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Volvo Response to PE20-003

Response due to NHTSA/ODI June 1, 2020

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II. General information such as scope, definitions, search criteria
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Questions: please contact Regulatory Affairs department at vtna.regulatoryaffairs@volvo.com

I. Questions Matrix and Product Safety Working Group Member/ person(s) to take the lead responding to the question:

Q #	Description	Proposed Responsible	Expected Delivery Date	Status	Comments
1	Production Data	Jolin/ Martin	May 5, 2020	Complete w/ exception of part numbers	Template provided in file folder labeled Question 1.
2a	Customer Complaints, Field Reports, Reports Involving a Crash, Aggregate Counts	LaFon/ PSWG	TBD	Open	Table for aggregate numbers provided in file folder labeled Question 2, part a. Assessment grading required. Additional details required if report involves a crash. Templates provided in file folder question 2, part a.
2b	Reports Involving a Crash, Property Damage Claims, Third-party arbitration, Lawsuits Aggregate Counts	LaFon/ PSWG	TBD	Open	Table for aggregate numbers provided below in Question 2, part b. Assessment grading required. Additional details required if report involves a crash, property damage claim, third party arbitration, and lawsuits. Templates provided in file folder question 2, part b.
3	Continuation of question 2 - must provide details for each item included in the aggregate count.	Jolin/ Skrzecz LaFon/ Hinderliter	TBD TBD	Open Open	Template provided in the question 3 file folder. Note: Part a and b file folders provided Note: Columns “O” and “P” requires additional research to identify whether valve was replaced before and if so at what mileage and date.

4	Continuation of question 2 – asking to provide copies of all documents such as the consumer complaint (Copy of the ASIST Case), Field Report (Copy of the ARGUS Case), Property Damage claim, Lawsuit etc for each item	Jolin/ Skrzecz LaFon/ Hinderliter	TBD TBD	Open Open	A file folder for each category is provided in the question 4 folder. Note: Part a and b file folders provided A ledger is provided in each folder to record the documents.
5	Warranty and Goodwill claims - must identify all potentially relevant warranty claims.	Jolin/ Martin	TBD	Open	Includes any fleet specific programs, field programs etc. Assessment grading required. An excel workbook is provided in the question 5 folder.
6	Continuation of question 5. Must identify search criteria, labor operations etc. Also must provide warranty provisions (standard, extended etc.) offered on population identified in Question 1, and provide counts by model and model year for each warranty provision (standard, extended, etc.)	Jolin/ Martin	TBD	Open	Worksheet provided in question 6 file folder
7	Provide copies of all service, warranty, and other documents that relate to, or may relate to, the alleged defect. Examples include Warranty documents, Fleet campaigns, field service bulletins, case based reason rpts. Also includes any draft information that is planned to be sent out.	Jolin/ Martin	TBD	Open	All documents are to be saved in the question 7 file folder. We will also query reports collected for AQ18-005, Regulatory Affairs will review this and save any documents to the folder.

8	All assessments, analyses, tests, test results, studies, surveys, simulations, investigations, inquiries.	Reliability: Jolin Legal: Hinderliter Regulatory: Lafon Product Dev. Comte/ Kiser Purchasing: Robertson Operations: Calsavara	TBD	Open	File folders set up for each group under question 8 folder. Each group responsible for identifying any relevant cases, collecting all documents, organizing and storing under their respective folders. A ledger is provided to record each document. All documents related to each assessment, analysis, test, test results, study, survey, simulation, investigation, and inquiry Assessment grading required.
9	Design Changes	Comte/ Ghantae GTT designs Calsavara/ GTO CA designs	TBD	Open	A ledger is provided in the question 9 folder.
10a	Exemplar Parts Provide and exemplar sample ofthe design version of the subject components originally equipped on the 2017 Mack MRU subject incident vehicle	Comte/ Jolin	TBD	Open	Discuss in Bendix/ Volvo bi-weekly mtg.
10b	Provide a sample of any kits that have been released, or developed, by Volvo for use in service	Robertson	TBD	Open	I believe the answer is none. But need to confirm,

	repairs to the subject component/assembly which relate, or may relate, to the alleged defect in the subject vehicles.				
11	Aftermarket Part usage for subject components and kits	Robertson	TBD	Open	A table is provide in the question 11 folder.
12	Mack Trucks Final Assessment	LaFon/ PSWG Core team	TBD	Open	Lafon and PSWG core team to review all collected information, respond to the questions, and anchor with PSC.

