



Cladding Technology Shanxi Co., Ltd

HSE Corrective and Preventive Measures Notice

Notice No.: CLADDING-HSE-PD-61

Associated Incident No.: CPPMEC-HSE-PD-60

Issuing Department: Quality, Safety and Environmental Protection Department

Receiving Departments: Warehousing and Transportation Department, Equipment Management Department, Human Resources Department, Administration and Logistics Department

I. Incident Association and Problem Overview

(I) Brief Description of Associated Incident

At 14:30 on October 25, 2023, a near-miss incident involving a scrape between a forklift (Model CPCD30) and an unlicensed battery-powered tractor occurred at the intersection of Area 3 Heavy Cargo Storage Zone and Passage 4 in the First Central Warehouse of the Warehousing and Transportation Department. This incident exposed the following core issues:

1. Inadequate maintenance of special equipment: The forklift horn malfunction was not reported for repair in a timely manner, resulting in failure of the safety device;
2. Loopholes in temporary labor management: The battery-powered tractor driver operated without a license and had not completed HSE onboarding training;
3. Lack of on-site risk control: There were visibility blind spots at the intersection, no mandatory warning facilities, and insufficient coordination among multiple operation teams;
4. Weak safety awareness of personnel: The forklift driver failed to implement the "slow down, look around, and proceed" rule, and the commander did not fulfill supervision responsibilities.

(II) Purpose of the Notice

1. Immediately rectify existing hidden dangers and eliminate residual risks from the incident;
2. Establish a long-term mechanism to prevent similar issues such as "special equipment operating with faults, unlicensed operation, and insufficient control of on-site blind spots".

II. Corrective Measures (Addressing Current Hidden Dangers, to be Completed by November 5)

Serial No.	Problem Description (Corresponding to Direct Causes of the Incident)	Content of Corrective Measures (Operable and Verifiable)	Responsible Department	Cooperating Department	Completion Deadline	Verification Method	Acceptance Criteria
1	Forklift horn malfunction not reported for repair; similar potential risks may exist in safety devices of special equipment across the company	1. The Equipment Management Department shall take the lead in conducting a special inspection of safety devices for all 12 on-site motor vehicles (6 forklifts, 4 cranes, 2 battery-powered tractors) in the company, focusing on checking horns,	Equipment Management Department	Quality, Safety and Environmental Protection Department	2023.11.02	1. Verify the inspection ledger and maintenance records; 2. Conduct on-site tests on 3 randomly selected pieces of equipment (e.g., horn volume, brake sensitivity)	1. 100% inspection coverage, no missing equipment; 2. 100% repair qualification rate for faulty equipment, complete re-inspection records; 3. Complete ledger elements (equipment number, inspector, date)

		<p>brakes, reverse alarms, and lights;</p> <p>2. Immediate ly cease operation of equipment found with malfunction s (e.g., the involved forklift) and only allow it to resume operation after qualified maintenan ce and re- inspection by the Quality, Safety and Environm ental Protection Departme nt; 3. Establish the <i>Special Equipmen t Safety Device Inspection Ledger</i> to record equipment numbers,</p>					
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		inspection results, and maintenance status.					
2	Temporary workers operating without licenses; onboarding training failing to cover key safety requirements	1. The Human Resources Department shall immediately dismiss the involved unlicensed temporary workers, conduct qualification verification for 35 existing temporary workers, focusing on special operation qualifications such as on-site motor vehicle driving and hazardous chemical handling; 2. Organize special supplements	Human Resources Department	Warehousing and Transportation Department	2023.11.05	1. Verify dismissal records and qualification ledgers; 2. Randomly check 10 temporary workers' training assessment papers (passing score ≥80 points)	1. 100% dismissal rate of unlicensed personnel, no omissions; 2. 100% coverage of supplementary training, 100% assessment pass rate; 3. Real-time ledger updates, effective early warning for qualification validity periods

		<p>ntary training (including <i>Warehouse Traffic Rules and Special Equipment Operation Taboos</i>) for temporary workers who need to engage in auxiliary operations but lack qualifications, and issue <i>Temporary Operation Permits</i> only after passing the assessment; 3. Establish the <i>Temporary Worker Qualification Ledger</i> to dynamically update qualification validity periods; suspend</p>					
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		onboarding for those with expired qualifications not re-verified.					
3	No warning facilities for visibility blind spots at intersections; no control over pedestrian and vehicle traffic	1. The Warehousing and Transportation Department shall install "STOP" warning signs (1.2m high, reflective material), speed bumps (50cm wide, 5cm high), and convex wide-angle mirrors (80cm in diameter, installed at 2.5m height) at all 8 intersections in the warehouse; 2. Re-plan the pedestrian	Warehousing and Transportation Department	Administration and Logistics Department	2023.1 1.03	1. On-site inspection of warning facility installation (100% coverage); 2. Verify route planning drawings and notice board content	1. Warning facilities in good condition (no obstruction of wide-angle mirrors, stable speed bumps); 2. Clear pedestrian-vehicle separation, no cross-interference; 3. Real-time update of notice board information, no delay

