



NHTSA TRAINING

4/26/17 at FDIC . Indianapolis, IN

INTRODUCTION



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DISCLAIMER



Information contained in this presentation may not be all inclusive and is not to be considered legal advice or an interpretation of any laws. You should consult with legal counsel. The National Highway Traffic Safety Administration (NHTSA) can be consulted for regulatory interpretations if needed.

Information contained herein is intended to give you an overview of applicable federal regulations promulgated by the National Highway Traffic Safety Administration and share best practices that might improve the culture of safety in your organizations.

OBJECTIVE



To create a culture that yields proactive steps to improve motor vehicle safety with equipment manufacturers and to improve their awareness of the reporting obligations set forth by the National Highway Traffic Safety Administration (NHTSA)



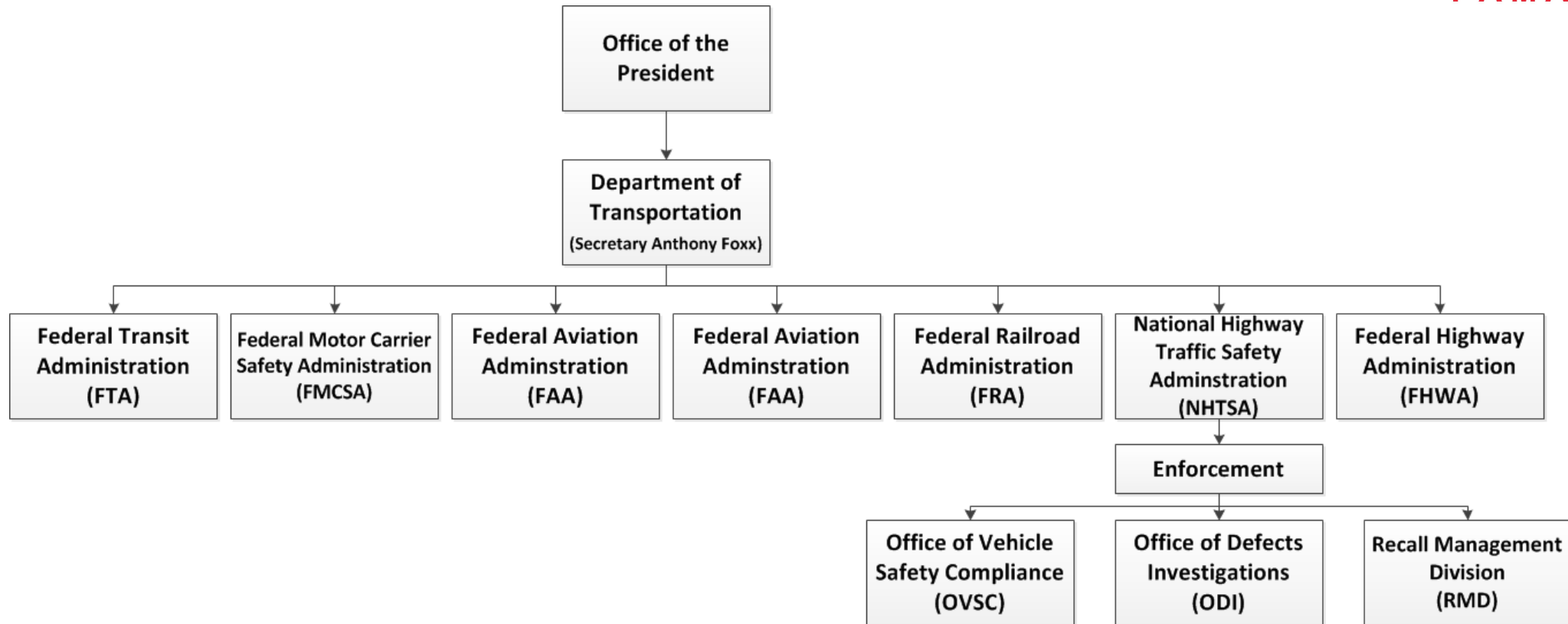
WHO IS NHTSA

ABOUT NHTSA



- “ The National Highway Traffic Safety Administration was established by the Highway Safety Act of 1970 to carry out safety programs under the National Traffic and Motor Vehicle Safety Act of 1966 and the Highway Safety Act of 1966.
- “ Operates under the US Department of Transportation
- “ Is responsible for reducing deaths, injuries and economic losses resulting from motor vehicle crashes.
- “ Investigates safety defects in motor vehicles

DOT HIERARCHY





GENERAL DEFINITIONS

DEFINITIONS



- “ **Original equipment** - motor vehicle equipment (including a tire) installed in or on a motor vehicle at the time of delivery to the first purchaser;
- “ **Manufacturer** - a person manufacturing or assembling motor vehicles or motor vehicle equipment; or importing motor vehicles or motor vehicle equipment for resale.
- “ **Distributor** - a person primarily selling and distributing motor vehicles or motor vehicle equipment for resale.
- “ **Alterer** - means a person who alters by addition, substitution, or removal of components (other than readily attachable components) a certified vehicle before the first purchase of the vehicle other than for resale.

DEFINITIONS CONT'D



- “ **Defect** - includes any defect in performance, construction, a component, or material of a motor vehicle or motor vehicle equipment.

- “ **Motor Vehicle Safety** - means the performance of a motor vehicle or motor vehicle equipment in a way that protects the public against unreasonable risk of accidents occurring because of the design, construction, or performance of a motor vehicle, and against unreasonable risk of death or injury in an accident, and includes **nonoperational** safety of a motor vehicle.

