



## HSE Accident / Near-Miss Incident Report Form

Document No.: CLADDING-HSE-PD-60

### I. Basic Information of the Report Form (Mandatory Items)

Serial No.	Information Category	Content (Special for Forklift Near-Miss Incident)	Instructions for Completion
1	Report No.	CPPMEC-HSE-PD-60	Fill in according to the user-specified number to ensure consistency with the incident traceability number
2	Incident Type	<input type="checkbox"/> Accident ( <input type="checkbox"/> Minor Injury <input type="checkbox"/> Severe Injury <input type="checkbox"/> Fatality <input type="checkbox"/> Property Loss); <input checked="" type="checkbox"/> Near-Miss Incident ( <input checked="" type="checkbox"/> Potential Minor Injury <input type="checkbox"/> Potential Severe Injury <input checked="" type="checkbox"/> Potential Property Loss / Cargo Falling)	Clearly mark "potential risks": Collision between forklift and battery-powered tractor may cause personnel contusion and cargo falling damage
3	Incident Occurrence Time	14:30 on October 25, 2023 (accurate to the minute, consistent with on-site monitoring records)	Avoid vague descriptions; must be associated with the warehouse monitoring time retrieved after the incident
4	Incident Occurrence Location	Intersection of Area 3 Heavy Cargo Storage Zone and Passage 4 in the First Central Warehouse (Coordinates: X=45.2m, Y=28.8m), adjacent to HRS-3-08 Heavy-duty Shelf	Mark key reference objects (shelf number, passage name) to facilitate on-site re-investigation of the blind area range at the intersection
5	Involved Business Modules	<input checked="" type="checkbox"/> Material Warehousing <input checked="" type="checkbox"/> Loading and Unloading Transportation <input type="checkbox"/> Equipment Maintenance <input type="checkbox"/> Equipment Installation <input type="checkbox"/> Others (Please specify: On-site Motor Vehicle Management)	Check "Loading and Unloading Transportation" (forklift operation) and "Material Warehousing" (in-warehouse operation); supplement the module of "On-site Motor Vehicle Management"
6	Information of Involved Personnel	1. Involved Person 1: Zhao Xiaomeng (Forklift Driver, Warehousing and Transportation Department, Employee ID: CC2015089, 8 years of service, holding a valid forklift operation certificate); 2. Involved Person 2: Liu Jie (Loader / Commander, Warehousing and Transportation Department, Employee ID: ZX2008123, 15 years of service); 3. Involved Person 3: Temporary Worker (Battery-powered Tractor Driver, no	Specify "no qualification" for temporary workers; supplement the operation positions of witnesses (Zhou XX was in the material picking area of Passage 4, Li XX was in the adjacent crane operation area)

		registered employee ID, no on-site motor vehicle driving qualification); 4. Witness 1: Zhao Jie (Warehouse Manager, Warehousing and Transportation Department, Employee ID: GL2020056, 3 years of service); 5. Witness 2: Li Wenxiang (Crane Operator, Warehousing and Transportation Department, Employee ID: TC2018037, 5 years of service); 6. Injured Person (if any): None	
7	Involved Equipment / Materials	1. Involved Equipment 1: CPCD30 Internal Combustion Counterbalanced Forklift (No.: CC2020035, purchased in 2020, occasional horn failure not reported for repair, slight scratch on the right front tire); 2. Involved Equipment 2: Small Battery-powered Tractor (No.: QY2022018, purchased in 2022, scratch on the left body, no dedicated management ledger); 3. Carried Materials: DN800 Elbow (2.5 tons per unit, Batch No.: WG20231015, undamaged); 4. Safety Facilities: No convex mirror or "STOP" sign at the intersection, only simple passage markings	Mark key statuses such as "failure not reported for repair" and "no ledger" for equipment; supplement the weight of materials (related to the forklift load visibility obstruction issue)
8	Reporter Information	Zhang Xiaojuan (Manager of Warehousing and Transportation Department, Employee ID: JL2010012, received on-site report at 14:40)	The reporter shall specify the time of receiving the report to ensure that the requirement of "report submission within 24 hours" is met for the period from "incident occurrence (14:30) to report submission (October 27)"
9	Report Submission Time	09:15 on October 27, 2023 (43 hours after the incident; delayed submission was reported to the Quality, Safety and Environmental Protection Department due to the need for in-depth investigation into the temporary worker qualification issue)	Specify the reason for delayed submission and the reporting status to avoid violations
10	Brief Incident Description	At 14:30 on October 25, 2023, Zhao Xiaomeng was driving a forklift carrying a 2.5-ton elbow (lifted 1.2 meters) through the intersection of Passage 3 / 4. He failed to effectively slow down and honk (horn failure not reported for repair); meanwhile, an unqualified temporary worker drove a battery-powered tractor out of Passage 4 at high speed. Both parties failed to look out, resulting in the tractor scraping the right front tire of the forklift. The elbow shook slightly but did not fall, and no personnel were injured. This incident exposed loopholes in temporary employment and equipment management.	Summarize "equipment - behavior - risk - loophole" within 200 words, highlighting core information such as "unlicensed driving", "horn failure" and "visibility blind area"

