



U.S. Department  
of Transportation  
**National Highway  
Traffic Safety  
Administration**

MAR 7 2013

1200 New Jersey Avenue SE.  
Washington, DC 20590

CERTIFIED MAIL  
RETURN RECEIPT REQUESTED

Ms. Carmen Benavides  
Director, Product Investigations  
Structure and Safety Integration  
General Motors Company  
30001 Van Dyke - Mail Code 480-210-2V1  
Warren MI 48090-9055

NVS-212llh  
EA11-015

Dear Ms. Benavides:

The Office of Defects Investigation (ODI) of the National Highway Traffic Safety Administration (NHTSA) is requesting updated and additional information to assist with its ongoing engineering analysis (EA11-015) to investigate allegations of failure of the transmission shift cable on model year (MY) 2007-2008 Saturn Aura vehicles manufactured by General Motors (GM).

On March 15, 2012, ODI sent GM an information request (IR) pursuant to EA11-015, to which GM responded via a letter dated May 4, 2012. As described below, ODI is now sending this second IR, by which it is requesting updated and additional information.

In addition to the 30 Vehicle Owner Questionnaires (VOQs) ODI cited in its March 15, 2012 IR concerning MY 2007-2008 Saturn Auras, ODI has received 28 additional VOQs concerning MY 2007-2008 Saturn Auras, including three reporting crashes and one reporting injury. A list of these 28 VOQs is included at the end of this letter, copies of each will be provided to GM under separate cover.

Unless otherwise stated in the text, the following definitions apply to these information requests:

- **Subject vehicles:** All MY 2007-2008 Saturn Aura, MY 2007-2008 Pontiac G6 and MY 2007-2008 Chevrolet Malibu vehicles equipped with an automatic transmission and manufactured for sale or lease in the United States (regardless of transmission shift cable supplier).
- **Subject component:** Transmission shift cables provided to GM, manufactured by Leggett & Platt, and either were, or could have been, installed on subject vehicles.



- Kongsberg cable: Transmission shift cables provided to GM, manufactured by Kongsberg Automotive, and either were, or could have been, installed on subject vehicles.
- GM: General Motors Company, its predecessor General Motors Corporation, all of their past and present officers and employees, whether assigned to their principal offices or any of its field or other locations, including all of their divisions, subsidiaries (whether or not incorporated) and affiliated enterprises and all of their headquarters, regional, zone and other offices and their employees, and all agents, contractors, consultants, attorneys and law firms and other persons engaged directly or indirectly (e.g., employee of a consultant) by or under the control of GM (including all business units and persons previously referred to), who are or, in or after 2003, were involved in any way with any of the following related to the alleged defect(s) in the subject vehicles:
  - a. Design, engineering, analysis, modification or production (e.g. quality control);
  - b. Testing, assessment or evaluation;
  - c. Consideration, or recognition of potential or actual defects, reporting, record-keeping and information management, (e.g., complaints, field reports, warranty information, part sales), analysis, claims, or lawsuits; or,
  - d. Communication to, from or intended for zone representatives, fleets, dealers, or other field locations, including but not limited to people who have the capacity to obtain information from dealers.
- Alleged defect(s):
  1. Unintended vehicle movement with the shifter in the Park position;
  2. Unintended vehicle movement in a direction that was opposite of the direction the shifter indicated or the driver intended; or,
  3. Vehicle roll-away after the operator exited the vehicle (with the shifter in Park).
- Document: "Document(s)" is used in the broadest sense of the word and shall mean all original written, printed, typed, recorded, or graphic matter whatsoever, however produced or reproduced, of every kind, nature, and description, and all non-identical copies of both sides thereof, including, but not limited to, papers, letters, memoranda, correspondence, communications, electronic mail (e-mail) messages (existing in hard copy and/or in electronic storage), faxes, mailgrams, telegrams, cables, telex messages, notes, annotations, working papers, drafts, minutes, records, audio and video recordings, data, databases, other information bases, summaries, charts, tables, graphics, other visual displays, photographs, statements, interviews, opinions, reports, newspaper articles, studies, analyses, evaluations, interpretations, contracts, agreements, jottings, agendas, bulletins, notices, announcements, instructions, blueprints, drawings, as-builts, changes, manuals, publications, work schedules, journals, statistical data, desk, portable and computer calendars, appointment books, diaries, travel reports, lists, tabulations, computer printouts, data processing program libraries, data processing inputs and outputs, microfilms, microfiches, statements for services, resolutions, financial statements, governmental records, business records, personnel records, work orders, pleadings, discovery in