DEFINITIONS CONT'D



F A M A

- “ **Final-stage Manufacturer** - a person who performs such manufacturing operations on an incomplete vehicle that it becomes a completed vehicle.
- “ **Incomplete Vehicle** - an assemblage consisting, at a minimum, of chassis (including the frame) structure, power train, steering system, suspension system, and braking system, in the state that those systems are to be part of the completed vehicle, but requires further manufacturing operations to become a completed vehicle.
- “ **Incomplete Vehicle Manufacturer** - a person who manufactures an incomplete vehicle by assembling components none of which, taken separately, constitute an incomplete vehicle.
- **Intermediate Manufacturer** - a person, other than the incomplete vehicle manufacturer or the final-stage manufacturer, who performs manufacturing operations on a vehicle manufactured in two or more stages.



49 C.F.R. 565 VIN REQUIREMENTS

GENERAL VIN REQUIREMENTS



- Single stage vehicles have the VIN assigned by the manufacturer.
- Vehicles manufactured in two or more stages, the VIN is assigned by the incomplete vehicle manufacturer
- VIN must consist of 17 characters
- Cannot be duplicated within a 60 year period.
- VIN must appear clearly and indelibly upon either a part of the vehicle, other than the glazing, that is not designed to be removed except for repair or upon a separate plate or label that is permanently affixed to such a part.
- The type face utilized for each VIN shall consist of capital, sans-serif characters.

SAMPLE VIN - WMI



1	G	4	A	H	5	9	H	4	5	G	1	1	8	3	4	1
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Section 1
Position 1-3

Manufacturer's unique identification
number or World Manufacturer's Id

Section 4
Position 12-14

Manufacturer's unique identification
number or World Manufacturer's Id for low
volume manufacturers

VIN – SECTION 2



1	G	4	A	H	5	9	H	4	5	G	1	1	8	3	4	1
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Second Section
Decipherable Information

Truck: Make, model or line, series, chassis, cab type, engine type, brake system, gross vehicle weight rating, and for trucks with a gross vehicle weight rating (GVWR) of 4536 kg (10,000 lb) or less all restraint devices and their location.

VIN SECTION 3



1	G	4	A	H	5	9	H	4	5	G	1	1	8	3	4	1
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

Third Section
Check Digit


	1st Section			2nd Section					3rd Section	4th Section							
Vin Position	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17
Sample VIN	1	G	4	A	H	5	9	H	4	5	G	1	1	8	3	4	1
Assigned Value	1	7	4	1	8	5	9	8		5	7	1	1	8	3	4	1
Weight Factor	8	7	6	5	4	3	2	10	0	9	8	7	6	5	4	3	2
Multiply Assigned value times weight factor	8	49	24	5	32	15	18	80	0	45	56	7	6	40	12	12	2

Add $8 + 49 + 24 + 5 + 32 + 15 + 18 + 80 + 0 + 45 + 56 + 7 + 6 + 40 + 12 + 12 + 2 = 411$
Divide by 11: $411/11 = 37 \text{ } 4/11$ or 37.3636.

VIN SECTION 4



1	G	4	A	H	5	9	H	4	5	G	1	1	8	3	4	1
---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---	---

A bracket is drawn under the last seven characters of the VIN (5, G, 1, 1, 8, 3, 4, 1), grouping them together to indicate they form the fourth section of the VIN.

Fourth Section

Position 10 = Vehicle Model Year

Position 11 = Mfg Plant Location

Positions 12 – 18 = Sequential number assigned by the mfg



49 C.F.R. 566 MANUFACTURER IDENTIFICATION

49 C.F.R. 566.5



Each manufacturer of motor vehicles, and each manufacturer of covered equipment, shall furnish the information specified in **49 C.F.R. 566.5 – Requirements**, to the Administrator, NHTSA.

MOTOR VEHICLE EQUIPMENT



- “ (A) any system, part, or component of a motor vehicle as originally manufactured;
- “ (B) any similar part or component manufactured or sold for replacement or improvement of a system, part, or component, or as an accessory or addition to a motor vehicle; or
- “ (C) any device or an article or apparel, including a motorcycle helmet and excluding medicine or eye-glasses prescribed by a licensed practitioner, that--
 - “ (i) is not a system, part, or component of a motor vehicle; and
 - “ (ii) is manufactured, sold, delivered, or offered to be sold for use on public streets, roads, and highways with the apparent purpose of safeguarding users of motor vehicles against risk of accident, injury, or death.

MANUFACTURER IDENTIFICATION



- **49 C.F.R. 566 – Manufacturer Identification** applies to manufacturers of motor vehicles and to manufacturers of motor vehicle equipment, other than tires, to which a motor vehicle safety standard applies or often referred to as covered equipment
- If this section does not apply to you, yet you are a manufacturer of motor vehicle equipment that is not covered by a motor vehicle safety standard, **you are not excused from having to meet certain regulations**
- **To submit a “566,” follow the link:**

<https://vpic.nhtsa.dot.gov/>

WHO NEEDS TO REGISTER



- **Manufacturers of:**

- Vehicles
- Tires
- Glass
- Brake components
- Seats
- Door locks
- Seat Belts
- Air Bags

- Trans Shifters
- Defrosters
- Windshield Wipers
- Mirrors
- Brake Fluids
- Tire Pressure Monitors
- Rear Impact Guards

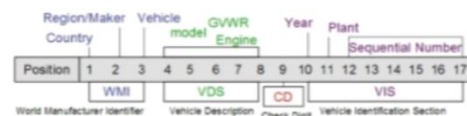
- Fuel Tanks
- CNG Systems
- DOT lighting

Welcome to vPIC

The NHTSA Product Information Catalog and Vehicle Listing (vPIC) is a consolidated platform that presents data collected within the manufacturer reported data from CFR 49 Parts 551 – 574 for use in a variety of modern tools. NHTSA's vPIC platform is intended to serve as a centralized source for basic Vehicle Identification Number (VIN) decoding, Manufacturer Information Database (MID), Manufacturer Equipment Plant Identification and associated data.

