Cladding Technology Shanxi Co., Ltd

HSE Risk Change Management Procedure

Document No.: CLADDING-HSE-RM-09

1 Purpose

To standardize the Health, Safety and Environment (HSE) risk change management process of the Company, identify, assess and control potential HSE risks arising from changes, prevent the introduction of new hazards or occurrence of accidents due to changes, establish a closed-loop management mechanism of "pre-identification, in-process control and post-verification", guard against safety accidents, environmental pollution and compliance issues caused by changes, safeguard the life and property safety of employees, the integrity of Company assets and ecological environment safety, and meet the requirements of *PIPING SYSTEM PTE LTD HSE Management System Requirements*, *COMPANY HSE Risk Control Specifications* and relevant laws and regulations. This procedure is hereby formulated.

2 Scope of Application

This procedure applies to all departments (Procurement Department, Supply Department, Equipment Department, Warehousing Center, Transportation Management Department, Quality, Safety and Environmental Protection Department, etc.), subordinate branches, project departments and all employees of Pipeline Materials and Equipment Co., Ltd., covering all permanent or temporary changes that may cause HSE risks in production and operation activities, including but not limited to:

2.1 Business-Related Changes

• Changes in procurement material specifications, models, materials, technical standards, and replacement of materials/chemicals;

• Changes in supplier (including carriers, warehousing service providers, contractors) access, replacement or withdrawal;

• Changes in procurement batch, delivery cycle and acceptance standards;

• Changes in material transportation routes, transportation methods (road/railway/pipeline/marine), and loading methods;

• Changes in warehousing locations, storage conditions (temperature, humidity, protective measures) and stacking methods.

2.2 Equipment & Technology-Related Changes

• Changes in models, technical parameters, structures or materials of procured/leased equipment (hoisting equipment, transportation vehicles, warehousing equipment, etc.);

• Changes in equipment modification, upgrading, overhaul, and safety/ environmental protection facilities, instrument control systems;

• Changes in process routes, process parameters, and equipment operation procedures, maintenance standards.

2.3 Management & Personnel-Related Changes

• Revision of HSE management systems, operating procedures, emergency plans, and changes in operation methods, work processes;

• Adjustments to organizational structure, personnel post changes, and changes in HSE management functions;

• Changes in employee training plans, HSE competence requirements, and personnel qualifications.

2.4 Other Changes

• Changes in working environment (e.g., renovation of warehousing areas, relocation of operation sites);

• Updates to laws and regulations, industry standards, and HSE management requirements of superior units;

• Rectification-related changes triggered by accidents/incidents;

• Changes in auxiliary materials such as catalysts, additives, and packaging materials.

3 Terms and Definitions

3.1 HSE Risk Change

Refers to various changes that may affect the effectiveness of the Company's HSE management system operation, increase the level of existing HSE risks, or generate new HSE risks, including technical changes, management changes, material changes and other changes.

3.2 Technical Change

Refers to adjustments involving process routes, equipment and facilities, technical parameters, safety and environmental protection facilities, which may change the existing HSE risk status.

3.3 Management Change

Refers to adjustments involving management systems, operating procedures, organizational structure, personnel posts and work processes, which may affect HSE management efficiency.

3.4 Material Change

Refers to the replacement of raw materials, auxiliary materials, chemicals, catalysts, packaging materials, etc., which may introduce new hazards.

3.5 Major Change

Refers to changes that may generate major HSE risks (involving major hazard sources or significant environmental aspects), require substantial capital investment, affect the operation of the management system, and need to be approved by the Company's top management (see Appendix A for specific criteria).

3.6 General Change

Refers to changes that may generate medium HSE risks, have an impact scope limited to a single department or device, and can be controlled through existing management measures, requiring approval at the department level.

3.7 Minor Change

Refers to changes with low risks or no new risks (similar replacement or simple adjustment), with an extremely limited impact scope, requiring approval at the team level and filing with the Quality, Safety and Environmental Protection Department.

3.8 Change Applicant

Refers to the department or individual initiating the change request, responsible for submitting the change application and relevant technical materials and plans.

3.9 Change Verifier

Refers to the person responsible for verifying the implementation effect of the change and the effectiveness of HSE risk control (HSE specialist or designated person by the approval department).