		<p>-vehicle separation route for Passage 4, use yellow markings to divide "motor vehicle lanes (3m wide)" and "pedestrian lanes (1.5m wide)", and install isolation barriers (80cm high); 3. Set up an "Operation Area Notice Board" at the entrance of Area 3 to display real-time information on the current operation team, operation scope, and contact person.</p>					
4	Involved personnel failing to	1. The Warehousing and	Warehousing and Transport	Quality, Safety and	2023.1 1.04	1. Verify re-training	1. Involved personnel

	<p>operate in compliance with safety regulations; need to strengthen warning education</p>	<p>Transportation Department shall organize the involved personnel (Zhao Xiaomeng , Liu Jie) to participate in 16-hour special re-training on "Special Equipment Operation Specifications", including practical assessments on forklift intersection passage and command gestures; 2. Conduct an incident case warning education meeting for all department employees</p>	<p>ation Department</p>	<p>Environmental Protection Department</p>		<p>records and assessment results (practical score ≥90 points); 2. Check the warning education attendance sheet and reflection materials</p>	<p>pass re-training assessment, no re-offenses; 2. 100% coverage of warning education , complete employee reflection materials; 3. Accurate records in the violation ledger, linked to assessments</p>
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		(covering 120 people), play on-site incident videos, and have the involved personnel share their reflections ; 3. Establish a "Violation Record Ledger" and include the violation behaviors of personnel involved in this incident in the annual HSE assessment.					
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III. Preventive Measures (Establishing a Long-term Mechanism, to be Completed by March 31, 2024)

Serial No.	Root Cause of the Problem	Content of Preventive Measures (Systemati	Responsible Department	Cooperating Department	Completion Deadline	Verification Method	Expected Outcome
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	(Corresponding to the Root Cause of the Incident)	Short and Long-term)					
1	Inadequate implementation of special equipment maintenance systems, lack of assessment constraints	1. The Equipment Management Department shall revise the <i>Special Equipment Management System</i> , adding "monthly inspection requirements for safety devices" (clarifying inspection items, responsible persons, and penalty standards for non-compliance); 2. Incorporate "special equipment inspection completion rate and	Equipment Management Department	Human Resources Department, Information Department	2024.01.31	1. Verify the revised system document; 2. Check the January 2024 KPI assessment records; 3. Test the system reminder function	1. Inspection completion rate $\geq 98\%$, fault repair timeliness rate $\geq 95\%$; 2. System implementation supported by assessment, no equipment "operating with faults"; 3. 100% system coverage, no manual omissions

		<p>fault repair timeliness rate" into the monthly KPI of the Equipment Department (15% weight), with department performance deduction of 500-1000 yuan per failure to meet standards;</p> <p>3. Develop a "Special Equipment Management System" with inspection reminders (pushed to responsible persons 3 days before expiration) and automatic statistics of inspection</p>				
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		completion status.					
2	Lack of safety management system for temporary workers, incomplete training and assessment loop	1. The Human Resources Department shall revise the <i>Temporary Worker HSE Management Measures</i> , clarifying full-process requirements for "qualification verification → onboarding training → practical assessment → on-site supervision → offboarding evaluation"; 2. Develop a "Temporary Worker Training Module" (including courses	Human Resources Department	All Business Departments	2024.02.28	1. Verify the revised management measures; 2. Randomly check training module courses and assessment records; 3. Check supervisor logs	1. 100% full-process control of temporary workers, no unlicensed operation; 2. 100% training assessment pass rate, qualified practical operation skills; 3. 100% performance of supervisors' duties, timely termination of violations