[More Info >](#)

Data within vPIC is primarily focused on Model Years 1995 and forward. vPIC Patterns are based on Vehicle Identification Number (VIN) specifications received from the manufacturers following the 565 standard.



For any additional information and questions: Contact NHTSA Manufacturer Helpdesk at manufacturerinfo@dot.gov or 1-888-399-3277

Resource Links:

- [NHTSA New Manufacturers Handbook \(PDF\)](#) and [Manufacturer Identification Form](#) (Click here to get current version of Adobe Reader)
- [CFR 49 Part 551](#) (Foreign manufacturers and importers – designation of an agent for service of process)
- [CFR 49 Part 565](#) (Vehicle Identification Number Guidance)
- [CFR 49 Part 566](#) (Manufacturer Identification – Reporting Requirements)
- [CFR 49 Part 574](#) (Tire Identification Number (TIN) Guidance)
- [CFR 49 Part 595.6](#) (Identification for Vehicle Modifier to Enable a Person with Disability to Operate or Ride as a Passenger)
- [Suggested Designation of Agent for Service of Process Form](#) (under 49 U.S.C A30164 and CFR 49 Part 551, Subpart D)

Manufacturer Portal : Online Web-based Submittal Center

- ✓ Submit new or revised form for:
 - ☐ VIN Requirements (CFR 49 Part 565)
 - ☐ Manufacturer Identification (CFR 49 Part 566; Routine Identification Data)
 - ☐ Designation of U.S. Agent of Service of Process (CFR 49 Part 551, Subpart D)
 - ☐ Equipment Plant Code Request (Brake Hose, Glazing, New Tires, or Tire Retread)
 - ☐ Adapted Vehicle Modifier (CFR 49 Part 595)
- ✓ Check the status for already submitted requests.

[Manufacturer Portal](#)

MID : Manufacturer Information Database

- ✓ View manufacturer information (Address, Products Manufactured, Makes, etc.).
- ✓ View or download documents submitted to NHTSA by Manufacturers as it relates to CFR 49 Part 566, CFR 49 Part 565 and CFR 49 Part 574.
- ✓ Obtain World Manufacturer Identifiers (WMIs) assigned to a manufacturer assigned by SAE and referenced in vPIC.

[vPIC MID](#)

New Request

Here you can submit new form for VIN Requirements (49 CFR Part 565), Manufacturer Identification (49 CFR Part 566), Designation of U.S. Agent by Foreign Manufacturer (49 CFR Part 551, Subpart D), Equipment Plant Code Request (for Brake Hose, Glazing, New Tires, or Tire Retread), or Adapted Vehicle Modifier Identification (49 CFR Part 595)

You must ensure the accuracy of your submission. Any inaccuracy may result in a rejection of your submission or delay processing of your submission.

Fields marked with * are required

Document Type *

Manufacturer Full Legal Name *

Manufacturer Country *

Manufacturer State/Province *

Manufacturer City *

Submitter's Business Email *

Verify Submitter's Business Email *

Manufacturer Phone *

Cover Letter / Submission Description *

- Please identify whether this submission is a new record or an update to an existing record.
- If this is an update, you **MUST** identify all changes from the existing record.

B /

Check Status

If you already submitted a request and you want to check its status you can follow the link received in the confirmation email.

The same email contains a Submission ID and you can type (or copy/paste) it here:

[Check Status of Submitted Request](#)



Domestic Manufacturers (49 CFR Part 566)

Status is currently: **APPROVED**

Submission ID: 6fceedda-7771-46be-855c-81c4fb7f00a3

Date Submitted: 9/28/2016 5:58:07 PM

Email sent to: rlackore@smeal.com

Correspondence:

Cover Letter:

Smeal Fire Apparatus has been a final stage manufacturing fire apparatus built on incomplete vehicles for decades. We must have registered at some point in time since we do have a WMI (1S9936). There is, however, nothing that comes up on a search of part 566 in the NHTSA Manufacturer's Information Database (MID).

I initially followed the directions in the New Manufacturer handbook and mailed copies of the downloaded form. After a discussion with a NHTSA contact, I was informed that this method would take much longer, so I am attempting to use the on-line system. Please disregard the mailed forms.

This is therefore a new record as far as I can tell.

Search Criteria

Hint: Multiple search criteria is treated as an "AND". To increase search results, enter fewer search criteria. Likewise, to reduce search results enter more search criteria.

