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

MAY 20 2013

1200 New Jersey Avenue SE.
Washington, DC 20590

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Mr. Rafael Dominguez, Director
Product Safety
Bendix Commercial Vehicle Systems LLC
901 Cleveland Street
Elyria, Ohio 44035

NVS-214kmb
PE13-012

Dear Mr. Dominguez:

This letter is to inform you that the Office of Defects Investigation (ODI) of the National Highway Traffic Safety Administration (NHTSA) has opened a Preliminary Evaluation (PE13-012) to investigate allegations of single wheel end thermal overload events on steer axles in certain model year (MY) 2012-2013 trucks originally equipped with air disc brakes manufactured by Bendix Spicer Foundation Brake LLC (Bendix), and to request certain information.

Through regular communications with heavy truck fleets, ODI has identified a potential issue involving single wheel end thermal overload events on certain MY 2012-2013 trucks originally equipped with Bendix air disc brakes on the steer axles. ODI has also received Early Warning Reporting (EWR) field report data related to this issue. These events are reported to have occurred on vehicles with relatively low mileage and may be caused by a faulty air disc brake caliper that seized, possibly due to a fault with the automatic adjustment mechanism. This condition may result in extended stopping distances and/or fire. Bendix has also released a document titled "Checklist for Identifying Single Wheel End Thermal Overload" that indicates Bendix has experienced some level of warranty activity for this issue.

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

- **Subject vehicles:** any and all model year (MY) 2012-2013 trucks originally equipped with Bendix air disc brakes on the steer axle manufactured for sale or lease in the United States.

- **Subject component(s):** any and all Bendix air disc brake caliper/ carrier assemblies and associated service brake chambers manufactured for use as original equipment or service replacement on the steer axles of the subject vehicles.

- **Bendix:** Bendix Spicer Foundation Brake LLC, Dana Commercial Vehicle Products LLC, Bendix Commercial Vehicle Systems LLC, and Knorr-Bremse AG, all of their past and present officers and employees, whether assigned to their principal offices or any of their field or other locations, including all of their divisions, subsidiaries (whether or *n*ot 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 Bendix (including all business units and persons previously referred to), who are or, in or after January 1, 2011, were involved in any way with any of the following related to the alleged defect 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:** alleged single wheel end thermal overload events on steer axles due to any or unknown cause.

- **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 Bendix, 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 Bendix 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," "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, certain information is required. Pursuant to 49 U.S.C. § 30166, please provide numbered responses to the following information requests. Insofar as Bendix has previously provided a document to ODI, Bendix 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 Bendix's response to each request, identify the source of the information and indicate the last date the information was gathered.

1. State the number of subject components that Bendix has sold to date by component name, part number (both engineering/production and service replacement), model and model year of the vehicle in which it is or may be used and the month/year of sale *(including the cut-off date for sales, if applicable)* since January 1, 2011.

   For each subject component part number, provide a list of all customers who have received a quantity of 100 or more since January 1, 2011. For each customer listed, provide their company name, line of business (i.e. vehicle manufacturer, equipment manufacturer, wholesale distributor, retail distributor, etc.), address, an appropriate point of contact (name, title, and telephone number) and the quantity sold of each subject component.

   Provide this information in Microsoft Access 2000, or a compatible format, entitled "PART SALES DATA." See Enclosure 1, Data Collection Disc, for a pre-formatted table which provides further details regarding this submission.

2. State the number of each of the following, received by Bendix, or of which Bendix is otherwise aware, which relate to, or may relate to, the alleged defect in the subject vehicles:

   a. Consumer complaints, including those from fleet operators;
   b. Field reports, including dealer field reports;
   c. Reports involving a crash, injury or fatality;
   d. Reports involving a fire;
   e. Property damage claims;
   f. Third-party arbitration proceedings where Bendix is or was a party to the arbitration; and
   g. Lawsuits, both pending and closed, in which Bendix is or was a defendant or codefendant.

   For subparts "a" through "g," 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 "g," provide a summary description of the alleged problem and causal and contributing factors and Bendix's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "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.

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. Bendix'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. Subject component part number(s) and design version fitted as original equipment;
   g. Causal component part number(s), if known or alleged;
   h. Vehicle's mileage at time of incident;
   i. Incident date;
   j. Report or claim date;
   k. Whether a crash is alleged;
   l. Whether a fire is alleged;
   m. Whether property damage is alleged;
   n. Number of alleged injuries, if any; and
   o. Number of alleged fatalities, if any.

   Provide this information in Microsoft Access 2000, or a compatible format, entitled "INCIDENT DATA." See Enclosure 1, Data Collection Disc, for a pre-formatted table which provides further details regarding this submission.

4. Produce electronic 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 Bendix used for organizing the documents.

5. State, by subject component part number, a total count for all of the following categories of claims, collectively, that have been received by Bendix to date that relate to, or may relate to, the alleged defect in the subject vehicles: 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, whether the claim has been paid or not.

