



U.S. Department
of Transportation

**National Highway
Traffic Safety
Administration**

1200 New Jersey Avenue, SE
Washington, DC 20590

DEC -7 2012

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Mr. Roger Roeszler
Manager, Technical Research and Support
Harley-Davidson Motor Company, Inc.
3700 W. Juneau Ave.
Milwaukee, WI 53132

NVS-214jry
PE12-035

Dear Mr. Roeszler:

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 (PE12-035) to investigate alleged stalling in certain Buell 1125R and 1125CR motorcycles (1125). We have enclosed 38 complaints filed with us by owners alleging their 1125 motorcycles suddenly stalled while underway. This appears to be primarily due to a charging system failure.

To gather more information about this issue, and Harley-Davidson's response to it, we request information where the following definitions apply:

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

- **Subject Motorcycles:** Buell motorcycle models and model years covered by the subject service bulletin.
- **Subject Service Bulletin ("TSB"):** TSB no. B-099, released on December 7, 2009 concerning "Buell 1125 Models Charging System Upgrade – Product Program 0507."
- **Subject Component:** Charging system Stator.
- **Alleged defect:** Subject vehicle stalling due to a charging system failure, including, but not limited to, stator overheating.

Harley-Davidson: Harley-Davidson Motor Company, and all of its past and present officers and employees, whether assigned to its principal offices or any of its field or other locations, including all of its divisions, subsidiaries (whether or not incorporated) and affiliated enterprises (including Buell Motorcycle Company) 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 Harley-Davidson (including all business units and persons previously referred to), who 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, field quality engineers, assembly plant engineers, component suppliers, assembly wholesalers, retailers, or other field locations, including but not limited to people who have the capacity to obtain information from wholesalers or retailers, all officers, employees, agents, contractors, and consultants of Harley-Davidson, whether assigned to its principal office or to any of its field locations, and all records or files maintained by the company either in hard copy form or in electronic storage media.
- **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 Harley-Davidson, 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 the manufacturer 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 Harley-Davidson has previously provided a document to ODI, Harley-Davidson 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 Harley-Davidson's response to each request, identify the source of the information and indicate the last date the information was gathered. If requested information is unavailable, so state and provide a brief explanation. Along with your written response, please provide this information in Microsoft Word 2000, or a compatible format, entitled "IR Response."

1. State, by production year, the number of subject motorcycles Harley-Davidson has manufactured for sale or lease in the United States. Separately, for each motorcycle manufactured to date, state the following:
 - a. Vehicle identification number (VIN);
 - b. Model Year;
 - c. Model;
 - d. Date of manufacture;
 - e. Warranty coverage start date;
 - f. OE stator part no.;
 - g. Original purchaser first and last name; and
 - h. The selling dealer Harley-Davidson identification number (i.e., 0069, 1449, 4590, etc.).

Provide this information in Microsoft Excel 2000, or a compatible format, entitled "PRODUCTION DATA." A pre-formatted table, outlining the requested information format, was sent earlier by e-mail with the subject line "PE12-035 IR Attachments".

2. State the number of each of the following, received by Harley-Davidson, or of which Harley-Davidson is otherwise aware, which relate to, or may relate to, the alleged defect in the subject vehicles:
 - a. Consumer complaints;
 - b. Field reports, including dealer field reports;
 - c. Reports involving a crash, injury, or fatality, based on claims against the manufacturer involving a death or injury and/or notices received by the manufacturer alleging or proving that a death or injury was caused by a possible defect in a subject vehicle.
 - d. Property damage claims;
 - e. Third-party arbitration proceedings where Harley-Davidson is or was a party to the arbitration; and
 - f. Lawsuits, both pending and closed, where Harley-Davidson 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 Harley-Davidson'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. Harley-Davidson'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 name, address, and telephone number;
 - d. Vehicle's VIN;
 - e. Vehicle's model and model year;
 - f. Vehicle's mileage at time of incident;
 - g. Incident date;
 - h. Report or claim date;
 - i. Whether a crash is alleged;
 - j. Whether property damage is alleged;
 - k. Number of alleged injuries, if any; and
 - l. Number of alleged fatalities, if any.

Provide this information in Microsoft Excel 2000, or a compatible format, entitled "COMPLAINT DATA." A pre-formatted table, outlining the requested information format, was sent earlier by e-mail with the subject line "PE12-035 IR Attachments".