any form, affidavits, motions, responses to discovery, all transcripts, administrative filings and all mechanical, magnetic, photographic and electronic records or recordings of any kind, including any storage media associated with computers, including, but not limited to, information on hard drives, floppy disks, backup tapes, and zip drives, electronic communications, including, but not limited to, the Internet and shall include any drafts or revisions pertaining to any of the foregoing, all other things similar to any of the foregoing, however denominated by GM, any other data compilations from which information can be obtained, translated if necessary, into a usable form and any other documents. For purposes of this request, any document which contains any note, comment, addition, deletion, insertion, annotation, or otherwise comprises a non-identical copy of another document shall be treated as a separate document subject to production. In all cases where original and any non-identical copies are not available, "document(s)" also means any identical copies of the original and all non-identical copies thereof. Any document, record, graph, chart, film or photograph originally produced in color must be provided in color. Furnish all documents whether verified by GM or not. If a document is not in the English language, provide both the original document and an English translation of the document.

- Other Terms: To the extent that they are used in these information requests, the terms "claim," "consumer complaint," "dealer field report," "field report," "fire," "fleet," "good will," "make," "model," "model year (MY)," "notice," "property damage," "property damage claim," "rollover," "type," "warranty," "warranty adjustment," and "warranty claim," whether used in singular or in plural form, have the same meaning as found in 49 CFR 579.4.

In order for my staff to evaluate the alleged defect(s), certain information is required. Pursuant to 49 U.S.C. § 30166, please provide numbered responses to the following information requests. Insofar as GM has previously provided a document to ODI, GM may produce it again or identify the document, the document submission to ODI in which it was included and the precise location in that submission where the document is located. When documents are produced, the documents shall be produced in an identified, organized manner that corresponds with the organization of this information request letter (including all individual requests and subparts). When documents are produced and the documents would not, standing alone, be self-explanatory, the production of documents shall be supplemented and accompanied by explanation.

Please repeat the applicable request verbatim above each response. After GM's response to each request, identify the source of the information and indicate the last date the information was gathered.

1. State, by model and model year, the number of subject vehicles that GM has manufactured for sale or lease in the United States. Separately, for each such vehicle manufactured to date by GM, state the following:
  - a. Vehicle identification number (VIN);
  - b. Make;

- c. Model year;
  - d. Transmission (4-speed automatic, 6-speed automatic, etc.) and transmission designation (MN5, MH2, etc.), or other;
  - e. Date of manufacture;
  - f. Date warranty coverage commenced;
  - g. Gear shift cable Part Number(s) and supplier name; and,
  - h. The state in the United States where the vehicle was originally sold or leased (or delivered for sale or lease).
2. State the number of each of the following, received by GM, or of which GM is otherwise aware, which relate to, or may relate to, the alleged defect(s) in the subject vehicles:
- a. Consumer complaints;
  - b. Field reports, including dealer field reports;
  - c. Reports involving an injury or fatality, based on claims against the manufacturer involving a death or injury, notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject component;
  - d. Property damage claims;
  - e. Third-party arbitration proceedings where GM is or was a party to the arbitration; and,
  - f. Lawsuits, both pending and closed, in which GM is or was a defendant or codefendant.

For subparts "a" through "d" state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same vehicle are to be counted separately. Multiple reports of the same incident are also to be counted separately (i.e., a consumer complaint and a field report involving the same incident in which a crash occurred are to be counted as a crash report, a field report and a consumer complaint).