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

   a. Bendix's claim number;
   b. Vehicle owner or fleet name (and fleet contact person) and telephone number;
   c. VIN;
   d. Subject component part number(s) and design version fitted as original equipment;
   e. Repair date;
   f. Vehicle mileage at time of repair;
   g. Repairing dealer's or facility's name, telephone number, city and state or ZIP code;
   h. Labor operation number;
   i. Problem code;
   j. Replacement part number(s) and description(s);
   k. Concern stated by customer;
   l. Comment, if any, by dealer/technician relating to claim and/or repair; and
   m. Whether the claim was paid or denied; if the claim was denied, please state the reason.

   Provide this information in Microsoft Access 2000, or a compatible format, entitled "WARRANTY DATA." See Enclosure 1, Data Collection Disc, for a pre-formatted table which provides further details regarding this submission.

6. Describe in detail the search criteria used by Bendix 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 in the subject vehicles. State, by make and model year, the terms of the new vehicle warranty coverage offered by Bendix 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 Bendix 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 in the subject vehicles, that Bendix 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 Bendix is planning to issue within the next 120 days.

8. 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 in the subject vehicles that have been conducted, are being conducted, are planned, or are being planned by, or for, Bendix. 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.

9. Describe all modifications or changes made by, or on behalf of, Bendix in the design, material composition, manufacture, quality control, supply, or installation of the subject component, from the start of production to date, which relate to, or may relate to, the alleged defect in the subject vehicles. For each such modification or change, provide the following information:

   a. The date or approximate date on which the modification or change was incorporated into vehicle production;
   b. A detailed description of the modification or change;
   c. The reason(s) for the modification or change;
   d. The part number(s) (service and engineering) of the original component;
   e. The part number(s) (service and engineering) of the modified component;
   f. Whether the original unmodified component was withdrawn from production and/or sale, and if so, when;
   g. When the modified component was made available as a service component; and
   h. Whether the modified component can be interchanged with earlier production components.

   Also, provide the above information for any modification or change that Bendix is aware of which may be incorporated into vehicle production within the next 120 days.

10. Produce one exemplar sample of a Bendix ADB22X caliper/ carrier assembly and associated service brake chamber as originally equipped on the subject vehicles.

11. Furnish Bendix's assessment of the alleged defect in the subject vehicle, including:

   a. The causal or contributory factor(s);

b. The failure mechanism(s);
c. The failure mode(s);
d. The risk to motor vehicle safety that it poses;
e. What warnings, if any, the operator and the other persons both inside and outside the vehicle would have that the alleged defect was occurring or subject component was malfunctioning; and
f. The reports included with this inquiry.

Legal Authority for This Request

This letter is being sent to Bendix 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.

Civil Penalties

Bendix's failure to respond promptly and fully to this letter could subject Bendix 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.) The Vehicle Safety Act, as amended, 49 U.S.C. § 30165(b), provides for civil penalties of 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 completely to ODI information requests.

If Bendix 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, Bendix does not submit one or more requested documents or items of information in response to this information request, Bendix 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.

Confidential Business Information

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 PE13-012 in Bendix's response to this letter and in any confidentiality request submitted to the Office of Chief Counsel.

If Bendix 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, Bendix 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. Bendix 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 phrase "ENTIRE PAGE CONFIDENTIAL BUSINESS INFORMATION" or "CONTAINS CONFIDENTIAL BUSINESS INFORMATION" (as appropriate) must appear at the top of each page containing information claimed to be confidential, and the information must be clearly identified in accordance with 49 CFR 512.6. If you submit a request for confidentiality for all or part of your response to this IR, 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. *See* 49 CFR 512.6(c) (as amended by 72 Fed. Reg. 59434 (October 19, 2007)).

If you have any questions regarding submission of a request for confidential treatment, contact Otto Matheke, Senior Attorney, Office of Chief Counsel at otto.matheke@dot.gov or (202) 366-5253.

Due Date

Bendix's response to this letter, in duplicate, together with a copy of any confidentiality request, must be submitted to this office by **Friday, July 5, 2013**. If Bendix finds that it is unable to provide all of the information requested within the time allotted, Bendix must request an extension from me at (202) 366-6938 no later than five business days before the response due date. If Bendix 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 Bendix then has available, even if an extension has been granted.

Please send email notification to Kyle Bowker at kyle.bowker@dot.gov and to ODI_IRresponse@dot.gov when Bendix sends its response to this office and indicate whether there is confidential information as part of Bendix's response.

If you have any technical questions concerning this matter, please call Kyle Bowker of my staff at (202) 366-9597.

Sincerely,

Bruce York, Chief
Medium & Heavy Duty Vehicles Division
Office of Defects Investigation

Enclosure 1, one CD-ROM titled Data Collection Disc containing three Microsoft Access database template files.