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 Harley-Davidson 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 Harley-Davidson to date that relate to, or may relate to, replacement of the subject components 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. Harley-Davidson's claim number;
- b. Vehicle owner and telephone number;
- c. VIN;
- d. Repair date;
- e. Vehicle mileage at time of repair;
- f. Repairing dealer's Harley-Davidson identification number;
- g. Primary labor code (i.e., 7848);
- h. Customer concern code (i.e., 0507);
- i. Condition code (i.e., 9981);
- j. Replacement part number(s) and description(s);
- k. Concern stated by customer; and
- l. Comment, if any, by dealer/technician relating to claim and/or repair.

Provide this information in Microsoft Excel 2000, or a compatible format, entitled "WARRANTY DATA." A pre-formatted table, outlining the requested information format, was sent earlier by e-mail with the subject line "PE12-035 IR Attachments".

In addition to the total counts requested above, provide Harley-Davidson's assessment, by model and model year, of the number of claims within each of the counts given that relate to, or may relate to, the alleged defect.

6. Describe in detail the search criteria used by Harley-Davidson 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 Harley-Davidson 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 Harley-Davidson 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, and or the subject component, that Harley-Davidson 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 Harley-Davidson 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, and or the subject component, that have been conducted, are being conducted, are planned, or are being planned by, or for, Harley-Davidson. 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, Harley-Davidson in the design, material composition, manufacture, quality control, supply, or installation of the subject component, which relate to, or may relate to, the alleged defect. 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 numbers (service and engineering) of the original component;
 - e. The part number (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.
10. Also, provide the above information for any modification or change that Harley-Davidson is aware of which may be incorporated into vehicle production within the next 120 days.

State the number of subject components that Harley-Davidson 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). 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 Harley-Davidson is aware that contain the identical component, whether installed in production or in service, and state the applicable dates of production or service usage.

11. Furnish Harley-Davidson'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 would have that the alleged defect was occurring or subject component was malfunctioning;
 - f. The reports included with this inquiry;
 - g. The ability to restart a vehicle that has experienced engine stall caused by a subject component failure;
 - h. Harley-Davidson's analysis of subject component failure rates at 1, 2 and 3 years in service; and
 - i. Harley-Davidson's analysis of projected subject component failure rates at 5 and 10 years in service. Provide a detailed explanation of the methods used to perform these analyses.

This letter is being sent to Harley-Davidson 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. Harley-Davidson's failure to respond promptly and fully to this letter could subject Harley-Davidson 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 have increased as a result of the recent enactment of the Transportation Recall Enhancement, Accountability, and Documentation (TREAD) Act, Public Law No. 106-414 (signed November 1, 2000). Section 5(a) of the TREAD Act, codified at 49 U.S.C. § 30165(b), provides for civil penalties of up to \$5,000 per day, with a maximum of \$15 million for a related series of violations, for failing or refusing to perform an act required under 49 U.S.C. § 30166. This includes failing to respond to ODI information requests.

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

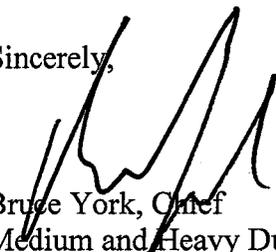
Harley-Davidson's response to this letter, in duplicate, together with a copy of any confidentiality request, must be submitted to this office by **January 4, 2013**. Please refer to **PE12-035** in Harley-Davidson's response to this letter. If Harley-Davidson finds that it is unable to provide all of the information requested within the time allotted, Harley-Davidson must request an extension from Mr. Bruce York at (202) 366-6938 no later than five business days before the response due date. If Harley-Davidson 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 Harley-Davidson then has available, even if an extension has been granted.

If Harley-Davidson 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, Harley-Davidson must submit supporting information together with the materials that are the subject of the confidentiality request, in accordance with 49 CFR Part 512, to the Office of Chief Counsel (NCC-113), National Highway Traffic Safety Administration, 1200 New Jersey Avenue, S.E., W41-326, Washington, D.C. 20590. Harley-Davidson is required to submit two copies of the documents containing allegedly confidential information (though only one copy of blueprints) and one copy of the documents from which information claimed to be confidential has been deleted.

Please send email notification to Bob Young (Robert.young@dot.gov) and to ODI_IRresponse@dot.gov when Harley-Davidson sends its response to this office and indicate whether there is confidential information as part of its response.

If you have any technical questions concerning this matter, please call Bob Young of my staff at (202) 366-4806.

Sincerely,



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