II. General information:

Scope:

a. Model Year 2008-2020 Mack complete (1M1 first 3 digits of VIN) and incomplete vehicle (IM2) that used a PP1 valve. The PP1 part numbers identified for this period are:

PART NUMBER
20QE3179
20QE1284
20QE3113
25163101
25117989
25152769

b. Alleged Defect: Any and all alleged instances of unintended vehicle movement from a stopped or parked position, for any and/or unknown cause.

c. **Definition:**

i. ***Crash*** an unintended event resulting in injury or damage, involving one or more motor vehicles.

ii. ***Claim*** means a written request or written demand for relief, including money or other compensation, assumption of expenditures, or equitable relief, related to a motor vehicle crash, accident, the failure of a component or system of a vehicle or an item of motor vehicle equipment, or a fire originating in or from a motor vehicle or a substance that leaked from a motor vehicle. Claim includes, but is not limited to, a demand in the absence of a lawsuit, a complaint initiating a lawsuit, an assertion or notice of litigation, a settlement, covenant not to sue or release of liability in the absence of a written demand, and a subrogation request. A claim exists regardless of any denial or refusal to pay it, and regardless of whether it has been settled or resolved in the manufacturer's favor. The existence of a claim may not be conditioned on the receipt of anything beyond the document(s) stating a claim. Claim does not include demands related to asbestos exposure, to emissions of volatile organic compounds from vehicle interiors, or to end-of-life disposal of vehicles, parts or components of vehicles, equipment, or parts or components of equipment.

iii. ***Consumer complaint*** means a communication of any kind made by a consumer (or other person) to or with a manufacturer addressed to the company, an officer thereof or an entity thereof that handles consumer matters, a manufacturer website that receives consumer complaints, a manufacturer electronic mail system that receives such information at the corporate level, or that are otherwise received by a unit within the manufacturer that receives consumer inquiries or complaints, including telephonic complaints, expressing dissatisfaction with a product, or relating the unsatisfactory performance of a product, or any actual or potential defect in a product, or any event that allegedly was caused by any actual or potential defect in a product, but not including a claim of any kind or a notice involving a fatality or injury.

iv. **"*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 Volvo, 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 nonidentical 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 Volvo or not. If a document is not in the English language, provide both the original document and an English translation of the document.

v. ***Field report*** means a communication in writing, including communications in electronic form, from an employee or representative of a manufacturer of motor vehicles or motor vehicle equipment, a dealer or authorized service facility of such manufacturer, or an entity known to the manufacturer as owning or operating a fleet, to the manufacturer regarding the failure, malfunction, lack of durability, or other performance problem of a motor vehicle or motor vehicle equipment, or any part thereof, produced for sale by that manufacturer and transported beyond the direct control of the manufacturer, regardless of whether verified or assessed to be lacking in merit, but does not include any document covered by the attorney-client privilege or the work product exclusion.

d. 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)

e. Parameters to use to identify all documents that may be related**.**

i. **ASIST, ARGUS, Warranty/ Goodwill:**

1. **Step 1,** Search by

a. Causal part number,

PART NUMBER
20QE3179
20QE1284
20QE3113
25163101
25117989
25152769

b. By Function Group, FG 5614

c. By acronym, word used in description: Words to use PP1, “park”, “roll” and “away”

Note: For Argus and Assist, there may be discussion in the comments section that contains information that is related. Be sure to also query the actions as well for related reports.

2. **Step 2,** Compile results from three searches into workbook provided in appropriate file folder and filter out duplicates (common cases may be pulled using the different search methods).

Note: before designing query, review the template to make sure that the relevant data is collected. Identify where information is not available.

3. **Step 3.** Perform an analysis to determine which ones may be associated. Assign a assessment result level based on whether the Argus, ASIST, warranty, or goodwill claim is related to the Park Brake control valve. The levels are defined as follows:

- Level 1 = Related to the park brake control valve,
- Level 2 = May be related to the park brake control valve,
- Level 3 = Not-related to the park brake control valve,

NOTE: When selecting the Level (i.e. whether it is related or not), if you do not feel comfortable making the assessment, lave the cell blank in the worksheet.

4. Load the workbook to the appropriate file folder in Sharepoint.

5. For Level 1 & 2, create a file folder for each entry and collect and file all documents (see documents definition) for the entry in the file folder. Log entry into ledger provided in file folder.

ii. Lawsuits, Property Damage Claims, Third-Party Arbitration,
   1. Same as "i. Argus, ASIST etc." except that search will involve keywords only (cannot search on part number or function group in Legal database).

iii. Source of information and date collected: All questions require that we document the source (where the information came from) and the last date collected.

