training sessions were conducted in 2024, covering 450 employee person-times. The certification rate for special operations is 100%, and the risk identification capability of front-line employees has been significantly improved (120 suggestions submitted through "Hazard Spotting").
2. Smooth Communication Channels: Monthly HSE meetings are held, major risk information is communicated within 24 hours, and an "HSE suggestion box" is set up with an employee participation rate $\geq 80\%$, forming a good atmosphere of "full participation in safety management".

IV. Existing Problems (New Format Module-Based Sorting)

(I) Inadequate Operation Control, Deviations in Business Implementation

1. Omissions in Operation Permit Management: The "supervisor qualification" in the high-altitude operation permit of the Installation Department is not filled, and the gas detection for hot work operations in the maintenance workshop is not conducted as required (only once on September 15), reflecting inadequate approval review and formalistic on-site implementation.
2. Lack of Equipment Certificate Management: The certificate of forklift driver Zhao XX expired without timely re-examination (expired on September 30), and the Equipment Department has not established a "certificate warning ledger", posing the risk of uncertified operation.

(II) Weak Contractor Management, Insufficient Process Supervision

1. Inadequate Access Review: A temporary worker of XX Installation Company entered the site for work without participating in on-site training, and the Installation Department failed to verify the qualifications of all personnel, resulting in lax access control.

2. Delayed Hazard Rectification: The "non-standard scaffolding erection" hazard of the contractor on September 25 (exceeding the width by 10cm) was not rectified on time (delayed until October 5), and the process supervision frequency is insufficient (no daily verification of rectification progress).

(III) Non-Standard Document Management, Poor Record Traceability

1. Delayed Document Update: The *Material Stacking SOP* for the packaging operation area fails to include the new requirements of "light goods on top, heavy goods at the bottom, and height limit of 1.5m", which is inconsistent with actual operations and reduces the guiding role.
2. Incomplete Record Filling: The "gas detection data" is not filled in the hot work operation records of the maintenance workshop, and the "signature" is missing in the hazardous chemical inspection records of the Warehousing Department, resulting in poor data traceability and inability to verify the implementation effect.

V. Audit Conclusions (New Format with Maturity Evaluation)

1. System Compliance: The company's HSE management system complies with the GB/T 45001-2020 standard and relevant laws and regulations, covering all business modules and risks. The document system, organizational structure, and resource guarantee meet the operation needs.
2. System Effectiveness: No work safety accidents or occupational disease cases occurred from January to September 2024. The fire facility integrity rate is 92%, the training pass rate is 95%, and the emergency drill qualification rate is 100%. The system operates effectively and risks are controllable.
3. Maturity Evaluation: With an overall compliance rate of 78.8%, the system maturity is rated as "Good" (the "contractor management and operation control" modules need improvement), and it has the capability of continuous improvement.

VI. Improvement Suggestions (New Format with Short-Term / Medium-Long-Term Classification)

(I) Short-Term Improvement Measures (to be completed within 1 month, eliminating immediate risks)

Serial No.	Improvement Item	Specific Measures	Responsible Department	Verification Method
1	Rectify Non-Compliance Items	1. Replace fire extinguisher XF-002 in the packaging operation area; 2.	Warehousing Department, Equipment Department,	1. On-site inspection; 2. Certificate verification; 3.

		Complete the re-examination of forklift driver Zhao XX's certificate; 3. Provide supplementary training for contractor temporary workers	Installation Department	Training record inspection
2	Improve Certificate Management	Establish a "special operation certificate ledger", and set a 1-month advance warning before expiration (SMS notification to employees + department heads)	Equipment Department, Human Resources Department	Verify the ledger and warning settings
3	Standardize Operation Permits	Revise <i>Operation Permit Management Regulations</i> , add the "supervisor qualification verification" section, and require approvers to sign for qualification confirmation	Quality, Safety and Environmental Protection Department	Check the revised regulations and permit samples

(II) Medium-Long-Term Improvement Measures (to be completed within 3-6 months, optimizing system operation)

1. Contractor Management Upgrade:

- Formulate the *Contractor On-Site Personnel Verification List*, clarify the verification points for "training records and qualification certificates", and prohibit unqualified personnel from entering the site;
- Establish the *Contractor Hazard Rectification Tracking Form*, update the progress daily, and suspend the operation qualification for overdue rectification;
- Responsible Departments: Installation Department + Quality, Safety and Environmental Protection Department; Completion Time: XX Month 2024.

1. Document and Record Optimization:

- Conduct a "system document review", update 5 outdated documents including the *Material Stacking SOP* for the packaging operation area to ensure consistency with actual operations;
- Compile the *Record Filling Specification Manual*, clarify the requirements for "key data and signatures", and conduct special training (covering all positions);
- Responsible Departments: Quality, Safety and Environmental Protection Department + All Business Departments; Completion Time: XX Month 2024.

1. Intelligent Monitoring Construction:

- Install a "gas detection + video monitoring" linkage system in hazardous chemical warehouses and hot work operation areas, which automatically alarms when exceeding standards;
- Equip forklifts and cranes with the "certificate expiration warning" function, and integrate it into the equipment management system;
- Responsible Departments: Equipment Department + Quality, Safety and Environmental Protection Department; Completion Time: XX Month 2026.

VII. Report Approval (New Format Hierarchical Signatures)

Approval Role	Signature	Date	Approval Opinion
Audit Team Leader			The audit process is compliant, the identified problems are true, and the improvement suggestions are operable. The audit report is approved for submission.
Management Representative			The audit conclusions and improvement suggestions are approved. All departments are required to promote rectification as planned, and the Quality, Safety and Environmental

			Protection Department shall track and verify.
Top Management			The audit results are recognized. The HSE management system operates effectively. Focus shall be placed on the improvement of contractor management and operation control to ensure 100% closure of non-compliance items by the end of 2024.

VIII. Attachment List (New Format Standardization)

1. Attachment 1: Copies of audit team members' qualification certificates (Certified Safety Engineer, Special Equipment Engineer);
2. Attachment 2: Summary of non-compliance reports (including on-site photos and copies of document records);
3. Attachment 3: Audit schedule (including daily inspection content and participants);
4. Attachment 4: Sign-in sheets for opening and closing meetings (including signatures of representatives from audited departments);
5. Attachment 5: List of audit basis documents (laws, standards, company regulations).

Report Distribution Scope: Company leaders, HSE Committee members, heads of all departments;

Retention Period: 3 years;

Preparation Date: January 1, 2025