4 Responsibility Assignment

4.1 Company Top Management / Management Representative

• Approve the HSE risk assessment report for major change projects;

• Ensure the provision of necessary resources (personnel, funds, equipment) for change management;

• Supervise the implementation effect of the change management procedure and regularly listen to change management work reports.

4.2 Quality, Safety and Environmental Protection Department (Centralized Management Department)

• Formulate and revise this procedure in a coordinated manner, and organize special training on change management;

• Supervise the implementation of the Company-wide change management process, and organize or participate in HSE risk assessment for change projects;

• Review the risk assessment report for major changes and supervise the implementation of control measures during the change process;

• Establish and maintain the change management ledger, and organize the review and improvement of change management effectiveness;

• Verify the change acceptance results and confirm the change closure conditions.

4.3 Change Applicant Department / Unit

• Responsible for initiating change applications and filling out the *HSE Risk Change Application Form* (Appendix B);

• Provide technical materials, plans and preliminary risk analysis related to the change;

• Participate in change risk assessment and implement change control measures;

• Organize training, document revision and material preparation before change implementation;

• Conduct self-inspection after change implementation and submit a summary report on change implementation.

4.4 Change Approval Department

• Review the necessity, feasibility and technical rationality of the change project;

• Organize risk assessment for the change project and approve the change implementation plan;

• Supervise the change implementation process and confirm the change acceptance results and closure conditions.

4.5 Suppliers / Carriers / Contractors

• Proactively inform the Company of changes related to their own HSE management (e.g., qualification invalidation, safety system adjustment);

• Cooperate with the Company in risk assessment, implementation and verification related to changes;

• Implement HSE management measures and personnel training after changes in accordance with the Company's requirements.

4.6 Relevant Functional Departments

4.6.1 Engineering Technology Department

• Responsible for reviewing technical changes (process routes, technical parameters, equipment structures);

• Provide technical support and assess the impact of changes on process safety;

• Participate in risk assessment and acceptance of technical changes.

4.6.2 Equipment Management Department

• Responsible for reviewing equipment and facility changes (models, parameters, modification and overhaul);

• Assess the impact of changes on equipment safety performance and provide technical support for equipment maintenance;

• Participate in risk assessment and acceptance of equipment-related changes.

4.6.3 Human Resources Department

• Responsible for reviewing personnel and organizational structure changes;

• Assess the HSE competence requirements for personnel after changes and formulate special training plans;

• Confirm personnel post qualifications and training effectiveness after changes.

4.6.4 Procurement Department

• Responsible for reviewing supplier and material changes;

• Provide safety information such as Safety Data Sheets (SDS) for changed materials;

• Verify supplier HSE qualifications and participate in risk assessment of supplier changes.

4.7 All Employees

• Promptly report potential HSE risk changes to the respective department or the Quality, Safety and Environmental Protection Department when identified;

• Participate in risk assessment, training and implementation related to changes;

• Implement the revised operating procedures and risk control measures after changes, and feedback problems encountered during implementation.

5 Management Procedures

5.0 Classification and Level Determination of Changes

5.0.1 Change Classification

Changes are classified into technical changes, management changes, material changes and other changes based on their nature (see Appendix A for specific classification criteria):

• Technical Changes: Adjustment of process parameters, equipment modification, upgrading of safety and environmental protection facilities, etc.;

• Management Changes: Revision of systems, organizational adjustment, process optimization, personnel post changes, etc.;

• Material Changes: Replacement of raw materials/chemicals, change of packaging materials, update of catalysts, etc.;

• Other Changes: Update of laws and regulations, renovation of working environment, adjustment of emergency resources, etc.

5.0.2 Level Determination

After the change applicant department submits the application, the Quality, Safety and Environmental Protection Department (for major/general changes) or team leader (for minor changes) shall determine the level within 1 working day based on the following criteria:

• Major Changes: Involving major hazard source control, requiring re-conduct of safety assessment, affecting the surrounding environment or communities, and requiring external approval and filing (Appendix A);

• General Changes: Involving general hazard sources, adjustment within existing parameter ranges, impact scope limited to a single department, and controllable through existing measures (Appendix A);

• Minor Changes: Replacement of similar equipment/materials, no impact on control systems, no new risks, and controllable through routine management (Appendix A).