In addition, for items "c" through "f," provide a summary description of the alleged problem and causal and contributing factors and GM's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "c through f" identify the parties to the action, as well as the caption, court, docket number, and date on which the complaint or other document initiating the action was filed.

3. Separately, for each item (complaint, report, claim, notice, or matter) within the scope of your response to Request No. 2, state the following information:
- a. GM's file number or other identifier used;
  - b. The category of the item, as identified in Request No. 2 (i.e., consumer complaint, field report, etc.);
  - c. Vehicle owner or fleet name (and fleet contact person), address, and telephone number;
  - d. Vehicle's VIN;
  - e. Vehicle's make, model and model year;
  - f. Vehicle's mileage at time of incident;

- g. Incident date;
- h. Report or claim date;
- i. Whether unintended movement with the shifter in the Park position is stated;
- j. Whether unintended movement in the opposite direction the shifter indicated or the driver intended is stated;
- k. Whether it is stated that the vehicle rolled away after the operator exited the vehicle with the shifter in Park;
- l. Whether or not the engine was running when the stated incident occurred;
- m. Whether the transmission was in either a forward or reverse drive gear when the incident occurred, (state the gear);
- n. The transmission gear position indicated by the shifter when the stated incident occurred;
- o. Whether a crash is alleged;
- p. Whether property damage is alleged;
- q. Number of alleged injuries, describe the injury, if any; and,
- r. Number of alleged fatalities, if any.

Provide this information in Microsoft Access 2007, or a compatible format, entitled "COMPLAINT DATA."

- 4. Produce copies of all documents related to each item within the scope of Request No. 2. Organize the documents separately by category (i.e., consumer complaints, field reports, etc.) and describe the method GM used for organizing the documents.
- 5. State, by model and model year, a total count for all of the following categories of claims, collectively, that have been paid by GM to date involving the replacement of the subject component in subject vehicles, and regardless as to why it was replaced, including but not limited to: warranty claims; extended warranty claims; claims for good will services that were provided; field, zone, or similar adjustments and reimbursements; and warranty claims or repairs made in accordance with a procedure specified in a technical service bulletin or customer satisfaction campaign (i.e., Technical Service Bulletin Nos. 11175 and/or 11175A).

Separately, for each such claim, state the following information:

- a. GM's claim number;
- b. Vehicle owner or fleet name (and fleet contact person) and telephone number;
- c. VIN;
- d. Repair or replacement date;
- e. Vehicle mileage at time of repair;
- f. Repairing dealer's or facility's name and telephone number;
- g. Repairing dealer's or facility's city and state;
- h. Labor operation number;
- i. Problem code;
- j. Replacement part number(s) and description(s);
- k. Whether the claim occurred subsequent to a recall or TSB repair (include the recall or TSB number);

- l. Concern stated by customer; and,
- m. Comment, if any, by dealer/technician relating to claim and/or repair or replacement.

Provide this information in Microsoft Access 2007, or a compatible format, entitled "L&P REPLACEMENT DATA."