## II. Detailed Incident Process (On-site Schematic Diagram / Photos Attached)

## **(I) Pre-incident Scenario (Operation Process Within 1 Hour Before the Incident)**

### **1. Operation Preparation (13:30-14:25):**

The loading and unloading team of the Warehousing and Transportation Department received a task: transfer 5 pieces of DN800 elbows from the temporary storage area to the HRS-3-08 heavy-duty shelf in Area 3. Zhao Xiaomeng inspected the forklift according to the procedure (did not focus on checking the horn, only confirmed the functions of the brake and fork). Liu Jie collected the command flag. Both parties confirmed the route: Temporary Storage Area → Passage 4 → Intersection of Area 3 → Target Shelf (total distance approximately 30m; the intersection is a necessary path, and there is a 120° visibility blind area due to shelf obstruction in daily operations). During the same period, Zhou Xin received a temporary material picking notice, coordinated a temporary worker to drive a battery-powered tractor (not equipment of this team, no usage approval) from the auxiliary material warehouse to Area 3, and planned to take away 2 boxes of pipe fittings.

### **1. Preliminary Operation (14:25-14:30):**

Zhao Xiaomeng picked up the first elbow (lifted to a height of 1.2 meters, blocking 1/3 of the front visibility). Liu Jie walked to guide the forklift to the entrance of Passage 4. At this time, Zhao Xiaomeng tried to honk the forklift horn (post-incident inspection confirmed poor contact, and the volume was only 1/3 of the normal volume). Instead of stopping to report for repair, Zhao Xiaomeng subjectively thought that "the main road at the intersection is clear after 2 p.m." and drove at a speed of 5km/h (the warehouse speed limit is 3km/h). At 14:28, Zhou Xin guided the temporary worker to drive the battery-powered tractor out of the end of Passage 4 (speed approximately 6km/h, twice the speed limit). The temporary worker had not received training on "looking out at intersections", and Zhou Xin did not remind him to stop and observe.

## **(II) Incident Handling Process (Emergency Actions Within 30 Minutes After the Incident)**

### **1. Immediate Response (14:30-14:33):**

After the collision, Zhao Xiaomeng braked urgently and turned right. The temporary worker slammed on the brakes and turned left. Liu Jie immediately ran between the two vehicles to confirm personnel safety (Zhao Xiaomeng's hand was slightly scraped against the steering wheel with no scratches; the temporary worker was shocked and had trembling hands with no external injuries). Li Jie (at the crane operation platform, 15m away from the intersection) witnessed the whole process and reported to Wang, the warehouse safety officer, via walkie-talkie at 14:31 ("Forklift and electric vehicle scraped at the intersection of Area 3, no injuries").

### **1. On-site Control (14:33-14:40):**

Wang arrived at the scene at 14:33, delimited a 20m warning zone (blocked both ends of Passage 4 with warning tapes), and prohibited other vehicles from entering. Equipment inspection: The right front tire of the forklift had a 5cm scratch, and the overhead guard was

undamaged; the left door of the tractor had a 10cm scratch, and the steering system was normal. After confirming the stability of the elbow (fork tilt angle < 3°, no displacement risk), the elbow was slowly unloaded to the standby position in the temporary storage area under the supervision of Zhao Xiaomeng and Liu Jie at 14:38.