5.1 Identification and Application of Changes

5.1.1 Identification Trigger Conditions

Relevant departments shall initiate change identification when the following situations occur:

• Adjustment of business plans, technical upgrading, changes in market demand or adjustment of material supply;

• Update of laws and regulations, industry standards and superior HSE management requirements;

• Occurrence of safety accidents, environmental pollution incidents or compliance issues;

• Change requests from suppliers/contractors or employee feedback on HSE hazards;

• Equipment aging, outdated processes requiring modification, or insufficient emergency resources requiring supplementation.

5.1.2 Application Submission

The change applicant shall fill out the *HSE Risk Change Application Form* (Appendix B), specifying the following contents:

• Basic change information (name, type, level, scope involved, application date);

• Reasons for change (business needs, compliance requirements, problem rectification, technical upgrading, etc.);

• Specific content of change (original status, proposed changed status, implementation timeline, expected objectives);

• Supporting materials (technical plans, SDS, qualification certificates, clauses of laws and regulations, etc.);

• Preliminary risk analysis (potential HSE risks, affected objects and effectiveness of existing control measures).

After being signed and confirmed by the department head, the application form shall be submitted to the Quality, Safety and Environmental Protection Department (for major/general changes) or the team leader (for minor changes).

5.2 Acceptance of Changes

5.2.1 Acceptance Review

The Quality, Safety and Environmental Protection Department or team leader shall complete the review within 2 working days after receiving the application:

• Complete materials and meet requirements: Accept the application, specify the approval process, timeline and participating departments;

• Incomplete materials: Inform the applicant to supplement materials at one time (e.g., missing technical plans, incomplete risk analysis);

• Beyond jurisdiction: Reject the application, explain the reason and guide to the corresponding management department.

5.2.2 Acceptance Feedback

The review result shall be notified to the change applicant in writing or through the system. For major changes, relevant functional departments (Engineering Technology Department, Equipment Management Department, etc.) shall be notified simultaneously.

5.3 Risk Assessment of Changes

5.3.1 Assessment Organization

• Major Changes: The Quality, Safety and Environmental Protection Department takes the lead, and an assessment team is established with relevant functional departments, technical experts and supplier representatives;

• General Changes: The change applicant department takes the lead, and the Quality, Safety and Environmental Protection Department and relevant functional departments send personnel to participate;

• Minor Changes: The change applicant department organizes team backbones and HSE specialists to conduct the assessment.

5.3.2 Assessment Content

• Identify new hazards (physical, chemical, biological hazards, etc.) that may be introduced by the change;

• Assess the impact of the change on existing risk control measures (whether they become invalid or need supplementary adjustment);

• Analyze the potential impact of the change on personnel (health, operation safety), equipment (operation safety, service life) and environment (pollution risks, ecological impact);

• Assess the changes in emergency preparedness and response requirements after the change (plan revision, resource supplementation, drill needs);

• Verify whether the change complies with laws and regulations, industry standards and the Company's HSE management system requirements.

5.3.3 Assessment Methods

Select applicable methods based on the change type:

• Technical Changes: Hazard and Operability Analysis (HAZOP), Failure Mode and Effects Analysis (FMEA);

• Management Changes: Job Safety Analysis (JSA), Checklist Method;

• Material Changes: Risk Matrix Method (Likelihood × Severity), SDS Comparison Analysis;

• Minor Changes: Simple Risk Assessment Form (Appendix C).

5.3.4 Assessment Report

Compile the *HSE Risk Assessment Report* (Appendix C) within 3 working days after the assessment is completed, specifying:

• Risk level (High/Medium/Low) and determination basis;

• Risk control measures (engineering and technical measures, management measures, personal protection, training, emergency measures);

• Responsible department, responsible person and time limit for implementing measures;

• Assessment conclusion (feasibility of the change, supplementary conditions required).

5.4 Approval of Changes

5.4.1 Approval Process

• Major Changes: *Change Application Form* + *Risk Assessment Report* → Review by applicant department head → Joint review by relevant functional departments → Review by Quality, Safety and Environmental Protection Department → Review by Management Representative → Approval by Company Top Management;

• General Changes: *Change Application Form* + *Risk Assessment Report* → Review by applicant department head → Joint review by relevant functional departments → Approval by Quality, Safety and Environmental Protection Department;

• Minor Changes: *Change Application Form* + Simple Risk Assessment Form → Approval by team leader → Filing with department HSE specialist → Retention by Quality, Safety and Environmental Protection Department.