Organization ⓘ

Name

Spartan

Doing Business As (DBA)

City

State

Country

Equipment Type

WMI (SAE) only uses Name and Country

Name will search against current, previous name and DBA (when available)

Doing Business As (DBA) applies to 565, 566 and Make Model searches only

Equipment Type applies to 565 and 566 searches only

☐ Part 565 ☒ Part 566 ⓘ

File Name

Start Date

End Date

File Name applies to 565 only

☐ Equipment Plants (Tires, Brake Hoses, Retread and Glazing) ⓘ

☐ World Manufacturer Identifier (WMI) ⓘ

Search

SPARTAN MOTORS USA, INC.

[Export to PDF](#)

Common Name	SPARTAN MOTORS	Contact Name	Wesley D. Chestnut
Previous Legal Name	SPARTAN CHASSIS, INC.	Contact Position	Manager, Product Safety and Compliance
URL	www.spartanmotors.com	Contact Business Phone	[517]543-6400
All Company DBAs		Business Fax Number	[517]543-7729
Trade/Brand Names		Contact Business Email	Wes.Chestnut@spartanmotors.com
Principal Name	Thomas Kivell	Production Start Date	
Principal Position	Secretary, General Counsel	Production End Date	
Address	1541 Reynolds Rd CHARLOTTE, MI 48813 United States (USA)	Parent Company	
		Updated On	01/06/2016

Makes and Models

Chevrolet	3500 / 4500, 3500HD, 4500HD, 4500XD, 5500HD, 5500XD
Isuzu	FTR, NPR/ NPR-HD/ NPR-XD, NPR/NPR-HD, NQR/NRR
Spartan Motors	Gladiator , Metrostar
Spartan Motors Chassis	Advantage, Alpine, AV, Baron, BC, BV, CFR 4x4, CFR 6x6, Charger, Concrete Mixer, CV, Diamond Series, EXP - 2001, Forward Control, Front Wheel Drive, Furion, Furion - RT, Gladiator, GT-ONE, Highlander, K2, K3, K4, Kicker, Low Floor, Low Profile, Metro Star, Metro Star - RT, Metro Star X, Military, Mountain Master (MM), P6-S BUS, Rangemaster, Refueler, School Bus, Shuttle Bus, Silent Knight, Specialty Vehicle, Summit (SU)/K1, Sweeper, TB, Tour Bus, TR-1, Transit Bus, Vector 4x4, Work Truck, Z2
Spartan/Isuzu	Chevrolet W3500/W4500, Chevrolet W5500/W5500h, GMC W3500/W4500, GMC W5500/W5500 HD, Isuzu NPR/NPR/NPR-HD, Isuzu NQR/NRR

Manufacturer Types

Type	Completed Vehicle Manufacturer, Incomplete Vehicle Manufacturer, Intermediate Manufacturer, Final-Stage Manufacturer, Alterer
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Vehicle Types

Is Primary	Vehicle Type	GVWR From	GVWR To
<input type="checkbox"/>	Truck	Class 6: 19,501 - 26,000 lb (8,845 - 11,794 kg)	Class 8: 33,001 lb and above (14,969 kg and above)
<input type="checkbox"/>	Bus	Class 5: 16,001 - 19,500 lb (7,258 - 8,845 kg)	Class 8: 33,001 lb and above (14,969 kg and above)
<input type="checkbox"/>	Incomplete Vehicle	Class 7: 26,001 - 33,000 lb (11,794 - 14,969 kg)	Class 8: 33,001 lb and above (14,969 kg and above)

Action History

Submittal/Letter Date	Reference
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49 C.F.R. 567 CERTIFICATION

NATIONAL TRAFFIC AND MOTOR VEHICLE SAFETY ACT



§30115. Certification of compliance

(a) In General.- A manufacturer or distributor of a motor vehicle or motor vehicle equipment shall certify to the distributor or dealer at delivery that the vehicle or equipment complies with applicable motor vehicle safety standards prescribed under this chapter. A person may not issue the certificate if, in exercising reasonable care, the person has reason to know the certificate is false or misleading in a material respect. Certification of a vehicle must be shown by a label or tag permanently fixed to the vehicle. Certification of equipment may be shown by a label or tag on the equipment or on the outside of the container in which the equipment is delivered.

(b) Certification Label.- In the case of the certification label affixed by an intermediate or final stage manufacturer of a motor vehicle built in more than 1 stage, each intermediate or final stage manufacturer shall certify with respect to each applicable Federal motor vehicle safety standard-

(1) that it has complied with the specifications set forth in the compliance documentation provided by the incomplete motor vehicle manufacturer in accordance with regulations prescribed by the Secretary; or

(2) that it has elected to assume responsibility for compliance with that standard.

MOTOR VEHICLE SAFETY ACT - CANADA



- **5** (1) No company shall apply a national safety mark to any vehicle or equipment, sell any vehicle or equipment to which a national safety mark has been applied, or import into Canada any vehicle or equipment of a prescribed class unless

- (a) the vehicle or equipment conforms to the standards prescribed for vehicles or equipment of its class at the time the main assembly of the vehicle was completed or the equipment was manufactured;

- (b) evidence of that conformity has been obtained and produced as provided for in the regulations or, if the regulations so provide, to the Minister's satisfaction;

- (c) [Repealed, 1999, c. 33, s. 351]

- (d) prescribed information is marked on the vehicle or equipment as provided for in the regulations;

- (e) prescribed documentation or prescribed accessories accompany the vehicle or equipment as provided for in the regulations;

- (f) prescribed information relating to the operation of the vehicle or equipment is disseminated as provided for in the regulations;

