

Procedure (Process)  
Appendix Y – RIVIAN CSR  
Version 1  
August 18, 2020

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# SMR Global Supplier Manual Appendix Y – RIVIAN Customer Specific Requirements for Suppliers

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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 RIVIAN 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 RIVIAN 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 requirements are met in their supply chain

## 1.0 Record Retention (IATF 16949 section 7.5.3.2.1)

Document Type	Examples	Maintained For
APQP & PPAP Documentation	Technical specifications, drawings, process flow charts, control plans, FMEAs, manufacturing instructions, master sample from each cavity, die, and pattern Note: samples shall be identified as such and shall show PPAP submission reference	Length of time the part is active for production and service requirements, plus one calendar year unless otherwise specified by RIVIAN
Quality Performance Records	Control Charts, Inspection and test results, product audits, layout inspection, functional testing	Length of time the part is active for production and service requirements, plus one calendar year unless otherwise specified by RIVIAN
Quality System Records	Internal quality system audits and management reviews	Three calendar years
Product Safety Related Records		Minimum of 15 years from date of manufacture

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## 2.0 Design and development planning (IATF 16949 section 8.3.2.1)

- RIVIAN have adopted the proven automotive standard AIAG APQP process as the planning method for suppliers and sub-suppliers providing production components to RIVIAN.

## 3.0 Development of products with embedded software (IATF 16949 section 8.3.2.3)

- The software quality assurance system is based on ISO / IEC 15504 Information Technology - Process assessment, also termed Software Process Improvement and Capacity Determination (SPICE), is a set of technical standards documents for the software development process. Supplier delivering software to SMR shall be certified SPICE level 3 according to the automotive SPICE assessment model (see [www.automotivespice.com](http://www.automotivespice.com))

## 4.0 Product design input (IATF 16949 section 8.3.3.1)

- **Gate Review #1:** (APQP Kick-Off Meeting): the meeting should occur within 30 days of the supplier receiving formal notification of the business award. This meeting contains both instructions to the supplier and report out by the supplier. The SQE will review expectations relative to APQP and the timing of the program.
- **Gate Review #2:** This meeting occurs in the Validation Prototype (VP) build timeframe. The meeting should occur at least 2 weeks prior to a scheduled Quality Valve or Build Readiness Review.
- **Gate Review #3:** Occurs during the Tool Tryout (TT) build. This meeting should occur at least 2 weeks prior to a scheduled Quality Valve or Build Readiness Review.

- **Gate Review #4:** This meeting should be conducted a minimum 2 weeks prior to Salable Pilot Vehicle Quality Valve Review.
- **Run @Rate**
  - Suppliers prepares a Run@Rate plan and presents plan at the APQP Kick-off meeting, plan must address the final product and all components
  - SQE and supplier confirm the accuracy of the contracted capacity and compare to daily planned rate
  - Supplier performs a capacity analysis and presents results at Gate Review #2 and updates at Gate Review #3

## 5.0 Product approval process (IATF 16949 section 8.3.4.4)

- Suppliers shall comply with the current version of the AIAG PPAP manual and other RIVIAN Automotive specific requirements for approval. The expected level for all submissions, unless otherwise directed by SMR Quality, is AIAG Level 3 without production samples. The following circumstances require a PPAP approval submission unless otherwise directed by RIVIAN Quality:
  - New Product introduction.
  - Engineering changes.
  - Tooling: transfer, replacement or major refurbishment.
  - Correction of discrepancies.
  - Changes to optional construction or material.
  - Sub-supplier or material source change.
  - Parts produced at secondary location or original location has changed.

## 6.0 Supplier monitoring (IATF 16949 section 8.4.2.4)

- **Sub-Supplier Management**

The following items shall be provided to SMR:

  - Sub-contractor Program matrix (identify the part or service, the sub-contractor and their address)
  - Sub-contractor status Matrix (status of tiered supplier's timing to APQP)

## 7.0 Control Plan (IATF 16949 section 8.5.1.1)

- The launch Containment Plan establishes a containment plan during start-up and acceleration, so any quality issues are quickly identified at the supplier facility and not at the customer facility. This procedure applies to all new and changed parts that require PPAP for start-up or acceleration or for any parts that present significant risk to the customer plant. The containment plan is referred to as the pre-launch control plan and is developed in the control plan format referenced in the AIAG APQP Manual.

## 8.0 Identification and traceability (IATF 16949 section 8.5.2.1)

- The supplier shall have the capability to trace delivered parts to their raw material sources including the ability to trace the parts to their specific manufacturing and test processes. The supplier is required to maintain traceability for all delivered materials to both the raw material sources and to the manufacturing tests and processes that were used to produce them. Suppliers to SMR shall impose this requirement on their Suppliers such that clear and unbroken traceability is maintained to the lowest Supplier in the supply chain.
- Information traceability storage period for safety related parts is done according to legal requirements, the minimum request is 10 years from date of manufacture.
- **Corrosion Prevention**

Corrosion inhibiting materials must be used where rusting and corrosion is a risk. The following measures is recommended to be considered: component material properties, part surface cleanliness and dryness, part temperature, handling process and environmental conditions of the supply chain.  
Please utilize Zerust (RIVIAN preferred) as your supplier of VCI packaging materials.

## 9.0 Control of changes - supplemental (IATF 16949 section 8.5.6.1)

- A supplier cannot implement a change on a product or process that impact conditions of the approved PPAP without SMR and RIVIAN approval.
- A short list of changes that a Supplier must provide change request documentation for includes but is not limited to:
  - Transferring the production line: partly or totally, to a new or existing plant
  - Change of a tiered part of the part/process
  - New production layouts

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- Packaging changes or repack operations
- Change of a tiered supplier that affects fit, form or function
- Renewal of current tooling
- Change in raw material
- Preliminary outsourcing of part of the production to a tiered supplier
- Requests for production design changes such as dimensions, functions or appearance
- The supplier requesting a change shall submit a completed change request form to the RIVIAN buyer with a copy to the SQE before any changes or modifications to part or process
- **No Changes can be done without SMR Approval**

## 10.0 Appearance items (IATF 16949 section 8.6.3)

- The following applies to Suppliers of colored or textured components and to suppliers of paints, coatings, pigments, dyes, tints, master batches and other batches and other colorants. Items with Appearance Characteristics on the design record must have an approved Appearance Approval Report (AAR) by RIVIAN prior to PPAP.
- Only RIVIAN Automotive approved color master plaques may be used to develop color formulations or to determine the acceptance of colored materials. Additional, for texture masters, only RIVIAN approved texture master plaques may be used as standards to texture tooling.
- For color Measurement and Evaluation, Visual and analytical evaluation of color and gloss shall be made in compliance with RIVIAN end item requirements.

## 11.0 Control of nonconforming outputs (IATF 16949 section 8.7.1)

### Product Containment (Controlled Shipping)

- **Supplier Sort Marks**  
Sort marks used as an indication that an inspection process has been performed, shall be applied and evident on the parts as directed by RIVIAN Quality. This requirement must also be passed on to all appropriate sub-suppliers.

## 12.0 Customer satisfaction – supplemental (IATF 16949 section 9.1.2.1)

- Each commodity and product will have specific targets based on industry standards, but general targets are ZERO:
  - ZERO Defective Components Delivered
  - ZERO Quality Disruptions
  - ZERO Plant Disruptions
  - Formal Continuous Improvement Plan

## History of Revision

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1	First issue	18.08.2020	Mina Sergious	Rambir
2				
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