5.4.2 Approval Requirements

• Approvers shall complete the approval within 3 working days (extended to 5 working days for major changes if necessary);

• Approval opinions shall clearly state: Approval for implementation, Re-submission after revision, or Disapproval, with reasons explained;

• For major changes involving high risks, they shall be submitted to the Company's HSE Committee for deliberation before approval;

• Approvers shall verify the feasibility of risk control measures and the availability of resources.

5.4.3 Approval Result Feedback

The Quality, Safety and Environmental Protection Department or applicant department shall feedback the approval result to the applicant within 1 working day:

• Approval for implementation: Specify implementation requirements, monitoring nodes and acceptance standards;

• Re-submission after revision: List the contents and time limit for supplementation and improvement;

• Disapproval: Explain the reason and propose suggestions for alternative solutions.

5.5 Preparation for Change Implementation

5.5.1 Plan Compilation

Based on the approval opinions, the applicant shall compile the *Change Implementation Plan* within 5 working days, specifying:

• Implementation steps, responsible persons, timeline and milestones;

• Resource allocation (personnel, equipment, funds, materials, technical support);

• Specific requirements for implementing risk control measures (e.g., equipment testing, installation of protective facilities);

• Emergency response plan (for sudden HSE incidents such as leakage and equipment failure that may occur during implementation).

5.5.2 Document Revision and Training

• Document Revision: Update relevant documents (process flow diagrams, equipment ledgers, operating procedures, emergency plans, training materials), and release them after review by the Quality, Safety and Environmental Protection Department;

• Training Implementation: Conduct special training on the change content (operation skills, risk identification, emergency response) for internal employees and supplier/contractor personnel. Only those who pass the training assessment are allowed to participate in the change implementation;

• Notification and Publicity: Publicize change information at operation sites and office areas to ensure relevant personnel are aware of the change content and risk control requirements.

5.5.3 Material and Facility Preparation

• Prepare materials, equipment and safety protection facilities required for the change (e.g., protective clothing, detectors, emergency equipment) to ensure compliance with HSE standards;

• Conduct acceptance and safety performance testing on newly put-into-use equipment and materials (e.g., equipment pressure test, material toxicity test);

• Inspect the working environment of the operation site and eliminate potential hazards before implementation (e.g., clear obstacles, set up warning signs).

5.6 Implementation of Changes

5.6.1 Implementation Monitoring

• The change implementation shall strictly implement the work permit system (e.g., hot work permit, work-at-height permit);

• The responsible person shall track the implementation process throughout to ensure compliance with the plan and risk control measures;

• The Quality, Safety and Environmental Protection Department shall conduct on-site supervision (daily inspection) for the implementation of major changes, and spot checks (at least once) for the implementation of general changes;

• If adjustments to the change content are required during implementation, the "application-assessment-approval" process shall be re-implemented. Unauthorized changes are strictly prohibited.

5.6.2 Process Recording

Record the change implementation process in detail:

• Key operation steps, technical parameters and test data;

• Implementation status of risk control measures (e.g., number of trained personnel, installation status of protective facilities);

• Problems encountered during implementation and handling measures;

• Signatures of participating personnel for confirmation, and form the *Change Implementation Record Form* (Appendix D).

5.7 Acceptance and Closure of Changes

5.7.1 Acceptance Timing

Initiate acceptance within 5 working days after the completion of change implementation (extended to 10 working days for major changes if necessary).

5.7.2 Acceptance Organization

• Major Changes: Led by the Company Top Management or Management Representative, with participation of the Quality, Safety and Environmental Protection Department, relevant functional departments and the applicant department;

• General Changes: Led by the Quality, Safety and Environmental Protection Department, with participation of the applicant department and relevant functional departments;

• Minor Changes: Led by the applicant department, with participation of the team leader and HSE specialist.