- (g) records are maintained and furnished, as provided for in the regulations, in relation to the design, manufacture, testing and field performance of the vehicle or equipment, for the purpose of

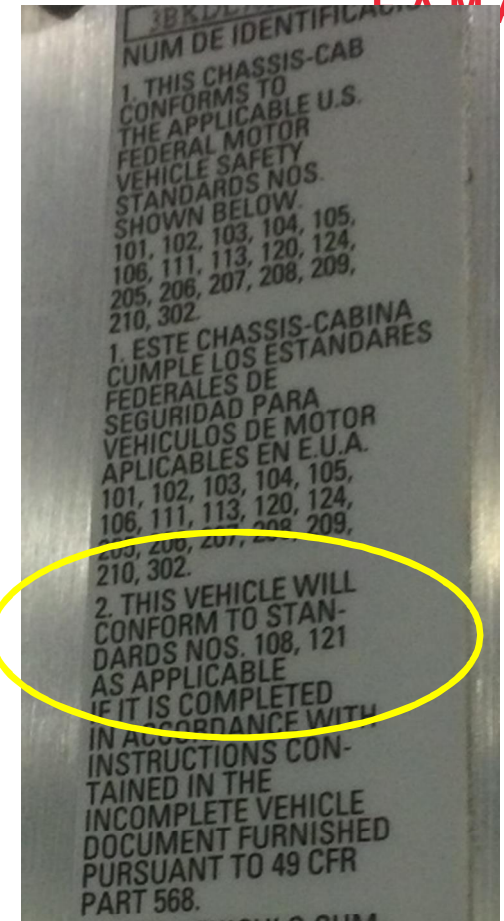
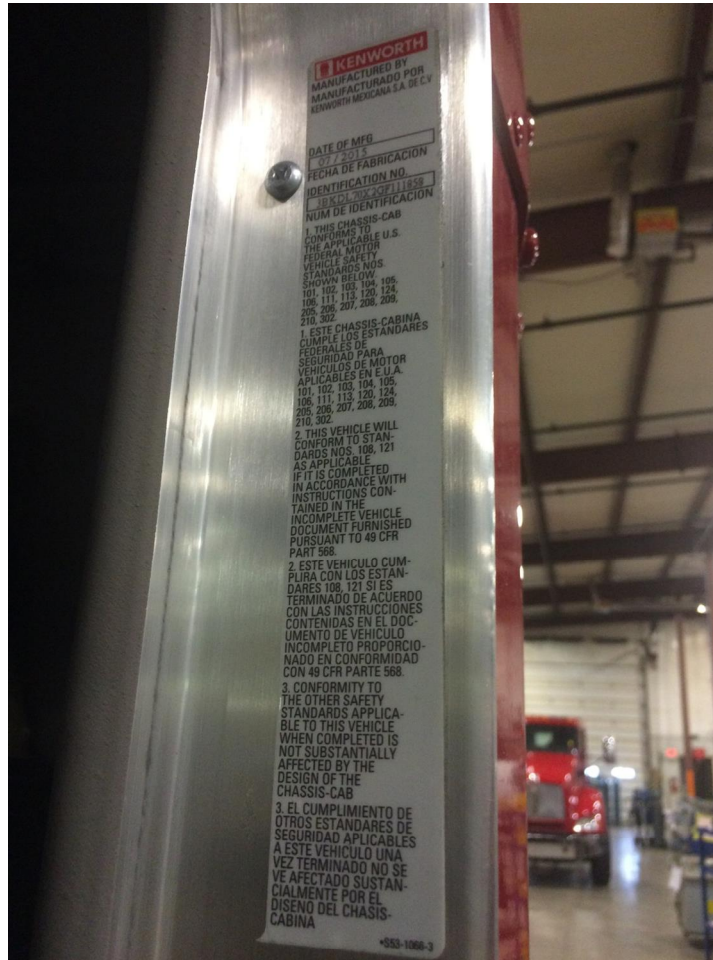
- (i) enabling an inspector to determine whether the vehicle or equipment conforms to all requirements applicable to it, and

- (ii) facilitating the identification and analysis of defects referred to in subsection 10(1); ð

KENWORTH



FAMA





MANUFACTURER OF MOTOR VEHICLES

MANUFACTURERS OF MOTOR VEHICLES LABELING (49 C.F.R. 567.4)



Each manufacturer of motor vehicles (except vehicles manufactured in two or more stages) shall affix a label that meets the following requirements;

1. Lettered in block capitals and numerals not less than three thirty-seconds of an inch high,
2. The name of the manufacturer,
3. Month and year of manufacture,
4. Gross Vehicle Weight Rating or “GVWR,”
5. Gross Axle Weight Rating or “GAWR,”
6. The language “This vehicle conforms to all applicable Federal motor vehicle safety standards in effect on the date of manufacture shown above,”
7. Vehicle identification number,
8. The type classification of the vehicle (e.g., truck, MPV, bus, trailer),
9. The label shall be riveted or permanently affixed in such a manner that it cannot be removed without destroying or defacing it.



COMPLETE VEHICLE LANGUAGE



This vehicle conforms to all applicable Federal motor vehicle safety, bumper, and theft prevention standards in effect on the date of manufacture shown above.+



F A M A

FINAL STAGE VEHICLES

FINAL STAGE MANUFACTURER

(49 C.F.R. 567.5)



Each final-stage manufacturer of a vehicle manufactured in two or more stages assumes legal responsibility for all certification-related duties and liabilities under the Vehicle Safety Act, except to the extent that the incomplete vehicle manufacturer or an intermediate manufacturer has provided equipment subject to a safety standard or expressly assumed responsibility for standards related to systems and components it supplied and except to the extent that the final-stage manufacturer completed the vehicle in accordance with the prior manufacturers' IVD or any addendum furnished pursuant to 49 CFR part 568, as to the Federal motor vehicle safety standards fully addressed therein.