6. Describe in detail the search criteria used by GM to identify the claims identified in response to Request No. 5, including the labor operations, problem codes, part numbers and any other pertinent parameters used. Provide a list of all labor operations, labor operation descriptions, problem codes, and problem code descriptions applicable to the alleged defect and the subject component in the subject vehicles. State, by make and model year, the terms of the new vehicle warranty coverage offered by GM on the subject vehicles (i.e., the number of months and mileage for which coverage is provided and the vehicle systems that are covered). Describe any extended warranty coverage option(s) that GM offered for the subject vehicles and state by option, model, and model year, the number of vehicles that are covered under each such extended warranty.
7. Produce copies of all service, warranty, and other documents that relate to, or may relate to, the alleged defect(s) in the vehicles in subject vehicles, that GM has issued to any dealers, regional or zone offices, field offices, fleet purchasers, or other entities. This includes, but is not limited to, bulletins, advisories, informational documents, training documents, or other documents or communications, with the exception of standard shop manuals. Also include the latest draft copy of any communication that GM is planning to issue within the next 120 business days.
8. State the number of subject components that GM has sold by part number, model and model year of the vehicle(s) in which it is used or intended to be used, month/year of sale (including the cut-off date for sales, if applicable), and VIN range if applicable. For each subject component included as part of this response, provide the supplier's name, address, and appropriate point of contact (name, title, and telephone number).
  - a. Identify each part number used for subject components and for each such part number state whether it has been used for warranty cable replacement, special coverage cable replacement as outlined in Technical Service Bulletin Nos. 11175 and 11175A, recall 12V-460, customer paid dealer repairs, or over the counter sales.
9. Describe in detail the process GM implemented for superseding the subject component from the cable supplied by Leggett & Platt to the Kongsberg supplied cable.
  - a. Describe each service part/component required to convert a subject vehicle from a vehicle suitable for a subject component to one suitable for a Kongsberg shift cable;
  - b. Explain why each part/component identified in item "a" is required;
  - c. Provide the part number(s) for each component identified in item "a" by subject vehicle make, model, and model year;
  - d. Explain how GM communicated the parts supersessions to the service environment and to service personnel , (i.e., Describe how an individual or service personnel purchasing a shift cable for a subject vehicle would be informed about the parts supersession and which specific parts were required to make the conversion.);

- e. Describe any changes or revisions that GM made to the supersession process (including specific changes or additions to the individual components specified or required), state why the revision was required, and state how GM became aware that the revision was required;
  - f. Provide the date the supersession process was initially commenced and the dates when any process revisions were made; and,
  - g. State whether the supersession process and/or any subsequent revisions were the same for all subject vehicle makes, models, model years, and/or production periods, and if not, describe the differences and explain why they were necessary.
10. State the number of transmission end cable mounting brackets intended for use with the Kongsberg cable, and that must be utilized when converting a subject vehicle originally equipped with a Leggett & Platt cable to instead use a Kongsberg cable, that GM has sold or provided by component name, part number, model and model year of the vehicle in which it is used, month/year of sale (including the cut-off date for sales, if applicable), and VIN range if applicable. For each bracket included as part of this response, provide the supplier's name, address, and appropriate point of contact (name, title, and telephone number).
- a. Identify each part number used for the transmission end cable mounting brackets described above and for each such part number state whether it has been used for warranty cable replacement, special coverage cable replacement as outlined in Technical Service Bulletin Nos. 11175 and 11175A, recall 12V-460, customer paid dealer repairs, or over the counter sales.
11. State the number of clam shells and service clamps, as described in item numbers 2 through 4 on pages 3 and 4 of Recall Bulletin No. 12106 (and as related to NHTSA Safety Recall 12V-460), and intended for use with the Kongsberg cable, that GM has sold or provided, by component name, part number, model and model year of the vehicle in which it is used, month/year of sale (including the cut-off date for sales, if applicable), and VIN range if applicable. For each clam shell and service clamp part number included in this response, provide the supplier's name, address, and appropriate point of contact (name, title, and telephone number). Additionally:
- a. Describe in detail what purpose or function the clam shell and service clamp devices serve when used in conjunction with the Kongsberg cable;
  - b. State whether or not the Leggett & Platt cable used a clam shell and service clamp, or any similar type of device in the original as-manufactured condition;
  - c. Describe in detail the consequence(s) and potential consequence(s) of installing a Kongsberg cable on the subject vehicle without a clam shell and service clamp being installed; and,
  - d. For each part number included in this response, identify whether it has been used for warranty cable replacement, special coverage cable replacement as outlined in Technical Service Bulletin Nos. 11175 and 11175A, recall 12V-460, customer paid dealer repairs, or over the counter sales.
12. For any and all service documentation and instruction that GM has produced which explains or discusses the service replacement of the shift cable on the subject vehicles,

including service manual procedures, service bulletins, part bulletins, warranty bulletins, bulletins related to special coverage cable replacements such as Technical Service Bulletin Nos. 11175 and 11175A and any revisions thereto, identify all instructions GM has provided to ensure that the retrofitting of a Kongsberg cable onto a subject vehicle will include installation of the clam shells and service clamps, as described in Recall Bulletin No. 12106 dated December 2012.