5.7.3 Acceptance Content

• Whether the change is completed in accordance with the approved plan (implementation scope, technical parameters, timeline);

• Whether the risk control measures are effectively implemented and whether the risks after the change are reduced to an acceptable level;

• Whether relevant documents have been updated and communicated to relevant personnel;

• Whether personnel training is qualified and whether operation skills meet requirements;

• Whether emergency resources are in place and whether emergency plans are feasible (conduct emergency drills if necessary for verification).

5.7.4 Acceptance Methods

Adopt on-site inspection, data monitoring (e.g., environmental testing, equipment performance testing), personnel interviews, document verification, emergency drills and other methods, and form the *Change Acceptance Report* (Appendix E).

5.7.5 Change Closure

A change can be closed only if the following conditions are met:

• The conclusion of the *Change Acceptance Report* is "Qualified" with no unresolved issues;

• All control measures in the risk assessment report are implemented, and the verification effect meets requirements;

• Relevant records (application form, assessment report, implementation record, acceptance report) are complete and intact;

• Change information is entered into the change management ledger, and materials are archived.

5.7.6 Handling of Remaining Issues

For remaining issues identified during acceptance, a *Rectification Plan* shall be formulated (specifying responsible persons, rectification measures and time limits). Re-acceptance shall be conducted after the rectification is completed until the closure conditions are met.

5.8 Management of Special Changes

5.8.1 Emergency Changes

Changes that need to be implemented urgently due to emergencies (e.g., equipment failure, safety hazards, natural disasters):

• Necessary risk control measures may be taken first (e.g., shutdown, isolation of hazard sources) to prioritize personnel safety;

• Supplement the change application, risk assessment and approval procedures within 24 hours after the change implementation;

• Record the reasons for the emergency change, implementation process, control measures adopted and post-implementation effect assessment;

• Organize a review and analysis within 1 week after the implementation of the emergency change to optimize the change management process.

5.8.2 Temporary Changes

Temporary changes with a validity period not exceeding 3 months (e.g., temporary replacement plans during equipment maintenance):

• Clearly specify the change period, application conditions and scope of restriction (e.g., limited to specific operation scenarios);

• Formulate special risk control measures (e.g., increased inspection frequency, assignment of full-time supervisors);

• Within 1 week before the expiration, the applicant department shall organize an assessment: If the conditions for long-term use are met, handle it in accordance with the permanent change process; if not, restore the original status immediately;

• During the temporary change period, the Quality, Safety and Environmental Protection Department shall strengthen supervision and inspection (at least 2 times per month) to ensure controllable risks.

5.9 Document and Record Management

5.9.1 Document Update

Within 3 working days after the completion of the change, the applicant department shall update the following documents and submit them to the Quality, Safety and Environmental Protection Department for review and filing:

• Technical Documents: Process flow diagrams, equipment ledgers, technical specifications, layout plans;

• Management Documents: Operating procedures, emergency plans, HSE management systems, work permit documents;

• Training Documents: Training materials, assessment question banks, operation manuals;

• Risk Documents: HSE risk assessment reports, hazard source lists, environmental aspect lists.

5.9.2 Record Retention

The Quality, Safety and Environmental Protection Department is responsible for retaining the following change management records for a period of not less than 3 years:

• *HSE Risk Change Application Form* (Appendix B);

• *HSE Risk Assessment Report* (Appendix C);

• *Change Approval Form* (including approval opinions);

• *Change Implementation Record Form* (Appendix D);

• *Change Acceptance Report* (Appendix E);

• Supporting materials such as training records, emergency drill records and test reports.

5.9.3 Ledger Management

The Quality, Safety and Environmental Protection Department shall establish the *HSE Risk Change Management Ledger* (Appendix F), recording the full-process information of changes (application, assessment, approval, implementation, acceptance, closure), update it monthly and report the change management status to the Management Representative.

5.10 Emergency Response

If a sudden HSE incident (e.g., leakage, fire, personal injury) occurs during the change implementation:

• Immediately activate the corresponding emergency plan, organize personnel evacuation and emergency rescue to prevent the situation from expanding;

• Report the incident to the Quality, Safety and Environmental Protection Department and Company leaders immediately;

• After the incident is handled, analyze the cause of the incident and assess the loopholes in the change management process;

• Revise relevant measures (e.g., optimize risk assessment methods, improve emergency plans) to avoid similar incidents from recurring.

