

# SMR Global Supplier Manual

## Appendix E – GM CSR

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## Appendix E – GM Customer Specific Requirements for Suppliers

**August 24, 2020**

# SMR Global Supplier Manual

## Appendix E – GM CSR



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### SMR Global Supplier Manual - Additional Customer Specific Requirements

#### Scope of this Document

The scope of this document is to ensure compliance to customer requirement by sub-suppliers of SMR Automotive who are supplying for any GM project. This document is listing requirements for these suppliers in addition to standard IATF16949 requirements and in addition to standard SMR requirements.

#### Responsibility

Suppliers who are supplier for SMR of a component for a GM product shall meet all requirements listed in this document during the whole project lifetime. This includes but not limited to:

- Regularly check for updates of this document on [www.smr-automotive.com](http://www.smr-automotive.com)
- Ensure availability and awareness of related GM standards and requirements mentioned in this document □ Ensure requirements are met in their supply chain

#### 1.0 Record Retention (IATF 16949 section 7.5.3.2.1)

Supplier's business records must be maintained as specified in GMW15920. PPAP Records – Production Run + 50 years.

#### 2.0 Customer-Designated Special Characteristics (IATF 16949 section 8.2.3.1.2)

The organization shall follow General Motors Key Characteristic Designation System Process GMW15049.

#### 3.0 Second-party audits (IATF 16949 section 8.4.2.4.1)

Second-party auditors must meet the requirements in clause 7.2.4 Second-Party Auditor Compliance in IATF 16949 (latest revision) plus meet these additional requirements:

1. The organization (2nd party) must be IATF 16949:2016 certified and not on suspension.
2. The organization (2nd party) must be a qualified ISO Lead Auditor, or a qualified internal auditor with evidence of their successful completion of training, and a minimum of five internal ISO/TS16949:2009 and/or IATF 16949:2016 audits under the supervision of a qualified lead auditor.
3. The organization (2nd party) may conduct (2<sup>nd</sup> party) audits of their per their supplier development risk management analysis.
4. For initial certifications, the first second party audit should use the initial days from Table 5.2. For subsequent second party use the recertification days Table 5.2. See Automotive Certification Scheme for IATF 16949 Rules for Achieving and Maintaining IATF Recognition, section 5.2, Table 5.2 Minimum audit days.

#### 4.0 Supplier development (IATF 16949 section 8.4.2.5)

When a supplier to an organization is so small as to not have adequate resources to develop a system according to IATF 16949:2016 or ISO 9001:2015, certain specified elements may be waived by the organization. The organization shall have decision criteria for determining “specially designated small suppliers”. Such decision criteria shall be in writing and applied consistently in the application of this provision. The existence and use of such decision criteria shall be verified by 3rd party auditors.

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NOTE 1: ISO 9001:2015 and IATF 16949:2016 Minimum Automotive Quality Management System Requirements for Sub-Tier Suppliers contain fundamental quality management system requirements of value to any size of provider of production materials, production, service, and accessory parts, or heat treating, plating, painting or other finishing services. There are a number of methods to implement a compliant system, so it is recognized that a simpler Quality Management System approach could be used for the smaller suppliers of organizations to which IATF 16949:2016 clause 8.4.2.3 applies.

NOTE 2: “Small” may also refer to volume supplied to automotive.

### 5.0 Control of Changes (IATF 16949 section 8.5.6.1)

The documented process shall require consideration of a production trial run for every product and process change.

Results of the trial run shall be documented

### 6.0 Customer Satisfaction – Supplemental (IATF 16949 section 9.1.2.1)

#### New Business Hold

The organization shall notify their Certification Body within 5 business days of receiving notice of special status condition of GM New Business Hold – Quality. The Certification Body shall take the decision to place the organization on immediate suspension\* upon receiving notice of GM New Business Hold – Quality (NBH). \*See **Automotive Certification Scheme for IATF 16949, Rules for Achieving and Maintaining IATF Recognition, section 8.3.**

1. In the event of certification suspension as a result of an organization receiving notice of General Motors New Business Hold – Quality, the organization shall complete a corrective action plan. The organization shall submit the corrective action plan to the Certification Body and to the affected customer(s) within 10 business days of the effective date of the NBH.

The corrective action plan of the organization shall be consistent with the affected customer requirements including correction steps, responsibilities, timing information, and key metrics to identify effectiveness of the action plan.

2. Before any suspension can be lifted, the Certification Body shall take the decision to conduct an on-site special audit of appropriate length to verify effective implementation of all corrective actions. The special audit must be conducted within 90 calendar days from the notice of New Business Hold – Quality. • The Certification Body shall issue the certificate in accord with the IATF Rules.

- The Certification Body shall then place the new certificate in immediate suspension with the rules for lifting such suspension appropriately applied.

If suspension is not lifted within the maximum of 110 calendar days from the notice of New Business Hold – Quality, the Certification Body shall withdraw the IATF 16949 certificate of the organization. Exceptions to this withdrawal shall be justified in writing by the Certification Body based upon its on-site review of the effectiveness of the organization’s corrective action plan and agreement obtained in writing from the authorized GM customer representative.

