Cladding-Technology-Shanxi-Co., Ltd

QP-05 Risk and Opportunity Management Procedure

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A/0	2026 年 7 月 23 日	首次发行，建立公司风险与机遇识别、评估、应对及管控全流程体系 First issue, establish full-process system for company risk and opportunity identification,		

1. 目的 PURPOSE

中文：为建立基于风险的思维管理机制，系统识别、分析、评估公司经营、产品质量、过程运行、供应链及体系管理中的各类风险与潜在机遇，制定有效的风险防控措施与机遇转化方案，规避、降低不利影响，放大正向机遇价值；确保质量管理体系能够达成预期结果、实现持续改进，预防不合格及质量事故发生，满足 ISO9001:2015 标准 6.1 风险与机遇管控条款要求。

English：To establish a risk-based thinking management mechanism, systematically identify, analyze and evaluate various risks and potential opportunities in company operation, product quality, process operation, supply chain and system management, formulate effective risk prevention and control measures and opportunity transformation plans, avoid and reduce adverse impacts and amplify positive opportunity value. Ensure that the quality management system can achieve expected results and continuous improvement, prevent non-conformities and quality accidents, and comply with Clause 6.1 risk and opportunity control requirements of ISO9001:2015.

2. 范围 SCOPE

中文：本程序适用于公司质量管理体系覆盖的全部过程与业务活动，涵盖市场经营、客户对接、采购供应链、生产制造、工艺管控、检验试验、设备管理、人员能力、文件记录、内审管理、合规经营等所有环节的风险识别、评估、应对、跟踪及机遇挖掘、转化、评审工作，适用于公司各部门风险与机遇的常态化管控与动态更新。

English：This procedure applies to all processes and business activities covered by the company's quality management system, including risk identification, assessment, response, tracking, as well as opportunity mining, transformation and review in market operation, customer docking, procurement supply chain, production and manufacturing, process control, inspection and testing, equipment management, personnel competence, document records, internal audit and compliance operation. It is applicable to the normalized control and dynamic update of risks and opportunities in all departments.

3. 术语与定义 TERMS AND DEFINITIONS

3.1 风险 Risk

中文：不确定性对目标的影响，指公司在体系运行、产品实现及经营活动中，可能导致质量不合格、交付延误、客户投诉、体系失效、合规偏差等负面结果的不确定因素。

English：The effect of uncertainty on objectives, referring to uncertain factors in system operation, product realization and business activities that may lead to negative results such as quality non-conformity, delivery delay, customer complaints, system failure and compliance deviation.

3.2 机遇 Opportunity

中文：能够助力公司提升产品质量、优化过程效率、增强客户满意度、拓展市场、提升体系成熟度、实现持续改进的有利条件与正向因素。

English：Favorable conditions and positive factors that help the company improve product quality, optimize process efficiency, enhance customer satisfaction, expand market share, upgrade system maturity and achieve continuous improvement.

3.3 风险等级 Risk Level

中文：依据风险发生概率及影响程度划分的风险严重层级，分为高风险、中风险、低风险，用于判定管控优先级与应对力度。

English：Risk severity levels divided according to risk occurrence probability and impact degree, including high risk, medium risk and low risk, used to determine control priority and response intensity.

4. 职责 RESPONSIBILITIES

4.1 最高管理者 Top Management

中文：审批公司整体风险机遇清单、重大风险应对方案及重大机遇转化计划；统筹配置风险防控与机遇落地资源；决策重大风险处置措施，主导公司级风险机遇评审工作。

English：Approve the company's overall risk and opportunity list, major risk response plans and major opportunity transformation plans; coordinate resource allocation for risk prevention and opportunity implementation; decide on major risk disposal measures and lead company-level risk and opportunity review.

4.2 管理者代表 Management Representative

中文：牵头建立风险机遇管理体系；组织各部门开展风险机遇识别与评估；审核风险机遇管控清单及整改转化方案；监督各项应对措施落地有效性，推动体系持续改进。

English：Take the lead in establishing the risk and opportunity management system; organize departmental risk and opportunity identification and assessment; review risk and opportunity control lists and rectification & transformation plans; supervise the implementation effectiveness of various response measures and promote continuous system improvement.

4.3 品控部（归口部门） Quality Department (Centralized Department)

中文：为本程序归口管理部门，负责制定风险机遇识别评估准则；汇总编制公司《风险与机遇管控清单》；组织定期评审、动态更新；跟踪风险整改闭环及机遇转化落地；归档所有管控记录，统筹日常风险机遇管理工作。

English：As the centralized management department of this procedure, responsible for formulating risk and opportunity identification and assessment criteria; compiling the company's Risk and Opportunity Control List; organizing regular review and dynamic update; tracking closed-loop risk rectification and opportunity transformation; filing all control records and coordinating daily risk and opportunity management.