**1. Preliminary Investigation (14:40-15:00):**

Zhang Xiaojuan (Manager of the Warehousing Department) arrived at the scene at 14:40 and organized hierarchical interviews: Zhao Xiaomeng admitted to "speeding and failing to report the horn failure for repair"; Liu Jie reflected on "failing to stop the speeding"; Zhao Xiaomeng confessed that "the temporary worker had no qualification and no guidance on looking out"; the temporary worker stated that "only basic driving skills were mastered, and no one taught the rules". Meanwhile, Wang retrieved the monitoring footage at the intersection (segment from 14:28 to 14:30) and fixed the evidence of "both parties failing to look out and speeding".

**(III) Description of On-site Schematic Diagrams / Photos**

Material Type	No.	Content Description	Attachment Location
On-site Photo	ZP-01	Scratch on the right front tire of the forklift (marked with a red circle, 5cm long, 0.2cm deep), no deformation of the overhead guard	Attachment 1 on Page 6 of the Report
On-site Photo	ZP-02	Scratch on the left door of the battery-powered tractor (marked with a red circle, 10cm long, exposing the primer)	Attachment 2 on Page 6 of the Report
On-site Photo	ZP-03	Panoramic view of the intersection (showing visibility obstruction by shelves in Area 3, no convex mirror or "STOP" sign, and blurred ground markings)	Attachment 3 on Page 7 of the Report
On-site Schematic Diagram	SY-01	Marking the collision position of the two vehicles (the front wheel of the forklift was 1.5m away from the shelf in Area 3, and the tractor was 2.8m away from the entrance of Passage 4), the range of the visibility blind area (120°), and the initial positions of the involved personnel	Attachment 4 on Page 7 of the Report
Equipment Inspection Record	JC-01	Forklift horn inspection report (contact resistance 15Ω, standard ≤5Ω), unqualified use registration record of the battery-powered tractor	Attachment 5 on Page 8 of the Report

**III. Incident Cause Analysis (Hierarchical Analysis Required, with Data Support)**

**(I) Direct Causes (Immediate Factors Leading to the Incident)**

**1. Unsafe Behaviors (Personnel Operation Deviations):**

- Zhao Xiaomeng (Forklift Driver): Violated Article 4.3 of the *On-site Motor Vehicle Operation Specifications* by speeding (5km/h > 3km/h), failing to report the horn failure for repair and continuing to operate, and failing to effectively look out at the intersection (monitoring showed he only glanced quickly to the right without pausing);
- Temporary Worker (Tractor Driver): Operated an on-site motor vehicle without a license (violating Article 14 of the *Special Equipment Safety Law*), speeding (6km/h > 3km/h), and failing to stop and observe at the intersection;
- Liu Jie (Commander): Failed to perform Article 5.2 of the *Loading and Unloading Operation Safety Regulations* by not stopping the forklift from speeding and not assisting in looking out at the intersection (monitoring showed he walked 1.5m behind the side of the forklift and did not enter the intersection in advance to observe);
- Zhao Jie (Manager): Violated Article 6.3 of the *Temporary Employment Safety Management Regulations* by allowing the temporary worker to operate the tractor without verifying his driving qualification and not reminding him of the intersection safety rules.

#### 1. Unsafe Conditions (Equipment / Environmental Defects):

- Failure of Forklift Safety Device: Poor horn contact (inspection resistance 15Ω, standard ≤5Ω), which was not included in the daily inspection checklist (the October 2023 inspection records only checked "brake and lights" and omitted the horn);
- Intersection Environmental Risks: No convex mirror (required by GB 50489-2009 *General Layout and Transportation Design Code for Chemical Enterprises* for intersections with visibility blind areas), no mandatory "STOP" sign, and blurred ground markings (not re-painted for 3 months);
- Lack of Tractor Management: No dedicated ledger (no maintenance records from January to October 2023), and keys stored randomly (the temporary worker stated that "the key was taken from the drawer in the auxiliary material warehouse").

## (II) Indirect Causes (Management / Process Loopholes)

#### 1. Inadequate Equipment Management:

- Formalistic Daily Inspection of Special Equipment: The *Forklift Daily Inspection Form* did not include warning devices such as "horn and reversing alarm" (only 2 horn inspection records from January to October 2023), and the Equipment Department did not conduct monthly special inspections (maintenance personnel stated in the interview that "the focus is on checking the forklift engine and brakes, and warning devices are occasionally omitted");
- Lack of Tractor Control: The tractor was not included in the *On-site Motor Vehicle Management Ledger*, and the maintenance responsibility was unclear (the Warehousing Department claimed it "belongs to the Equipment Department", while the Equipment Department claimed it was "temporarily borrowed by the Warehousing Department"), and there was no key management system.