FINAL STAGE MANUFACTURER LABELING (49 C.F.R. 567.5)



Each final-stage manufacturer shall affix a certification label to each vehicle, in a manner that does not obscure the labels applied by previous stage manufacturers, and that meets the following requirements;

1. Lettered in block capitals and numerals not less than three thirty-seconds of an inch high,
2. The name of the final stage manufacturer with the words preceded by "MANUFACTURED BY,"
3. Month and year of final stage manufacture is complete,
4. Gross Vehicle Weight Rating or "GVWR,"
5. Gross Axle Weight Rating or "GAWR,"
6. Contains one of the three following statements;



This vehicle conforms to all applicable Federal Motor Vehicle Safety Standards, [and Bumper and Theft Prevention Standards, if applicable] in effect in (month, year)."

"This vehicle has been completed in accordance with the prior manufacturers' IVD, where applicable. This vehicle conforms to all applicable Federal Motor Vehicle Safety Standards, [and Bumper and Theft Prevention Standards, if applicable] in effect in (month, year)."

"This vehicle has been completed in accordance with the prior manufacturers' IVD, where applicable, except for [insert FMVSS(s)]. This vehicle conforms to all applicable Federal Motor Vehicle Safety Standards, [and Bumper and Theft Prevention Standards if applicable] in effect in (month, year)

8. Vehicle identification number,
9. The type classification of the vehicle (e.g., truck, MPV, bus, trailer),
10. The label shall be riveted or permanently affixed in such a manner that it cannot be removed without destroying or defacing it.

EXAMPLE



MFD By:	US Tanker Fire Apparatus, LLC					mm/yy	
GVWR	XX,XXX	lbs	X,XXX	kg	Tires	psi	ksi
GAWR Front	XX,XXX	lbs	X,XXX	kg	11R22.5	110	45
GAWR Rear	XX,XXX	lbs	X,XXX	kg	12R22.5	100	40
VIN	XXXXXXXXXXXXXXXXXXXX				Type: TRUCK		
This vehicle conforms to all applicable Federal Motor Vehicle Safety Standards in effect on the date of manufacture shown above.							

EXAMPLE



FERRARA FIRE APPARATUS
27855 James Chapel Road
P.O. Box 249
Holden, LA 70744

FERRARA FIRE APPARATUS, INC.

CHASSIS ENGINE OIL	44 QTS	15W40	PUMP TRANSMISSION	N/A	N/A
CHASSIS ENGINE COOLANT	74.5 QTS	PEAK FINAL CHARGE	DIESEL EXHAUST FLUID	40 QTS	AUS 32
CHASSIS TRANSMISSION	51 QTS	BP AUTRANS SYN 295	FUEL TANK	50 GAL	DIESEL
DRIVE AXLES	FR-9.5 QTS RR-18 QTS	80W140 90W	EQUIPMENT RACK	N/A	N/A
AIR CONDITIONING REFRIGERANT	8 LBS	R134A	GENERATOR SYSTEM	12 QTS	DEXRON III
AIR CONDITIONING	8 OZS X2	ESTER OIL	CHASSIS MANUFACTURE	FERRARA ULTRA	
POWER STEERING	4.5 QTS	AUTRAN SYN 295	PRODUCTION NUMBER	H5154	
CHASSIS AIR COMPRESSOR	ENGINE SUPPLIED		PAINT NUMBER	839530 WHITE 839529 RED	
CAPS SYSTEM	N/A	N/A	YEAR BUILT	2016	
CAB TILT MECH.	6 QTS	DEXRON III	MAX TIRE SPEED	FRONT 75 MPH INT	REAR 75 MPH INT
TRANSFER CASE	N/A	N/A	DATE	05-2016	
AERIAL LIFT	120 QTS	TELUS 32			

1F9507538GH140006
VEHICLE IDENTIFICATION NO.

	GVWR - lbs.	GVWR - kg	TIRES	POUNDS COLD / @ PSI	RIMS
Front Axle	23,000	10,431	425/65R22.5	11,500@120	22.5X13.00
Intermediate Axle	26,000	11,791	12R22.5	6,500@120	22.5X8.25
Rear Axle	26,000	11,791	12R22.5	6,500@120	22.5X8.25