- a. Provide a copy of each service documentation and instruction related to subject vehicle shift cable replacement that GM has produced, specify the date it was published and provide a copy of every version of Technical Service Bulletin 11175 that GM has published;
  - b. For each service documentation and instruction version identified in item "a," state whether or not it included an instruction or other explanation regarding use of the clam shell and service clamp devices; and, if no such instruction was provided to ensure that the retrofitting of a Kongsberg cable onto a subject vehicle will include installation of the clam shells and service clamps, as described in Recall Bulletin No. 12106 dated December 2012, explain all other steps that have been taken, and/or are planned to be taken, to ensure that clam shells and service clamps will be installed with Kongsberg cables for all future Kongsberg cable installations on subject vehicles, and will be installed on subject vehicles that already have Kongsberg cables, but lack clam shells and service clamps; and,
  - c. Identify all modifications of each service documentation and instruction identified in "a" that GM has published, explain why such modification was made as well as when and how such modification was made, and explain how GM became aware that the modification was required.
13. Discuss in detail any and all analyses GM has conducted to determine if Kongsberg cables have been installed as replacement parts in subject vehicles, either by GM dealer service personnel, other repair businesses or by consumers making repairs themselves, without the use of the clam shell and service clamp devices described in item numbers 2 through 4 on pages 3 and 4 of Recall Bulletin No. 12106 dated December 2012.
- a. Describe the process and the underlying rationale GM used in conducting these analyses, which data sources were used, including data sources involving dealership related data (service parts sales data, dealer orders, dealer sales, remaining stock data), and how data was selected from each of those sources;
  - b. State which vehicle makes, models, model years, and production dates GM considered (e.g., Aura and G6) in its analyses and the basis for this selection, and identify any makes, models, model years, and production dates GM eliminated from its analysis (e.g., Malibu GMX 380) and the basis for such elimination;
  - c. State the period of time (including but not limited to the dates of repairs) GM considered in its analyses and the basis for this selection;
  - d. Provide GM's estimates of the number of vehicles that may have been retrofitted with Kongsberg cables but did not include the clam shells and service clamps, and describe the method used to make these estimates, including any unknowns or uncertainties involved; and,
  - e. Explain the relevant differences in safety performance between the vehicles recalled under 12V-460 and any non-recalled subject vehicle which may be equipped with a



Kongsberg shift cable that does not include the clam shell and service clamp device, as well as any reason why GM believes such a vehicle does not pose an unreasonable risk to safety.

14. Explain in detail what GM has done, or what GM intends to do, to identify and remedy any vehicles that may contain a Kongsberg cable which, due to inaccurate and or incomplete service instructions or part supersessions, may not contain the clam shell and service clamp devices described in item numbers 2 through 4 on pages 3 and 4 of Recall Bulletin No. 12106 dated December 2012. Discuss any limitations or uncertainties of such an effort and provide an estimate of the likelihood of identifying all affected vehicles.
15. Describe all assessments, analyses, tests, test results, studies, surveys, simulations, investigations, inquiries and/or evaluations (collectively, "actions") that relate to, or may relate to, the alleged defect(s) in the subject vehicles that have been conducted, are being conducted, are planned, or are being planned by, or for, GM. Include in this response any such actions that relate, or may relate, to the issuance of GM Technical Service Bulletin Nos. 11175 and 11175A. For each such action, provide the following information:
  - a. Action title or identifier;
  - b. The actual or planned start date;
  - c. The actual or expected end date;
  - d. Brief summary of the subject and objective of the action;
  - e. Engineering group(s)/supplier(s) responsible for designing and for conducting the action; and,
  - f. A brief summary of the findings and/or conclusions resulting from the action.

For each action identified, provide copies of all documents related to the action, regardless of whether the documents are in interim, draft, or final form. Organize the documents chronologically by action.