#### 1. Ineffective Personnel Training and Qualification Control:

- Insufficient Re-training for Special Operation Personnel: Zhao Xiaomeng only received 2 hours of annual training in 2023 (8 hours required), which did not cover "intersection risk handling" and "failure reporting procedures";
- Out-of-control Temporary Employment Management: A total of 12 temporary workers were employed in 2023, and only 3 completed the on-site safety training (the other 9 received only "verbal briefing"), with no qualification review process (no copy of driving qualification in the temporary worker files);
- Lack of Safety Responsibility of Managers: Zhou Xin (Warehouse Manager) had not received training on "temporary worker qualification review", and Zhang Xiaomeng (Manager of the Warehousing Department) did not conduct monthly random checks on the temporary employment ledger (no inspection records from January to October 2023).

#### 1. Lack of On-site Operation Risk Control:

- Failure to Implement JSA for High-risk Operations: Forklift transportation of heavy materials (>2 tons) is a high-risk operation, but no job safety analysis (JSA) was conducted, and control measures such as "intersection looking out and commander responsibilities" were not clarified;
- Insufficient On-site Supervision Frequency: The safety officer of the Warehousing Department only conducted 8 on-site inspections in October 2023 (15 required), failing to cover "cross-operation during non-working hours" (14:30 was the post-lunch operation peak with no safety officer on site).

### (III) Root Causes (Systemic Issues)

#### 1. Inadequate Implementation of the Dual Prevention Mechanism:

Risk classification and control did not cover scenarios such as "intersection operations" and "temporary workers operating equipment" (such risks were not included in the company's 2023 risk list), and hidden danger investigation did not form a closed loop (a "forklift horn failure" was found in September 2023, but no follow-up rectification was conducted).

#### 1. Safety Responsibility System Not Penetrating to the Grassroots Level:

The *HSE Responsibility Letter of the Warehousing and Transportation Department* did not clarify specific responsibilities such as "temporary worker qualification review" and "completeness of equipment inspection" (only generally stating "ensure operation safety"), and assessment was not linked to the above responsibilities (no cases of performance deduction due to "omission in equipment inspection" from January to October 2023).

#### 1. Insufficient Safety Culture Cultivation:

Employees had a "lucky psychology" (Zhao Xiaomeng thought that "it's okay for the horn to be quiet, and the intersection main road is clear"), and "responsibility shirking" (the temporary worker said "no one told me I couldn't drive"), failing to form the awareness of "I am responsible for my own safety". The reporting culture was weak (the horn failure was not proactively reported for repair).

## IV. Incident Consequence Assessment (Including Personnel Injury, Property Loss, and Potential Risks)

### (I) Personnel Injury Assessment (According to GB/T 15499-2017)

Injury Type	Actual Situation	Potential Consequences (If No Timely Braking)
Personnel Injury Status	No obvious injuries (Zhao Xiaomeng had a slight scrape on his hand, and the temporary worker was shocked; neither required medical treatment)	1. Emergency braking of the forklift might cause Zhao Xiaomeng's chest to hit the steering wheel (minor injury, 7 working days lost); 2. Tractor rollover might cause the temporary worker's leg to be crushed (minor injury, 15 working days lost); 3. Falling elbow might hit Liu Jie (severe injury, 90 working days lost)
Psychological Impact	Three involved personnel (Zhao Xiaomeng, Liu Jie, and the temporary worker) were emotionally tense within 1 hour after the incident, and returned to normal after psychological counseling	No risk of long-term psychological trauma, no professional intervention required

### (II) Property Loss Assessment (According to the Company's Property Loss Calculation Standard)

Loss Category	Actual Loss	Potential Loss (If Severe Collision)
Equipment Damage	1. Replacement of the right front tire of the forklift: 800 yuan; 2. Painting of the left door of the tractor: 500 yuan; Total: 1,300 yuan	1. Replacement of the deformed forklift overhead guard: 5,000 yuan; 2. Damage to the tractor steering system: 3,000 yuan; 3. Scrap of the deformed falling elbow: 20,000 yuan; Total: 28,000 yuan
Shutdown Loss	Operations in Area 3 / Passage 4 were interrupted for 2 hours, affecting the storage of 5 elbows, with no subsequent production delay	Passage blockage might cause a full-day delay in storage tasks (approximately 50 tons of materials), affecting downstream installation operations, with a loss of approximately 50,000 yuan
Total Loss	1,300 yuan	Potential total loss of approximately 78,000 yuan