6 Supporting Documents

• *HSE Management System Requirements*

• *COMPANY HSE Risk Control Specifications*

• *Company HSE Management System Manual*

• *HSE Hazard Identification, Risk Assessment and Risk Control Planning Management Procedure*

• *HSE Work Permit Management Procedure*

• *HSE Training Management Procedure*

• *HSE Document and Record Control Procedure*

• *HSE Emergency Management Procedure*

• *Supplier HSE Management Measures*

• *Equipment Safety Management Measures*

7 Appendices

Appendix A: Criteria for Classification and Level Determination of HSE Risk Changes

Change Type	Scope of Inclusion	Criteria for Major Changes	Criteria for General Changes	Criteria for Minor Changes
Technical Changes	Adjustment of process parameters, equipment modification, upgrading of safety and environmental	1. Involving adjustment of major hazard source control parameters; 2. Requiring re-conduct of HAZOP analysis; 3. Affecting the surrounding environment/communiti	1. Adjustment within existing process parameter ranges; 2. Local	1. Replacement of similar equipment (consistent model and parameters); 2. Instrument

	protection facilities	es; 4. Requiring approval and filing by government departments	equipment repair and replacement; 3. Impact scope limited to a single device; 4. No external approval required	calibration and routine maintenance ; 3. No change in risk level; 4. Controllable through routine management
Manageme nt Changes	Revision of systems, organizational adjustment, process optimization, personnel changes	1. Major revision of company-level HSE management systems; 2. Major adjustment of organizational structure (involving HSE functions); 3. Changes of key positions (e.g., HSE Director)	1. Revision of department-level management systems; 2. Team personnel adjustment; 3. Local work process optimization; 4. Impact scope limited to a single department	1. Minor adjustment of job responsibiliti es (no change in HSE duties); 2. Optimization of document format; 3. No new risks; 4. No special training required
Material Changes	Replacement of raw materials/chemic als, change of packaging materials	1. Replacement of highly toxic/toxic chemicals; 2. Requiring re-conduct of safety assessment for changed materials; 3. May generate new pollutants; 4. Requiring SDS filing update	1. Replacement of general chemicals (equivalent risk level); 2. Adjustment of packaging material (no impact on safety); 3. Impact scope limited to a single procurement link	1. Replacement of similar materials (different manufacturer s, consistent specification s); 2. Adjustment of packaging specification s (no change in storage requirements); 3. No new hazards; 4.

				No special assessment required
Other Changes	Update of laws and regulations, renovation of working environment	1. Major update of national/industry HSE laws and regulations; 2. Major renovation of operation areas (involving hazard sources); 3. Major adjustment of emergency resources	1. Update of local laws and regulations (minor impact); 2. Local working environment renovation (e.g., lighting upgrading); 3. Supplementary of emergency equipment (quantity adjustment)	1. Update of detailed clauses of laws and regulations (no substantial impact); 2. Update of operation site signs; 3. Routine maintenance of emergency equipment; 4. No impact on risk control

Appendix B: HSE Risk Change Application Form (Template)

Change Name		Change Type	□Technical Change □Management Change □Material Change □Other Change
Change Level	□Major Change □General Change □Minor Change	Applicant Department	
Applicant		Application Date	Year Month Day
Scope Involved	(Departments, personnel, equipment, areas, etc.)	Planned Implementation Period	Year Month Day - Year Month Day

Reasons for Change	(Business needs/compliance requirements/problem rectification/technical upgrading, etc., with list of supporting materials)		
Description of Original Status	(Technical parameters, system content, material specifications, existing control measures, etc.)		
Description of Proposed Changed Status	(Specific content after change, technical parameters, expected objectives, etc.)		
Preliminary Risk Analysis	(Potential HSE risks, affected objects, effectiveness of existing measures)		
Opinion of Department Head	Signature: Date:	Review Opinion of Quality, Safety and Environmental Protection Department (for major/general changes)	Signature: Date:
Remarks			

Appendix C: HSE Risk Assessment Report (Template)

Change Project		Assessment Date	Year Month Day
Members of	(Name, Department, Position)	Assessment Method	□HAZOP □FMEA □JSA □Risk Matrix

