



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

JAN 14 2014

1200 New Jersey Avenue SE.
Washington, DC 20590

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Mr. Blas Gonzalez, Regional Field Service Manager
Utility Trailer Manufacturing Company
17295 E. Railroad Street
City of Industry, CA 91748

NVS-214phk
PE13-039

Dear Mr. Gonzalez:

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 (PE13-039). ODI opened this investigation based on a Service Bulletin (SB-07-011) related to a potential material defect, possibility resulting in the loop that secures a trailer's safety chains cracking or failing. The Service Bulletin indicates the defect exists on certain Utility Trailer Manufacturing Company model trailers built from: Apr 2012 - May 2013. ODI is requesting certain information from Utility Trailers Manufacturing Co. regarding the alleged defect on the subject trailers.

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

- **Subject trailers:** all 4000D, 4000DX & 3000R trailers built from Apr. 2012-May 2013 manufactured for sale or lease in the United States (as identified in SB-07-011).
- **Subject Component:** any and all pintle hook loops for the secondary (safety) chains, cables, or mechanisms used as a safety device for towing/hook-up on the subject trailers.
- **Utility Trailer Manufacturing Company:** Utility Trailer, all of its/their past and present officers and employees, whether assigned to its/their principal offices or any of its/their field or other locations, including all of its/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 Utility Trailer (including all business units and persons previously referred to), who are or, in or after January 2000, were involved in any way with any of the following related to the alleged defect in the subject trailers:
 - 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:** Cracking or other failures of the pintle hook loop that secures a subject trailer's safety chains as described in Service Bulletin SB-07-011.
 - **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 Utility Trailer, 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 Utility Trailer 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 Utility Trailer has previously provided a document to ODI, Utility Trailer 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 Utility Trailer’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 trailers Utility Trailer has manufactured for sale or lease in the United States. Separately, for each subject trailer manufactured to date by Utility Trailer, state the following:
 - a. Vehicle identification number (VIN);
 - b. Make;
 - c. Model;
 - d. Model Year;
 - e. Subject component part number and design version installed as original equipment;
 - f. Date of manufacture;
 - g. Date warranty coverage commenced; and
 - h. The State in the United States where the trailer was originally sold or leased (or delivered for sale or lease).

Provide the table in Microsoft Access 2000, or a compatible format, entitled “PRODUCTION 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 Utility Trailer, or of which Utility Trailer is otherwise aware, which relate to, or may relate to, the alleged defect in the subject trailers:
 - a. Consumer complaints, including those from fleet operators;
 - b. Field reports, including dealer field reports;
 - c. Reports involving a crash, trailer disconnect unwanted, injury or fatality;
 - d. Property damage claims; and

- e. Third-party arbitration proceedings where Utility Trailer is or was a party to the arbitration; and
- f. Lawsuits, both pending and closed, in which Utility Trailer is or was a defendant or codefendant.

For subparts "a" through "f, / g," state the total number of each item (e.g., consumer complaints, field reports, etc.) separately. Multiple incidents involving the same trailer 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 Utility Trailer's assessment of the problem, with a summary of the significant underlying facts and evidence. For item "e, / 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. Utility Trailer'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. Trailer owner or fleet name (and fleet contact person), address, and telephone number;
 - d. Trailer's VIN;
 - e. Trailer's make, model and model year;
 - f. Trailer's mileage at time of incident;
 - g. Incident date;
 - h. Report or claim date;
 - i. Whether property damage is alleged;
 - j. Number of alleged injuries, if any; and
 - k. Number of alleged fatalities, if any.

Provide this information in Microsoft Access 2000, or a compatible format, entitled "REQUEST NUMBER TWO 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 Utility Trailer 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 Utility Trailer to date that relate to, or may relate to, the alleged defect in the subject trailers: 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.

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

- a. Utility Trailer's claim number;
- b. Trailer owner or fleet name (and fleet contact person) and telephone number;
- c. VIN;
- d. Repair date;
- e. Warranty start date;
- f. Trailer build date;
- g. Trailer mileage at time of repair;
- h. Repairing dealer's or facility's name, telephone number, city and state or ZIP code;
- i. Labor operation number;
- j. Problem code;
- k. Indicate separately for all trailers if the Service Bulletin (SB-07-011) was performed and if the trailer's pintle hoop crack, bent and/or fail;
- l. Replacement part number(s) and description(s);
- m. Concern stated by customer; and
- n. Comment, if any, by dealer/technician relating to claim and/or repair.

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 Utility Trailer 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 trailers. State, by make and model year, the terms of the new trailer warranty coverage offered by Utility Trailer on the subject trailers (i.e., the number of months and mileage for which coverage is provided and the trailer systems that are covered). Describe any extended warranty coverage option(s) that Utility Trailer offered for the subject Trailers and state by option, model, and model year, the number of Trailers 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 Trailers, that Utility Trailer 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 Utility Trailer 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 trailers that have been conducted, are being conducted, are planned, or are being planned by, or for, Utility Trailer. 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, Utility Trailer 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 trailers. 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 trailer production;
 - b. A detailed description of the modification or change;
 - c. The reason(s) for the modification or change;
 - d. How the modification or change was performed, (i.e. cut off then re-welded);
 - e. The part number(s) (service and engineering) of the original component;
 - f. The part number(s) (service and engineering) of the modified component;
 - g. Whether the original unmodified component was withdrawn from production and if so, when;
 - h. When the modified component was made available as a service component; and
 - i. Whether the modified component can be interchanged with earlier production components.

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

10. Furnish Utility Trailer's assessment of the alleged defect in the subject trailer, 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 Trailer 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 Utility Trailer 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

Utility Trailer's failure to respond promptly and fully to this letter could subject Utility Trailer 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 Utility Trailer 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, Utility Trailer does not submit one or more requested documents or items of information in response to this information request, Utility Trailer 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 PE13-008 in Utility Trailer's response to this letter and in any confidentiality request submitted to the Office of Chief Counsel.

If Utility Trailer 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, Utility Trailer 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. Utility Trailer 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.

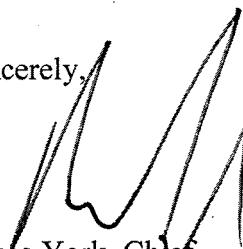
Due Date

Utility Trailer's response to this letter, in duplicate, together with a copy of any confidentiality request, must be submitted to this office by February 28, 2014. If Utility Trailer finds that it is unable to provide all of the information requested within the time allotted, Utility Trailer must request an extension from me at (202) 366-6938 no later than five business days before the response due date. If Utility Trailer 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 Utility Trailer then has available, even if an extension has been granted.

Please send email notification to Peter Kivett at peter.kivett@dot.gov and to ODI_IRresponse@dot.gov when Utility Trailer sends its response to this office and indicate whether there is confidential information as part of Utility Trailer's response.

If you have any technical questions concerning this matter, please call Peter Kivett of my staff at (202) 366-6178.

Sincerely,

A handwritten signature in black ink, appearing to be 'Bruce York', written over the word 'Sincerely,'.

Bruce York, Chief
Heavy Truck Division
Office of Defects Investigation

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