### (III) Potential Risk Assessment (Using LEC Method)

Potential Risk Point	Likelihood (L)	Exposure Rate (E)	Consequence Severity (C)	Risk Value (D=L×E×C)	Risk Level	Control Suggestions
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Collision-induced Injury at Intersection	4 (Likely)	6 (Daily Exposure)	8 (Severe Injury)	4×6×8=192	High Risk	1. Install convex mirrors + "STOP" signs within 3 days; 2. Re-paint passage markings quarterly; 3. Install speed bumps at the intersection
Unlicensed Operation by Temporary Workers	3 (Possible)	4 (Weekly Exposure)	6 (Minor Injury)	3×4×6=72	Medium Risk	1. Dismiss unqualified temporary workers within 1 day; 2. Establish a temporary worker qualification review ledger (requiring copies of driver's license / operation certificate)
Equipment Failure Not Reported for Repair	5 (Very Likely)	5 (Daily Exposure)	4 (Property Loss)	5×5×4=100	High Risk	1. Complete horn inspection of all forklifts within 2 days; 2. Revise the inspection form, add "warning devices" as mandatory inspection items, and prohibit operation if not inspected

## V. Rectification Measures and Closed-loop Plan (Clarifying Responsible Departments, Time Limits, and Verification Methods)

### (I) Immediate Rectification Measures (To Be Completed Within 24 Hours After the Incident)

Serial No.	Rectification Content	Responsible Departments	Completion Deadline	Verification Method
1	1. Dismiss temporary workers who operated without a license, and complete the qualification review of all temporary workers within 3 days (requiring copies of ID card + operation certificate); 2. Seal the involved battery-powered tractor, and the Equipment Department shall complete a comprehensive inspection (focusing on steering and braking) within 24 hours	Warehousing Department + Human Resources Department + Equipment Department	17:00 on October 26, 2023	1. Verify the temporary worker dismissal records + qualification ledger; 2. Check the tractor inspection report (with qualification mark)
2	1. Complete the inspection of horns and reversing alarms for all forklifts (8 units in total) within 24 hours, and immediately stop and repair faulty equipment; 2. Revise the <i>Forklift Daily</i>	Equipment Department + Warehousing Department	12:00 on October 26, 2023	1. Randomly check the inspection records of 5 forklifts (including horn resistance test data); 2. Check the revised version of the

	<i>Inspection Form</i> , add "warning devices" as mandatory inspection items, and prohibit the forklift from leaving the garage if not checked			inspection form (V202310)
3	1. Install 2 convex mirrors (120° viewing angle) + 1 reflective "STOP" sign at the intersection of Passage 3 / 4; 2. Temporarily separate pedestrian and vehicle passages with warning tapes, and complete the installation of speed bumps within 3 days	Warehousing Department + Safety and Environmental Protection Department	18:00 on October 26, 2023	1. On-site inspection of the installation positions of convex mirrors / signs (to ensure blind area elimination); 2. Verify the speed bump purchase order (non-slip type required)

## (II) Medium-term Rectification Measures (To Be Completed Within 1 Week After the Incident)

Serial No.	Rectification Content	Responsible Departments	Completion Deadline	Verification Method
1	1. Conduct a "special inspection of special equipment in the Warehousing Department", covering 8 forklifts, 3 tractors, and 2 cranes, focusing on checking safety devices and maintenance records, and forming a closed-loop problem list; 2. Establish a dedicated management ledger for tractors (including user, maintenance records, and key keeper)	Equipment Department + Warehousing Department	17:00 on November 1, 2023	1. Review the inspection report (with problem photos attached); 2. Check the tractor ledger (with daily use records required)
2	1. Organize all employees of the Warehousing Department (including temporary workers) to conduct special training on "intersection safety + equipment failure reporting" (8 hours), and conduct practical assessments on "looking out gestures and reporting procedures"; 2. Suspend the operation qualifications of Zhao Xiaomeng and Liu Jie, and allow them to return to work only after passing the make-up exam	Human Resources Department + Warehousing Department	12:00 on November 1, 2023	1. Verify the training attendance sheet + assessment papers (practical score ≥85 points required); 2. Check the make-up exam records of Zhao Xiaomeng and Liu Jie
3	1. Revise the <i>Regulations on the Management of High-risk</i>	Safety and Environmental	17:00 on November 2, 2023	1. Check the revised regulations (with JSA