This Vehicle conforms to FEDERAL MOTOR VEHICLE SAFETY STANDARDS NOS. 101, 102, 103, 104, 105, 106, 111, 120, 121, 124, 208, 209, 210, 211, 212, 213, 214, 215, 216, 217, 218, 219, 220, 221, 222, 223, 224, 225, 226, 227, 228, 229, 230, 231, 232, 233, 234, 235, 236, 237, 238, 239, 240, 241, 242, 243, 244, 245, 246, 247, 248, 249, 250, 251, 252, 253, 254, 255, 256, 257, 258, 259, 260, 261, 262, 263, 264, 265, 266, 267, 268, 269, 270, 271, 272, 273, 274, 275, 276, 277, 278, 279, 280, 281, 282, 283, 284, 285, 286, 287, 288, 289, 290, 291, 292, 293, 294, 295, 296, 297, 298, 299, 300, 301, 302, 303, 304, 305, 306, 307, 308, 309, 310, 311, 312, 313, 314, 315, 316, 317, 318, 319, 320, 321, 322, 323, 324, 325, 326, 327, 328, 329, 330, 331, 332, 333, 334, 335, 336, 337, 338, 339, 340, 341, 342, 343, 344, 345, 346, 347, 348, 349, 350, 351, 352, 353, 354, 355, 356, 357, 358, 359, 360, 361, 362, 363, 364, 365, 366, 367, 368, 369, 370, 371, 372, 373, 374, 375, 376, 377, 378, 379, 380, 381, 382, 383, 384, 385, 386, 387, 388, 389, 390, 391, 392, 393, 394, 395, 396, 397, 398, 399, 400, 401, 402, 403, 404, 405, 406, 407, 408, 409, 410, 411, 412, 413, 414, 415, 416, 417, 418, 419, 420, 421, 422, 423, 424, 425, 426, 427, 428, 429, 430, 431, 432, 433, 434, 435, 436, 437, 438, 439, 440, 441, 442, 443, 444, 445, 446, 447, 448, 449, 450, 451, 452, 453, 454, 455, 456, 457, 458, 459, 460, 461, 462, 463, 464, 465, 466, 467, 468, 469, 470, 471, 472, 473, 474, 475, 476, 477, 478, 479, 480, 481, 482, 483, 484, 485, 486, 487, 488, 489, 490, 491, 492, 493, 494, 495, 496, 497, 498, 499, 500, 501, 502, 503, 504, 505, 506, 507, 508, 509, 510, 511, 512, 513, 514, 515, 516, 517, 518, 519, 520, 521, 522, 523, 524, 525, 526, 527, 528, 529, 530, 531, 532, 533, 534, 535, 536, 537, 538, 539, 540, 541, 542, 543, 544, 545, 546, 547, 548, 549, 550, 551, 552, 553, 554, 555, 556, 557, 558, 559, 560, 561, 562, 563, 564, 565, 566, 567, 568, 569, 570, 571, 572, 573, 574, 575, 576, 577, 578, 579, 580, 581, 582, 583, 584, 585, 586, 587, 588, 589, 590, 591, 592, 593, 594, 595, 596, 597, 598, 599, 600, 601, 602, 603, 604, 605, 606, 607, 608, 609, 610, 611, 612, 613, 614, 615, 616, 617, 618, 619, 620, 621, 622, 623, 624, 625, 626, 627, 628, 629, 630, 631, 632, 633, 634, 635, 636, 637, 638, 639, 640, 641, 642, 643, 644, 645, 646, 647, 648, 649, 650, 651, 652, 653, 654, 655, 656, 657, 658, 659, 660, 661, 662, 663, 664, 665, 666, 667, 668, 669, 670, 671, 672, 673, 674, 675, 676, 677, 678, 679, 680, 681, 682, 683, 684, 685, 686, 687, 688, 689, 690, 691, 692, 693, 694, 695, 696, 697, 698, 699, 700, 701, 702, 703, 704, 705, 706, 707, 708, 709, 710, 711, 712, 713, 714, 715, 716, 717, 718, 719, 720, 721, 722, 723, 724, 725, 726, 727, 728, 729, 730, 731, 732, 733, 734, 735, 736, 737, 738, 739, 740, 741, 742, 743, 744, 745, 746, 747, 748, 749, 750, 751, 752, 753, 754, 755, 756, 757, 758, 759, 760, 761, 762, 763, 764, 765, 766, 767, 768, 769, 770, 771, 772, 773, 774, 775, 776, 777, 778, 779, 780, 781, 782, 783, 784, 785, 786, 787, 788, 789, 790, 791, 792, 793, 794, 795, 796, 797, 798, 799, 800, 801, 802, 803, 804, 805, 806, 807, 808, 809, 810, 811, 812, 813, 814, 815, 816, 817, 818, 819, 820, 821, 822, 823, 824, 825, 826, 827, 828, 829, 830, 831, 832, 833, 834, 835, 836, 837, 838, 839, 840, 841, 842, 843, 844, 845, 846, 847, 848, 849, 850, 851, 852, 853, 854, 855, 856, 857, 858, 859, 860, 861, 862, 863, 864, 865, 866, 867, 868, 869, 870, 871, 872, 873, 874, 875, 876, 877, 878, 879, 880, 881, 882, 883, 884, 885, 886, 887, 888, 889, 890, 891, 892, 893, 894, 895, 896, 897, 898, 899, 900, 901, 902, 903, 904, 905, 906, 907, 908, 909, 910, 911, 912, 913, 914, 915, 916, 917, 918, 919, 920, 921, 922, 923, 924, 925, 926, 927, 928, 929, 930, 931, 932, 933, 934, 935, 936, 937, 938, 939, 940, 941, 942, 943, 944, 945, 946, 947, 948, 949, 950, 951, 952, 953, 954, 955, 956, 957, 958, 959, 960, 961, 962, 963, 964, 965, 966, 967, 968, 969, 970, 971, 972, 973, 974, 975, 976, 977, 978, 979, 980, 981, 982, 983, 984, 985, 986, 987, 988, 989, 990, 991, 992, 993, 994, 995, 996, 997, 998, 999, 1000.