III. NHTSA Inquiry questions

1. State, by model and model year, the number of subject vehicles Volvo has manufactured for sale or lease in the United States. Separately, for each subject vehicle manufactured to date by Volvo, state the following:
   a. Vehicle identification number (VIN);
   b. Make;
   c. Model;
   d. Model Year;
   e. Date of manufacture;
   f. Subject component part number(s) and design version(s) installed as original equipment;
   g. Date warranty coverage commenced; 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 Volvo, or of which Volvo is otherwise aware, which relate to, or may relate to, the alleged defect in the subject vehicles and/or the subject components:
   a. Consumer complaints, including those from fleet operators;
   b. Field reports, including dealer field reports;
   c. Reports involving a crash, injury or fatality;
   d. Property damage claims;
   e. Third-party arbitration proceedings where Volvo is or was a party to the arbitration; and
   f. Lawsuits, both pending and closed, in which Volvo is or was a defendant or codefendant.

   For subparts "a" through "f," 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 Volvo's assessment of the problem, with a summary of the significant underlying facts and evidence. For items "e" and "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. Volvo'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), street address, email 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. Incident location;
    i. Report or claim date;
    j. Whether a crash is alleged;
    k. Whether property damage is alleged;
    l. Number of alleged injuries, if any;
    m. Number of alleged fatalities, if any;
    n. Subject component part number(s) and design version(s) installed at time of incident, and whether the subject components were original equipment or service replacement;
    o. Vehicle mileage at the time the subject component was last replaced or serviced prior to the subject incident;
    p. Date the subject component was last replaced or serviced prior to the subject incident;
    q. Alleged and/or known root cause; and
    r. Whether Volvo examined the subject vehicle and/or subject component(s), and if yes, provide a summary of Volvo's assessment.

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 Volvo used for organizing the documents. Describe in detail the search methods and search criteria used by Volvo to identify the items in response to Request No. 2.

5. State, by model and model year, a total count for all of the following categories of claims, collectively, that have been paid by Volvo 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.
   Separately, for each such claim, state the following information:

   a. Volvo's claim numberVehicle owner or fleet name (and fleet contact person), street address, email address and telephone number;
   b. VIN;
   c. Repair date;
   d. Vehicle mileage at time of repair;
   e. Repairing dealer's or facility's name, telephone number, city and state or ZIP code;
   f. Labor operation number(s);
   g. Problem code(s);
   h. Replacement part number(s) and description(s);
   i. Concern stated by customer;
   j. Cause as stated on the repair order;
   k. Correction as stated on the repair order;
   l. Vehicle mileage when the subject component was last replaced or serviced prior to the claim;
   m. Date the subject component was last replaced or serviced prior to the claim; and
   n. Additional comments, if any, by dealer/technician relating to claim and/or repair.

Provide this information in Microsoft Access 2010, or a compatible format, entitled "WARRANTY DATA." A pre-formatted data collection file, which provides further details regarding this submission, will be provided to you.

6. Describe in detail the search methods and search criteria used by Volvo to identify the claims 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 Volvo 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 Volvo 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 Volvo 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 Volvo 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, Volvo. 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, Volvo 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 Volvo is aware of which may be incorporated into vehicle production within the next 120 days.

10. Produce one of each of the following:

    a. Exemplar sample of the design version of the subject components originally equipped on the 2017 Mack MRU subject incident vehicle; and
    b. Any kits that have been released, or developed, by Volvo for use in service repairs to the subject component/assembly which relate, or may relate, to the alleged defect in the subject vehicles.

11. State the number of each of the following that Volvo has sold that may be used in the subject vehicles by component name, part number (both service and engineering/production), model and model year of the vehicle in which it is used and month/year of sale *(including the cut-off date for sales, if applicable)*:

    a. Subject components; and
    b. Any kits that have been released, or developed, by Volvo for use in service repairs to the subject component/assembly.

    For each component part number, provide the supplier's name, address, and appropriate point of contact (name, title, and telephone number). Also, identify by make, model and model year, any other vehicles of which Volvo is aware that contain the identical component, whether installed in production or in service, and state the applicable dates of production or service usage.

12. Furnish Volvo'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 referenced in the 2nd paragraph of this inquiry.