		<p>on on-site motor vehicle safety and warehouse operation risks), implementing dual assessments of "online learning + offline practical operation"; those who fail shall be prohibited from onboarding; 3. Require each employing department to designate a "Temporary Worker Safety Supervisor" (who must complete special training), record temporary workers' operation behaviors</p>					
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		daily, and immediately stop any violations.					
3	Inadequate dynamic control of on-site risks, unordered coordination among multiple operation teams	1. The Quality, Safety and Environmental Protection Department shall take the lead in conducting a "risk re-identification" for all operation areas in the warehouse, focusing on updating risk points such as "intersection traffic and multi-team cross-operation", and formulating the <i>On-site Risk Control List</i> (including	Quality, Safety and Environmental Protection Department	Warehousing and Transportation Department	2024.03.15	1. Verify the risk identification report and control list; 2. Randomly check cross-operation applications and approval records; 3. Check pre-shift meeting communication records	1. 100% coverage of on-site risk identification, implemented control measures; 2. 100% approval rate for cross-operation, no coordination conflicts; 3. 100% communication rate in pre-shift meetings, employees with adequate risk awareness

		<p>control measures and responsible persons);</p> <p>2. The Warehousing and Transportation Department shall establish a "work permit coordination mechanism"; when multiple teams operate in the same area, a <i>Cross-operation Application</i> must be submitted 1 day in advance, clarifying the operation time, scope, and coordinator, with approval by the department manager;</p>					
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		3. Add a "risk communication" session to the daily pre-shift meeting, clarifying the day's operation risks and control requirements, with all employees signing for confirmation.					
4	Weak cultivation of safety culture, insufficient compliance awareness of employees	1. The Human Resources Department shall formulate the <i>HSE Safety Culture Construction Plan</i> , conducting quarterly "safety skill competitions" (e.g., standard forklift operation, emergency	Human Resources Department	Quality, Safety and Environmental Protection Department, Warehousing and Transportation Department	2024.03.31	1. Verify the culture construction plan and activity records; 2. Randomly check review meeting minutes and employee participation; 3. On-site inspection of the safety	1. Safety activity participation rate $\geq 90\%$, improved employee enthusiasm; 2. Employees proactively participating in risk control, 30% increase in hidden danger reports; 3. Strong safety

		<p>response) and "hidden danger snapshot" activities, with rewards (performance points, material rewards) for outstanding participants; 2. The Quality, Safety and Environmental Protection Department shall organize a "typical incident review meeting" twice a year, inviting employees to participate in cause analysis and measure formulation to enhance engagement</p>				<p>culture wall</p>	<p>culture atmosphere, significantly enhanced compliance awareness</p>
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		<p>nt; 3. Set up a "safety culture wall" in prominent locations of the warehouse, displaying compliance operation cases, violation warnings, and employee safety commitments.</p>					
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IV. Responsibility Assignment and Tracking Requirements

(I) Responsibility System

1. Leading Department: Quality, Safety and Environmental Protection Department, responsible for overall tracking, verification, and progress reporting of measures, and submitting the *Measure Implementation Progress Report* to the company's HSE Committee before the 5th of each month;
2. Implementing Departments: Warehousing and Transportation Department, Equipment Management Department, Human Resources Department, responsible for implementing measures within their respective departments, and designating dedicated personnel (department safety officers) to update progress daily;
3. Supervising Department: Company HSE Committee, conducting on-site supervision once every two weeks, and issuing a notice of criticism to departments that fail to advance as planned.

(II) Verification and Closure

1. Verification of Corrective Measures: From November 6 to 8, 2023, the Quality, Safety and Environmental Protection Department shall organize cross-acceptance, jointly with the

Equipment Department and Human Resources Department to randomly check the implementation of measures, and form the *Corrective Measures Acceptance Report*;

2. Verification of Preventive Measures: From April 1 to 5, 2024, conduct an effectiveness assessment of preventive measures, verifying the mechanism effectiveness through "on-site inspection, data statistics (e.g., inspection completion rate, violation rate), and employee interviews";
3. Penalty for Non-completion: For departments that fail to complete measures on time, deduct 1,000 yuan from the department's performance for each day of delay, and the person in charge shall submit a written self-criticism to the company's HSE Committee.

V. Approval and Distribution

Approval Process	Approver	Position	Approval Opinion	Signature	Date
Department Review	Chen Wei	Manager of Quality, Safety and Environmental Protection Department	The measures are highly targeted, with clear responsibility assignment. Agree to issue.		2023.10.28
Company Approval	Wang Anji	Deputy General Manager in Charge of Safety	Must advance in strict accordance with the plan to ensure hidden danger closure and long-term mechanism establishment. Agree to issue.		2023.10.28

Distribution Scope: Warehousing and Transportation Department, Equipment Management Department, Human Resources Department, Administration and Logistics Department, Company HSE Committee, Filing (Quality, Safety and Environmental Protection Department)

Retention Period: 5 years (until October 28, 2028)

Attachments:

1. Template of Special Equipment Safety Device Inspection Ledger;
2. Template of Temporary Worker Qualification Ledger;

3. On-site Risk Control List