NOTE 1: When an organization is placed in NBH after a recertification (or initial) site audit but before the certificate is issued:

- The Certification Body shall issue the certificate in accord with the IATF Rules.
- The Certification Body shall then place the new certificate in immediate suspension with the rules for lifting such suspension appropriately applied.

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### BIQS Requirements

Suppliers shall achieve and maintain BIQS Level of 3, 4 or 5. The organization whose BIQS Level falls below Level 3 shall notify its Certification Body within 5 business days after falling below the stated requirement. If the organization fails to notify their Certification Body, the Certification Body shall issue a minor non-conformance against IATF 16949:2016, clause 9.1.2.1.

The Certification Body shall issue a major non-conformance against IATF 16949:2016, clause 9.1.2.1, when they are notified (or discover) the organization is at a BIQS Level 1 or 2. The Certification Body shall conduct an on-site special audit.

Suppliers that have not had their initial IATF 16949 certification and are BIQS Level 1 or 2 shall not be issued a nonconformance.

To close this major non-conformance during the on-site special audit, the supplier shall have either 1) achieved BIQS metrics of Level 3, 4 or 5; or 2) a documented action plan, confirmed by the GM SQE or SQE designee, detailing the steps, improvements, with target dates, being made to achieve BIQS Level 3, 4 or 5.

**NOTE:** The GM system Source ability Report will indicate a BIQS Level of 1 or 2 for those organizations not meeting the BIQS requirements.

### CSII (Controlled Shipping Level 2)

The organization shall notify its Certification Body within 5 business days after being placed in Controlled Shipping – Level 2 (CS II) Status. The Certification Body is not required to issue a non-conformance for an organization placed in CSII status.

For CSII activities that are open during an audit, the organization's Certification Body shall verify that an effective corrective action is in process and, if closed, that the corrective actions have been implemented and read across to the entire organization's site for similar processes and/or products. The organization's Certification Body shall also investigate any CSII activities that have occurred and were closed between surveillance audits.

**NOTE:** The GM condition of CS II (Controlled Shipping – Level 2) is a performance indicator of problems in an organization's product realization process. The CSII condition should have resolution, or credible resolution and corrective plans in place, which are confirmed by the customer.

### 7.0 Manufacturing process audit (IATF 16949 section 9.2.2.3)

The organization shall incorporate an internal layered process audit process to assess compliance to standardized processes, to identify opportunities for continuous improvement, and to provide coaching opportunities. Suppliers must assess and comply with applicable CQI standards such as:

- CQI-9 Heat Treat System Assessment
- CQI-11 Plating System Assessment
- CQI-12 Coating System Assessment
- CQI-15 Weld System Assessment
- CQI-23 Molding System Assessment
- CQI-17 Soldering System Assessment
- CQI-27 Casting System Assessment

### 8.0 Product audit (IATF 16949 section 9.2.2.4)

The organization shall perform quality focused checks on each shift, final inspection on all finished product prior to shipping, GP-12 as required during launch. Successive production/quality checks shall be increased in cases of high risks such as model launch, pass through components and characteristics pass through, major changes, shut down (see clause 8.5.1.4) or customer feedback.

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### 9.0 Problem Solving (IATF 16949 section 10.2.3)

The supplier's documented problem-solving process shall include:

1. Tracking of issues through closure.
2. Daily review of issues by a multi-disciplined team including plant management.
3. Daily reviews are documented.
4. All levels of the organization are included in the problem-solving process.
5. Robust method to identify the verifiable root cause(s) of each issue.
6. Timely closure of corrective action(s) including exit criteria.
7. Initial containment is well documented using a containment worksheet or similar

### 10.0 Error-proofing (IATF 16949 section 10.2.4)

Error proofing devices shall be tested to failure or simulated failure at the beginning of each shift at a minimum, otherwise according to the control plan. The organization shall keep a list of all error proofing devices and identify which can be bypassed and which cannot (also see clause 8.5.6.1.1). The bypass determination shall consider safety, severity and overall RPN rating.

### 11.0 Initial Process Studies

When utilizing X-Bar and R charts, at least twenty-five subgroups (minimum of four pieces per subgroup) are required. When historical data are available or enough initial data exist to plot a control chart (at least 100 individual samples), Cpk can be calculated when the process is stable. For processes with known and predictable special causes and output meeting specifications, Ppk should be used. When not enough data are available (< 100 samples) or there are unknown sources of variation, contact the authorized customer representative to develop a suitable plan.

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### History of Revision

No.	Cause of modification	Date	Modifier	Approved
1	First issue	16.10.2017	Judith Robertson	Steffen Dehner
2	Update GM CSR	10.07.2019	Bill Kellogg	Steffen Dehner
3	Update Logo	24.08.2020	Maria Reyes	Judith Robertson
4				
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