	<i>Operations in the Warehousing Department</i> , clarify that JSA shall be conducted for "forklift transportation of materials >2 tons", and assign dedicated personnel to look out at the intersection; 2. The safety officer shall be on duty on site from 14:00 to 15:00 (operation peak) every day and record cross-operation situations	Protection Department + Warehousing Department		template required); 2. Randomly check the safety officer's on-duty records (for 3 days)
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### (III) Long-term Rectification Measures (To Be Completed Within 1 Month After the Incident, Forming a Long-term Mechanism)

Serial No.	Rectification Content	Responsible Departments	Completion Deadline	Verification Method
1	1. Incorporate "completeness of equipment inspection" and "temporary worker qualification review" into the monthly KPI of the Warehousing Department manager (15% weight for each), and deduct 1,000 yuan of performance for each unmet item; 2. The Safety and Environmental Protection Department shall conduct a special inspection on "special equipment + temporary workers" once a month, and publish the results	Human Resources Department + Safety and Environmental Protection Department	17:00 on November 25, 2023	1. Review the KPI revision document; 2. Verify the November inspection report (with problem rectification rate required)
2	1. Introduce a "forklift safety monitoring system" (including overspeed alarm, horn failure reminder, and video monitoring), and complete the installation on 3 key forklifts by the end of December 2023; 2. Establish an "electronic qualification database for on-site motor vehicle drivers", and personnel without qualifications cannot start the equipment	Equipment Department + Information Department	17:00 on December 30, 2023	1. Check the monitoring system purchase contract (with function list required); 2. Test the qualification database authority (personnel without qualifications cannot log in)
3	1. Conduct "cross-operation emergency drills" quarterly, simulating scenarios such as "forklift-tractor collision" and "cargo falling", covering all employees of the Warehousing Department and Equipment Department; 2. Incorporate this incident into the new employee	Safety and Environmental Protection Department + Human Resources Department	17:00 on November 30, 2023	1. Review the November drill plan + evaluation report; 2. Randomly check the new employee training courseware (with incident video required)

	training cases, and set up a compulsory course on "temporary employment management"			
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## VI. Responsibility Identification and Handling Suggestions (In Conjunction with the *HSE Responsibility Investigation System*)

### (I) Responsibility Division (Hierarchical Identification)

Responsibility Type	Responsible Person	Responsibility Facts	Responsibility Basis (Company System Clauses)
Direct Responsibility	Zhao Xiaomeng (Forklift Driver)	Speeding, failing to report the horn failure for repair, and failing to look out at the intersection, violating Articles 4.3 and 4.5 of the <i>On-site Motor Vehicle Operation Specifications</i>	Article 5.2 of the <i>HSE Responsibility Investigation System</i> : "Special operation personnel who fail to operate in a standardized manner and cause near-miss incidents shall bear direct responsibility"
Direct Responsibility	Temporary Worker (Tractor Driver)	Operating without a license and speeding, violating Article 14 of the <i>Special Equipment Safety Law</i>	Article 5.3 of the <i>HSE Responsibility Investigation System</i> : "Those who operate special equipment without a license shall bear direct responsibility and be dismissed"
Management Responsibility	Liu Jie (Loader)	Failing to stop the forklift from speeding and not assisting in looking out at the intersection, violating Article 5.2 of the <i>Loading and Unloading Operation Safety Regulations</i>	Article 6.3 of the <i>HSE Responsibility Investigation System</i> : "On-site commanders who fail to perform supervision responsibilities shall bear management responsibility"
Management Responsibility	Zhou Chuang (Warehouse Manager)	Failing to review the temporary worker's qualification and not reminding of safety rules, violating Article 6.3 of the <i>Temporary Employment Safety Management Regulations</i>	Article 6.3 of the <i>HSE Responsibility Investigation System</i> : "Managers who fail to verify the temporary worker's qualification shall bear management responsibility"
Leadership Responsibility	Zhang Xiaomeng (Manager of the Warehousing Department)	Failing to implement equipment inspection supervision and control temporary worker qualifications, violating Article 3.2 of the <i>HSE Responsibility Letter of the Warehousing and Transportation Department</i>	Article 7.2 of the <i>HSE Responsibility Investigation System</i> : "Department heads who fail to implement safety management responsibilities shall bear leadership responsibility"
Leadership Responsibility	Wang Jie (Maintenance)	Failing to conduct monthly warning device inspections for	Article 7.2 of the <i>HSE Responsibility Investigation System</i> : "Equipment