16. Furnish GM's assessment of the alleged defect(s) in the subject vehicles, including:
  - a. The causal or contributory factor(s);
  - b. The failure mechanism(s);
  - c. The failure mode(s) and the factors that would lead to the alleged defect(s);
  - d. The risk to motor vehicle safety that it poses;
  - e. Any differences or variations in models and/or model years of the subject vehicles that would account for the likelihood of cable failure or that would account for differences in failure rates while the vehicle is in service;
  - f. What warnings, if any, the operator and other persons both inside and outside the vehicle would have that the alleged defect(s) was occurring or the subject component was malfunctioning, the likelihood of such warnings and the explanation for either the lack of such warning or the consumer not reacting as GM would assume; and,
  - g. Provide a copy of all related documents and reports associated with this assessment.

17. Provide all documents, data and information concerning transmission shift cable-related issues in subject vehicles that have been presented to:
  - a. The Field Performance Evaluation Review Committee; and
  - b. The Executive Field Action Decision Committee.
  
18. State the number of each of the following, received by GM, or of which GM was otherwise aware on or prior to December 20, 2011, which relate to, or may relate to, the defect(s) at issue in recall 11V-595 concerning Model Year 2011 Cadillac SRX vehicles:
  - a. Consumer complaints;
  - b. Field reports, including dealer field reports;
  - c. Reports involving an injury or fatality, based on claims against the manufacturer involving a death or injury, notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject component;
  - d. Property damage claims;
  - e. Warranty claims
  - f. Third-party arbitration proceedings where GM is or was a party to the arbitration; and,
  - g. Lawsuits, both pending and closed, in which GM is or was a defendant or codefendant.

For subparts "a" through "e" state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same vehicle are to be counted separately. Multiple reports of the same incident are also to be counted separately (i.e., a consumer complaint and a field report involving the same incident in which a crash occurred are to be counted as a crash report, a field report and a consumer complaint).

In addition, for items "c," "d," "f," and "g" provide a summary description of the alleged problem and causal and contributing factors and GM's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "c," "d," "f," and "g," identify the parties to the action, as well as the caption, court, docket number, and date on which the complaint or other document initiating the action was filed.

19. Provide all documents, data, and information concerning MY 2010 and 2011 Cadillac SRX vehicles and relating to what became recall 11V-595 that was presented to:
  - a. The Field Performance Evaluation Review Committee; and
  - b. The Executive Field Action Decision Committee.
  
20. Explain how GM's basis for its decision to initiate 11V-595, differs from its basis for its decision not to recall the subject vehicles, and to, instead, issue Technical Service Bulletin Nos. 11175 and 11175A. Include within this explanation complaint and failure rates as well as the mechanical consequences of such failures.
  
21. State the number of each of the following, received by GM, or of which GM was otherwise aware on or before December 31, 2012, which relate to, or may relate to, the

defect(s) at issue in recall 13V-001 concerning certain Model Year 2013 Cadillac, Chevrolet and GMC vehicles:

- a. Consumer complaints;
- b. Field reports, including dealer field reports;
- c. Reports involving an injury or fatality, based on claims against the manufacturer involving a death or injury, notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject component;
- d. Property damage claims;
- e. Warranty claims
- f. Third-party arbitration proceedings where GM is or was a party to the arbitration; and,
- g. Lawsuits, both pending and closed, in which GM is or was a defendant or codefendant.

For subparts "a" through "e" state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same vehicle are to be counted separately. Multiple reports of the same incident are also to be counted separately (i.e., a consumer complaint and a field report involving the same incident in which a crash occurred are to be counted as a crash report, a field report and a consumer complaint).

In addition, for items "c," "d," "f," and "g," provide a summary description of the alleged problem and causal and contributing factors and GM's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "c," "d," "f," and "g," identify the parties to the action, as well as the caption, court, docket number, and date on which the complaint or other document initiating the action was filed.