Assessment Team			□Checklist □Other
Overview of Change Content	(Brief description of core content and background of the change)		
Results of Hazard Identification	No.	Hazard Type (Physical/Chemical/Biological, etc.)	Cause of Occurrence
	1		
	2		
Risk Level Determination	No.	Hazard Description	Likelihood (High/Medium/Low)
	1		
	2		
Risk Control Measures	No.	Measure Type (Engineering/Management/Protection/Training/Emergency)	Specific Content of Measures
	1		
	2		
Assessment Conclusion	(Feasibility of the change, supplementary conditions required,		

	suggestions)		
Signature of Assessment Team		Approval Opinion (Signature of Top Management required for major changes)	Signature: Date:

Appendix D: Change Implementation Record Form (Template)

Change Name		Implementation Department	
Implementation Responsible Person		Implementation Period	Hour of Year Month Day - Hour of Year Month Day
Implementation Step Record	No.	Step Name	Implementation Time
	1		
	2		
Implementation Record of Risk Control Measures	No.	Content of Measures	Implementation Status (Yes/No/Partial)
	1		
	2		
Problems and Handling During Implementation	No.	Problem Description	Handling Measures
	1		
	2		
Signature of Participating			

Personnel			
Remarks			

Appendix E: Change Acceptance Report (Template)

Change Name		Acceptance Date	Year Month Day
Acceptance Organizing Department		Acceptance Personnel	(Name, Department, Position)
Overview of Change Implementation	(Brief description of implementation completion status and compliance with the plan)		
Acceptance Content and Results	No.	Acceptance Item	Acceptance Standard
	1	Completion Degree of Change	All contents completed in accordance with the approved plan
	2	Risk Control Effect	Risks reduced to acceptable level
	3	Document Update Status	Relevant documents updated and communicated
	4	Personnel Training Status	Training qualified, mastering operation requirements
	5	Emergency Preparation Status	Emergency resources in place, feasible plan

Remaining Issues and Rectification Plan	(Fill in "None" if there are no remaining issues)	No.	Problem Description
		1	
Acceptance Conclusion	□Qualified (Change can be closed) □Unqualified (Re-acceptance required) □Pending Rectification (Re-acceptance after rectification)		
Signature of Acceptance Personnel		Approval Opinion (Signature of Top Management required for major changes)	Signature: Date:

Appendix F: HSE Risk Change Management Ledger (Template)

No.	Change Name	Change Type	Change Level	Application Date	Applicant	Approver	Implementation Date	Acceptance Date	Closure Date	Status (Pending Approval/In Implementation/Pending Acceptance/Closed)	Remarks
1											
2											

Appendix G: Requirements for Change Management Training

G.1 Training Objects

• Management Personnel: Company leaders, department heads, HSE specialists;

• Technical Personnel: Technical personnel of Engineering Technology Department, Equipment Management Department, Procurement Department;

• Operation Personnel: Frontline employees engaged in warehousing, transportation and equipment operation;

• Partner Personnel: Relevant personnel of suppliers, carriers and contractors.

G.2 Training Content

• Requirements of the change management procedure (scope, responsibilities, process);

• HSE risk assessment methods for changes (HAZOP, JSA, Risk Matrix, etc.);

• Approval authority and acceptance standards for changes;

• Management requirements for special changes (emergency/temporary changes);

• Case analysis of typical changes (successful/failed cases).

G.3 Training Frequency

• New Employee Orientation Training: Mandatory content, with employment permitted only after passing the assessment;

• Annual Re-training: Once a year, covering all relevant personnel;

• Training after Procedure Revision: Special training completed within 1 month after the revised procedure is released;

• Training before Major Change Implementation: Completed within 1 week before implementation to ensure relevant personnel master the change requirements.

G.4 Training Records

After the training is completed, fill out the *Change Management Training Record Form*, recording the training time, location, trainer, trainees and assessment results, and file it into the change management records.

8 Supplementary Provisions

8.1 This procedure shall be interpreted by the Company's Quality, Safety and Environmental Protection Department.

8.2 This procedure shall come into force on the date of issuance. In case of any inconsistency between existing relevant provisions and this procedure, this procedure shall prevail.

8.3 This procedure shall be revised once a year, or updated in a timely manner according to changes in laws and regulations, superior requirements and Company business.

8.4 For matters not covered in this procedure, refer to relevant national laws and regulations and relevant management provisions of Cladding Technology Shanxi Co., Ltd.