	Supervisor of the Equipment Department)	forklifts, violating Article 4.1 of the <i>Equipment Maintenance Management Regulations</i>	supervisors who fail to implement maintenance responsibilities shall bear leadership responsibility"
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## (II) Handling Suggestions (Combining Education and Punishment)

Responsible Person	Handling Suggestions	Implementing Departments	Completion Deadline	Verification Method
Zhao Xiaomeng	1. Written warning (filed in personal file); 2. Attend HSE special training courses (24 hours); 3. Deduction of 1,000 yuan from November 2023 performance	Human Resources Department + Warehousing Department	November 10, 2023	1. Check the warning document; 2. Verify the training attendance sheet + performance deduction record
Temporary Worker	1. Immediate dismissal and permanent ineligibility for re-employment; 2. Notify all cooperative labor service companies to prohibit employment	Human Resources Department + Warehousing Department	October 26, 2023	1. Check the dismissal certificate; 2. Verify the notification document (with labor service company signature records required)
Liu Jie	1. Circulate a criticism within the department; 2. Be responsible for organizing a special training session on "intersection looking out" for the loading and unloading team (once); 3. Deduction of 800 yuan from November 2023 performance	Warehousing Department	November 5, 2023	1. Check the circulation document; 2. Verify the training record + performance deduction record
Zhou Xiaomeng	1. Submit a written self-criticism to the Warehousing Department; 2. Be responsible for improving the temporary worker qualification review ledger; 3. Deduction of 800 yuan from November 2023 performance	Warehousing Department	November 5, 2023	1. Check the self-criticism document; 2. Verify the completeness of the ledger + performance deduction record
Zhang Jie	1. Submit a written self-criticism to the Safety and Environmental Protection Department; 2. Make an in-depth reflection at the company's HSE regular meeting; 3. Deduction of	Safety and Environmental Protection Department + Human Resources Department	November 1, 2023	1. Check the self-criticism document; 2. Verify the meeting attendance record + performance deduction record

	2,000 yuan from October 2023 performance			
Wang Jie	1. Circulate a criticism within the Equipment Department; 2. Be responsible for organizing a special inspection of special equipment warning devices (company-wide); 3. Deduction of 1,500 yuan from October 2023 performance	Equipment Department	November 1, 2023	1. Check the circulation document; 2. Verify the inspection report + performance deduction record

## VII. Incident Lessons and Case Sharing Plan

### (I) Summary of Core Lessons (Extracting Promotable Experience)

1. Full Lifecycle Management Required for Special Equipment: "Niche safety devices" such as forklift horns are easily overlooked. "Warning devices, steering and braking systems" shall be included in daily mandatory inspections, and a "failure reporting - tracking - closed-loop" ledger shall be established to eliminate "operation with faults";
2. Penetrating Management Required for Temporary Workers: Implement full-process management from "qualification review - training assessment - on-site supervision", strictly prohibit unlicensed operation of high-risk equipment, and establish an "electronic qualification database for temporary workers" to achieve "no qualification, no on-the-job";
3. Scenario-based Management Required for Operation Risk Control: For high-risk scenarios such as "intersections and forklift transportation of heavy materials", JSA must be conducted to clarify control measures such as "looking out, slowing down, and commanding", and safety officers shall be on duty on site during operation peaks;
4. Quantitative Assessment Required for Safety Responsibility: Incorporate specific responsibilities such as "equipment inspection and qualification review" into KPI, and strongly link with performance to avoid "empty responsibility" and ensure that management personnel "manage safety while managing business".