4.4 各业务部门 Each Business Department

中文：负责识别本部门业务范围内的过程风险、质量风险、经营风险及潜在机遇；开展自评并提交风险机遇清单；落实风险防控措施、推进机遇转化实施；配合归口部门开展评审、核查、整改工作。

English：Responsible for identifying process risks, quality risks, operational risks and potential opportunities within the department's business scope; conducting self-assessment and submitting departmental risk and opportunity lists; implementing risk prevention measures and promoting opportunity transformation; cooperating with the centralized department in review, inspection and rectification.

5. 工作程序 PROCEDURE DETAILS

5.1 总体管控原则 General Control Principles

中文：坚持事前预防、事中管控、事后复盘的全周期管理原则；以基于风险的思维贯穿体系策划、过程运行、质量管控及持续改进全过程；风险管控遵循规避、降低、转移、接受分级处置原则；机遇管理遵循识别、评估、策划、落地、增效的闭环转化原则，确保管控全面、措施有效、过程可追溯。

English：Adhere to the full-cycle management principle of pre-prevention, in-process control and post-review; apply risk-based thinking throughout the whole process of system planning, process operation, quality control and continuous improvement; risk control follows the hierarchical disposal principles of avoidance, reduction, transfer and acceptance; opportunity management follows the closed-loop transformation principle of identification, assessment, planning, implementation and efficiency improvement to ensure comprehensive control, effective measures and traceable processes.

5.2 风险与机遇识别 Risk and Opportunity Identification

中文：1. 识别范围：覆盖内外部环境、相关方需求、生产过程、质量管控、采购供应链、设备工装、人员能力、文件记录、客户服务、合规管理、内审及管理评审等所有维度；2. 各部门每季度开展常态化识别，发生工艺变更、客户需求变更、市场波动、法规更新、质量异常等特殊情况时，即时开展专项识别；3. 识别内容需具体、贴合实际，明确风险诱因、潜在影响、机遇优势及增效方向。

English：1. Identification scope: covering internal and external environment, stakeholder requirements, production process, quality control, procurement supply chain, equipment tooling, personnel competence, document records, customer service, compliance management, internal audit and management review; 2. All departments carry out normalized identification quarterly, and conduct special identification immediately in case of process changes, customer demand changes, market fluctuations, regulation updates and quality abnormalities; 3. Identification content shall be specific and practical, with clear risk inducements, potential impacts, opportunity advantages and efficiency improvement directions.

5.3 风险与机遇评估 Risk and Opportunity Assessment

中文：1. 风险评估：采用“发生概率+影响程度”二维评估法，将风险划分为高、中、低三级。高风险为极易发生、影响重大，可导致批量不合格、客户流失、体系失效；中风险为偶发、存在一定质量或经营影响；低风险为概率低、影响轻微，可常规管控；2. 机遇评估：依据收益价值、落地难度、适配性分级，优先推进高价值、易落地的正向机遇；3. 各部门完成自评后提交品控部，由管理者代表组织综合评审，确认最终等级与管控优先级。

English：1. Risk assessment: adopt the two-dimensional assessment method of "occurrence probability + impact degree", and divide risks into high, medium and low levels. High risk refers to highly probable and significant impacts that may cause batch non-conformity, customer loss and system failure; medium risk refers to occasional occurrence with certain quality or operational impacts; low risk refers to low probability and slight impacts with routine controllability; 2. Opportunity assessment: grade according to benefit value, implementation difficulty and adaptability, and prioritize high-value and easy-to-implement positive opportunities; 3. All departments submit self-assessment results to the Quality Department, and the management representative organizes comprehensive review to confirm the final level and control priority.

5.4 风险应对管控措施 Risk Response and Control Measures

中文：1. 高风险：立即启动专项管控，制定专项应急预案与整改方案，48 小时内落实防控措施，专人跟踪、每周复盘，最高管理者审批后执行；2. 中风险：制定常态化预防管控措施，优化作业流程、强化过程巡检，按月跟踪管控有效性，及时消除隐患；3. 低风险：纳入日常常规管理，定期监控，保持现有管控状态，降低波动风险；4. 所有风险应对措施需明确责任人、完成时限、验证方式，形成闭环管控。

English：1. High risk: immediately launch special control, formulate special emergency plans and rectification schemes, implement prevention measures within 48 hours, assign special personnel for tracking and weekly review, and implement after approval by top management; 2. Medium risk: formulate normalized prevention and control measures, optimize operation processes, strengthen process inspection, track control effectiveness monthly and eliminate hidden dangers in a timely manner; 3. Low risk: incorporate into daily routine management, monitor regularly and maintain the current control state to reduce fluctuation risks; 4. All risk response measures shall clarify responsible persons, completion time limits and verification methods to form closed-loop control.