22. Provide all documents, data, and information concerning the MY 2013 Cadillac, Chevrolet and GMC vehicles that resulted in recall 13V-001 that was presented to:
  - a. The Field Performance Evaluation Review Committee; and
  - b. The Executive Field Action Decision Committee.
23. Explain how GM's basis for its decision to initiate 13V-001, differs from its basis for its decision not to recall the subject vehicles, and to, instead, issue Technical Service Bulletin Nos. 11175 and 11175A. Include within this explanation complaint and failure rates as well as the mechanical consequences of such failures.
24. State the number of each of the following, received by GM, or of which GM was otherwise aware on or before January 11, 2013, which relate to, or may relate to, the defect(s) at issue in recall 13V-010 concerning Model Year 2013 Chevrolet Express and GMC Savana vehicles:
  - a. Consumer complaints;
  - b. Field reports, including dealer field reports;

- c. Reports involving an injury or fatality, based on claims against the manufacturer involving a death or injury, notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject component;
- d. Property damage claims;
- e. Warranty claims
- f. Third-party arbitration proceedings where GM is or was a party to the arbitration; and,
- g. Lawsuits, both pending and closed, in which GM is or was a defendant or codefendant.

For subparts "a" through "e" state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same vehicle are to be counted separately. Multiple reports of the same incident are also to be counted separately (i.e., a consumer complaint and a field report involving the same incident in which a crash occurred are to be counted as a crash report, a field report and a consumer complaint).

In addition, for items "c," "d," "f," and "g," provide a summary description of the alleged problem and causal and contributing factors and GM's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "c," "d," "f," and "g," identify the parties to the action, as well as the caption, court, docket number, and date on which the complaint or other document initiating the action was filed.

- 25. Provide all documents, data, and information concerning MY 2013 Chevrolet Express and GMC Savana vehicles that resulted in recall 13V-010 that were presented to:
  - a. The Field Performance Evaluation Review Committee; and
  - b. The Executive Field Action Decision Committee.
- 26. Explain how GM's basis for its decision to initiate 13V-010, differs from its basis for its decision not to recall the subject vehicles, and to, instead, issue Technical Service Bulletin Nos. 11175 and 11175A. Include within this explanation complaint and failure rates as well as the mechanical consequences of such failures.
- 27. State the number of each of the following, received by GM, or of which GM is otherwise aware on or before September 18, 2012, which relate to, or may relate to, the defect(s) at issue in recall 12V-460:
  - a. Consumer complaints;
  - b. Field reports, including dealer field reports;
  - c. Reports involving an injury or fatality, based on claims against the manufacturer involving a death or injury, notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject component;
  - d. Property damage claims;
  - e. Warranty claims
  - f. Third-party arbitration proceedings where GM is or was a party to the arbitration; and,

- g. Lawsuits, both pending and closed, in which GM is or was a defendant or codefendant.

For subparts "a" through "e" state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same vehicle are to be counted separately. Multiple reports of the same incident are also to be counted separately (i.e., a consumer complaint and a field report involving the same incident in which a crash occurred are to be counted as a crash report, a field report and a consumer complaint).

In addition, for items "c," "d," "f," and "g," provide a summary description of the alleged problem and causal and contributing factors and GM's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "c," "d," "f," and "g," identify the parties to the action, as well as the caption, court, docket number, and date on which the complaint or other document initiating the action was filed.

- 28. Provide all documents, data, and information concerning the vehicles that resulted in recall 12V-460 that were presented to:
  - a. The Field Performance Evaluation Review Committee; and
  - b. The Executive Field Action Decision Committee.
- 29. Explain how GM's basis for its decision to initiate 12V-460, differs from its basis for its decision not to recall the subject vehicles and to, instead, issue Technical Service Bulletin Nos. 11175 and 11175A. Include within this explanation complaint and failure rates as well as the mechanical consequences of such failures.

This letter is being sent to GM pursuant to 49 U.S.C. § 30166, which authorizes NHTSA to conduct any investigation that may be necessary to enforce Chapter 301 of Title 49 and to request reports and the production of things. It constitutes a new request for information. GM's failure to respond promptly and fully to this letter could subject GM to civil penalties pursuant to 49 U.S.C. § 30165 or lead to an action for injunctive relief pursuant to 49 U.S.C. § 30163. (Other remedies and sanctions are available as well.) Please note that maximum civil penalties under 49 U.S.C. § 30165 are for up to \$7,000 per day, with a maximum of \$17,350,000 for a related series of violations, for failing or refusing to perform an act required under 49 U.S.C. § 30166. See 49 CFR 578.6 (as amended by 77 Fed. Reg. 70710 (November 27, 2012)). This includes failing to respond to ODI information requests.