### (II) Case Sharing Plan (Covering All Employees)

Sharing Form	Time Arrangement	Participants	Sharing Content	Responsible Department
Department Morning Meeting Sharing	08:30 on October 26, 2023	All employees of the Warehousing and Transportation Department	Incident process, direct causes, and personal reflections (shared on site by Zhao Xiaomeng and Liu Jie)	Warehousing Department

Company HSE Regular Meeting Sharing	14:00 on November 3, 2023	Department heads and safety officers of all departments	Complete incident report, rectification measures, and responsibility handling, focusing on reporting loopholes in "temporary employment + equipment management"	Safety and Environmental Protection Department
Special Training for Temporary Workers	Starting from November 10, 2023	All temporary workers (including labor service company employees)	Play the incident monitoring video clip, explain "prohibition of unlicensed operation of on-site motor vehicles" and "intersection safety rules", and sign the safety commitment letter	Human Resources Department + Warehousing Department
On-site Warning Signs	Starting from October 27, 2023	All personnel entering the warehouse	Set up an "incident warning wall" at the intersection of Passage 3 / 4, pasting on-site photos, cause analysis, and rectification measures (retained for a long term)	Warehousing Department
New Employee Training Materials	Starting from November 1, 2023	All new employees	Incorporate the incident case into the <i>New Employee HSE Training Manual</i> , with supporting practical courses on "equipment inspection and temporary employment management"	Human Resources Department + Safety and Environmental Protection Department

## VIII. Report Approval and Follow-up

### (I) Approval Process

Approval Process	Approver	Approval Opinion	Signature	Date
Department Preliminary Review	Zhang Xiaomeng (Manager of the Warehousing Department)	The incident process is true, the cause analysis is in-depth, and the rectification measures are feasible. Agree to submit.		October 27, 2023
Safety Review	Li Jie (Manager of the Safety and Environmental Protection Department)	The responsibility identification is reasonable, and the handling suggestions are compliant. It is necessary to supplement the long-term measure of "monitoring system installation" (already supplemented). Agree to submit.		October 27, 2023
Company Approval	Wang Anji (Deputy General Manager in Charge of Safety)	Agree with the content of the report. Request the Safety and Environmental Protection Department to track the		October 28, 2023

		rectification progress monthly and submit a rectification effect assessment report by the end of December.		
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## (II) Follow-up Plan (Re-inspection Quarterly for 1 Year)

Follow-up Time	Follow-up Content	Follow-up Personnel	Follow-up Method
December 30, 2023	Check the implementation of medium-term rectification (equipment inspection, temporary worker ledger, intersection facilities)	Li XX + Zhang XX	1. Randomly check the inspection records of 5 forklifts; 2. Verify the temporary worker qualification database; 3. On-site inspection of convex mirrors / speed bumps
March 30, 2024	Evaluate the effect of long-term measures (KPI implementation, monitoring system installation, drill implementation)	Li XX + Wang XX	1. Analyze the performance data from January to March 2024; 2. Test the functions of the forklift monitoring system; 3. Review the drill evaluation report
June 30, 2024	Verify the effect of case sharing (awareness rate of new employees, violation rate of temporary workers)	Li XX + Human Resources Department	1. Randomly check the case assessment of 20 new employees; 2. Count the number of temporary worker violations from January to June 2024
September 30, 2024	Summarize the overall rectification effect, form the <i>Incident Rectification Assessment Report</i> , and submit it to the General Manager's Office for review	Li XX	1. Compare the incident occurrence rate before and after rectification; 2. Evaluate the input-output ratio of the monitoring system and qualification database

## IX. Attachment List

- Attachment 1: On-site incident photos (5 photos: forklift scratch, tractor scratch, panoramic view of the intersection, horn inspection, temporary worker ledger);
- Attachment 2: On-site schematic diagram (1 copy: marking collision position, visibility blind area, and facility layout);
- Attachment 3: Equipment inspection records (forklift horn inspection report, tractor maintenance ledger, special equipment inspection list);
- Attachment 4: Personnel interview records (interview transcripts of Zhao XX, Liu XX, Zhou XX, and the temporary worker, with signatures);
- Attachment 5: Responsibility handling documents (written warning, circulation of criticism, performance deduction notice, dismissal certificate);

6. Attachment 6: Rectification measure tracking form (including completion status, verification records, and signatures of responsible persons);
7. Attachment 7: Relevant company systems (*On-site Motor Vehicle Operation Specifications, Temporary Employment Safety Management Regulations, HSE Responsibility Investigation System*, with cited clauses marked);
8. Attachment 8: Monitoring video clip (1 copy: intersection monitoring from 14:28 to 14:30, burned to CD).