5.5 机遇转化与落地 Opportunity Transformation and Implementation

中文：1. 针对识别评估的各类正向机遇，结合公司经营与质量目标制定专项转化计划，明确实施步骤、资源需求、责任部门及完成周期；2. 技术优化、工艺升级、客户满意度提升、流程提效等机遇优先落地，转化成果纳入部门绩效考核；3. 品控部动态跟踪机遇落地进度，验证转化效果，将有效经验固化为标准流程，持续放大管理与质量效益。

English：1. For all identified and evaluated positive opportunities, formulate special transformation plans combined with the company's operation and quality objectives, clarify implementation steps, resource requirements, responsible departments and completion cycles; 2. Prioritize the implementation of opportunities such as technical optimization, process upgrading, customer satisfaction improvement and process efficiency improvement, and incorporate transformation results into departmental performance assessment; 3. The Quality Department dynamically tracks the progress of opportunity implementation, verifies transformation effects, solidifies effective experience into standard processes, and continuously amplifies management and quality benefits.

5.6 动态更新与定期评审 Dynamic Update and Regular Review

中文：1. 常态化更新：当内外部环境、客户需求、法规标准、生产工艺、供应链状态发生变更或出现质量异常、投诉、不符合项时，即时更新风险机遇清单，补充应对措施；2. 定期评审：每季度开展专项风险机遇评审，年度结合管理评审开展全面复盘，评估管控措施适宜性、有效性；3. 对失效风险、已完成转化的机遇及时清理归档，对新增风险与机遇及时纳入管控，确保清单实时有效。

English：1. Dynamic update: timely update the risk and opportunity list and supplement response measures when internal and external environment, customer requirements, regulations and standards, production processes and supply chain status change, or quality abnormalities, complaints and non-conformities occur; 2. Regular review: conduct special risk and opportunity review quarterly, and complete comprehensive review annually combined with management review to evaluate the suitability and effectiveness of control measures; 3. Timely clean up and file invalid risks and completed transformation opportunities, and incorporate new risks and opportunities into control in a timely manner to ensure the list is real-time and effective.

5.7 效果验证与持续改进 Effect Verification and Continuous Improvement

中文：品控部定期核查风险管控落地效果，统计风险复发率、质量异常率、问题整改闭环率，评估措施有效性。对管控失效、风险反复、转化不达标的项目，分析根本原因，优化应对方案，更新管控标准，形成“识别-评估-应对-验证-优化”的持续改进闭环。

English：The Quality Department regularly verifies the implementation effect of risk control, counts risk recurrence rate, quality abnormality rate and problem rectification closed-loop rate, and evaluates measure effectiveness. For projects with failed control, recurring risks and substandard transformation, analyze root causes, optimize response plans, update control standards, and form a continuous improvement closed-loop of "identification-assessment-response-verification-optimization".

6. 相关文件 REFERENCE DOCUMENTS

中文：1. ISO9001:2015 质量管理体系 6.1 风险与机遇应对；2. QP-03 组织环境与相关方管理程序；3. QP-04 质量目标管理程序

English：1. ISO9001:2015 Quality Management Systems – Clause 6.1 Actions to address risks and opportunities; 2. QP-03 Organization Context and Stakeholder Management Procedure; 3. QP-04 Quality Objective Management Procedure

7. 配套记录 RECORDS & FORMS

中文：

1. QR-05-01 部门风险与机遇识别评估表
2. QR-05-02 公司风险与机遇管控总清单
3. QR-05-03 风险应对与整改实施记录表
4. QR-05-04 机遇转化实施与效果验证表
5. QR-05-05 风险与机遇年度评审报告

English：

1. QR-05-01 Departmental Risk and Opportunity Identification & Assessment Form
2. QR-05-02 Company General Risk and Opportunity Control List
3. QR-05-03 Risk Response and Rectification Implementation Record Form
4. QR-05-04 Opportunity Transformation Implementation and Effect Verification Form
5. QR-05-05 Annual Risk and Opportunity Review Report

8. 附则 SUPPLEMENTARY PROVISIONS

中文：本程序由品控部负责解释，自 2026 年 7 月 23 日起正式生效。公司原有风险管理、机遇管理相关规定与本程序不一致的，以本程序为准。

English：This procedure is interpreted by the Quality Department and takes effect officially on July 23, 2026. If the company's previous relevant provisions on risk and opportunity management are inconsistent with this procedure, this procedure shall prevail.