If GM cannot respond to any specific request or subpart(s) thereof, please state the reason why it is unable to do so. If on the basis of attorney-client, attorney work product, or other privilege, GM does not submit one or more requested documents or items of information in response to this information request, GM must provide a privilege log identifying each document or item withheld, and stating the date, subject or title, the name and position of the person(s) from, and the person(s) to whom it was sent, and the name and position of any other recipient (to include all carbon copies or blind carbon copies), the nature of that

information or material, and the basis for the claim of privilege and why that privilege applies.

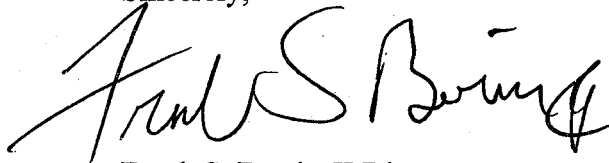
GM's response to this letter, in duplicate, together with a copy of any confidentiality request, must be submitted to this office by April 29, 2013. All business confidential information must be submitted directly to the Office of Chief Counsel as described in the following paragraph and should not be sent to this office. In addition, do not submit any business confidential information in the body of the letter submitted to this office. Please refer to EA11-015 in GM's response to this letter and in any confidentiality request submitted to the Office of Chief Counsel. If GM finds that it is unable to provide all of the information requested within the time allotted, GM must request an extension from me at (202) 366-8089 no later than five business days before the response due date. If GM is unable to provide all of the information requested by the original deadline, it must submit a partial response by the original deadline with whatever information GM then has available, even if an extension has been granted.

If GM claims that any of the information or documents provided in response to this information request constitute confidential commercial material within the meaning of 5 U.S.C. § 552(b)(4), or are protected from disclosure pursuant to 18 U.S.C. § 1905, GM must submit supporting information together with the materials that are the subject of the confidentiality request, in accordance with 49 CFR Part 512, as amended, to the Office of Chief Counsel (NCC-111), National Highway Traffic Safety Administration, Room W41-227, 1200 New Jersey Avenue, S.E., Washington, D.C. 20590. GM is required to submit two copies of the documents containing allegedly confidential information (except only one copy of blueprints) and one copy of the documents from which information claimed to be confidential has been deleted. Please remember that the word "CONFIDENTIAL BUSINESS INFORMATION" must appear at the top of each page containing information claimed to be confidential, and the information must be clearly identified in accordance with 5 U.S.C. § 512.6. If you submit a request for confidentiality for all or part of your response to this Information Request, that is in an electronic format (e.g., CD-ROM), your request and associated submission must conform to the new requirements in NHTSA's Confidential Business Information Rule regarding submissions in electronic formats (49 CFR 512.6(c)). See Federal Register, volume 72, page 59434 (October 19, 2007).

Please send email notification to Scott Yon ([scott.yon@dot.gov](mailto:scott.yon@dot.gov)) and to [ODI\\_IRresponse@dot.gov](mailto:ODI_IRresponse@dot.gov) when GM sends its response to this office and indicate whether there is confidential information as part of GM response.

If you have any technical questions concerning this matter, please call Scott Yon of my staff at (202) 366-0139.

Sincerely,



Frank S. Borris, II Director  
Office of Defects Investigation  
Enforcement

Additional VOQs not previously provided to GM:

Saturn Aura MY 2007 – 2008

10378975, 10404010, 10414817, 10435560, 10439140, 10441998, 10446285, 10447211,  
10449759, 10452089, 10452662, 10453371, 10453920, 10457385, 10457684, 10458417,  
10461922, 10464207, 10464388, 10467958, 10478887, 10479234, 10479587, 10488828,  
10489505, 10493700, 10495979, 10498567