INCOMPLETE VEHICLE MANUFACTURER REQ'T'S (49 C.F.R. 568.4)



- **Must supply an incomplete vehicle document**
- **Must have one, of three types, of statements of conformity to the applicable FMVSS's**
 - “ Type 1. A statement that the vehicle when completed will conform to the standard if no alterations are made in identified components of the incomplete vehicle.
 - “ Type 2. A statement of specific conditions of final manufacture under which the manufacturer specifies that the completed vehicle will conform to the standard.
 - “ Type 3. A statement that conformity with the standard cannot be determined based upon the components supplied on the incomplete vehicle, and that the incomplete vehicle manufacturer makes no representation as to conformity with the standard.

EXAMPLES TO REMEMBER



- Most chassis cabs equipped with air brake systems are certified to meet FMVSS 121 as may be evident with a Type 1 statement in the IVD. If you move an air tank, or reroute an air line, you have the responsibility to recertify.
- FMVSS 108 defines lighting requirements for the completed vehicle. The incomplete vehicle is likely not equipped with all of the required lamps on the rear. This may be evident by a Type 2 statement in the IVD. This means the final stage manufacturer

INCOMPLETE VEHICLE LABEL LANGUAGE



- For final stage manufacturers, the label must state, among other things:

%This vehicle has been completed in accordance with the prior manufacturers' IVD, where applicable. This vehicle conforms to all applicable Federal Motor Vehicle Safety Standards, [and Bumper and Theft Prevention Standards, if applicable] in effect in (month, year).+

INTERMEDIATE STAGE MANUFACTURERS (49 C.F.R. 568.5)



F A M A

Each intermediate manufacturer of a vehicle manufactured in two or more stages shall furnish to the final-stage manufacturer the document required by 49 CFR 568.4 in the manner specified in that section.

When changes in the vehicle made by the intermediate manufacturer affect the validity of the statements in the IVD, that manufacturer shall furnish an addendum to the IVD that contains its name and mailing address and an indication of all changes that should be made in the IVD to reflect changes that it made to the vehicle.

The addendum shall contain a certification by the intermediate manufacturer that the statements contained in the addendum are accurate as of the date of manufacture by the intermediate manufacturer and can be used and relied on by any subsequent intermediate manufacturer(s) and the final-stage manufacturer as a basis for certification.



DETERMINING HOW THE MVSS'S APPLY

DEFINITIONS



- First start with defining the vehicle type.
- A truck is defined as a motor vehicle with motive power, except a trailer, designed primarily for the transportation of property or special purpose equipment.
- Most fire apparatus trucks that have a >10000 lbs GVWR

APPLICATION OF MVSS'S



§571.101 Standard No. 101; Controls and displays.

S1. *Scope.* This standard specifies performance requirements for location, identification, color, and illumination of motor vehicle controls, telltales and indicators.

S2. *Purpose.* The purpose of this standard is to ensure the accessibility, visibility and recognition of motor vehicle controls, telltales and indicators, and to facilitate the proper selection of controls under daylight and nighttime conditions, in order to reduce the safety hazards caused by the diversion of the driver's attention from the driving task, and by mistakes in selecting controls.

S3. *Application.* This standard applies to passenger cars, multipurpose passenger vehicles, trucks, and buses.

- Lamps, reflective devices and associated equipment
- Poster Link:
<https://www.tc.gc.ca/eng/motorvehiclesafety/tp-tp14116-menu-175.htm>

- Lamps, reflective devices and associated equipment
- Poster Link:
<https://www.tc.gc.ca/eng/motorvehiclesafety/tp-tp14116-menu-175.htm>



MORE APPLICATION



§571.121 Standard No. 121; Air brake systems.

S1. *Scope.* This standard establishes performance and equipment requirements for braking systems on vehicles equipped with air brake systems.

S2. *Purpose.* The purpose of this standard is to insure safe braking performance under normal and emergency conditions.

S3. *Application.* This standard applies to trucks, buses, and trailers equipped with air brake systems. However, it does not apply to:

(a) Any trailer that has a width of more than 102.36 inches with extendable equipment in the fully retracted position and is equipped with two short track axles in a line across the width of the trailer.

(b) Any vehicle equipped with an axle that has a gross axle weight rating (GAWR) of 29,000 pounds or more;

(c) Any truck or bus that has a speed attainable in 2 miles of not more than 33 mph;

(d) Any truck that has a speed attainable in 2 miles of not more than 45 mph, an unloaded vehicle weight that is not less than 95 percent of its gross vehicle weight rating (GVWR), and no capacity to carry occupants other than the driver and operating crew;

(e) Any trailer that has a GVWR of more than 120,000 pounds and whose body conforms to that described in the definition of heavy hauler trailer set forth in S4;

(f) Any trailer that has an unloaded vehicle weight which is not less than 95 percent of its GVWR; and

(g) Any load divider dolly.

121 – AIR BRAKES



- Reservoir Capacity is determined based on the size of the brake chambers.
- Valve placement and line size is based on the application and release time criteria
- Drawing air off of any brake system reservoir must be done with a pressure protection valve and with the incomplete vehicle manufacturers guidance.

MUD FLAPS



- Install mud flaps that are no more than 6 inches from the ground, and that cover the full width of the tires when viewed from the rear.
- No FMVSS or FMSCR requirements.
- Most jurisdictions simply state that the vehicle must have mudflaps/splashguards on the rear of the vehicle that are adequate to keep spray and debris tossed up by the tires from hitting the windshields of following traffic.



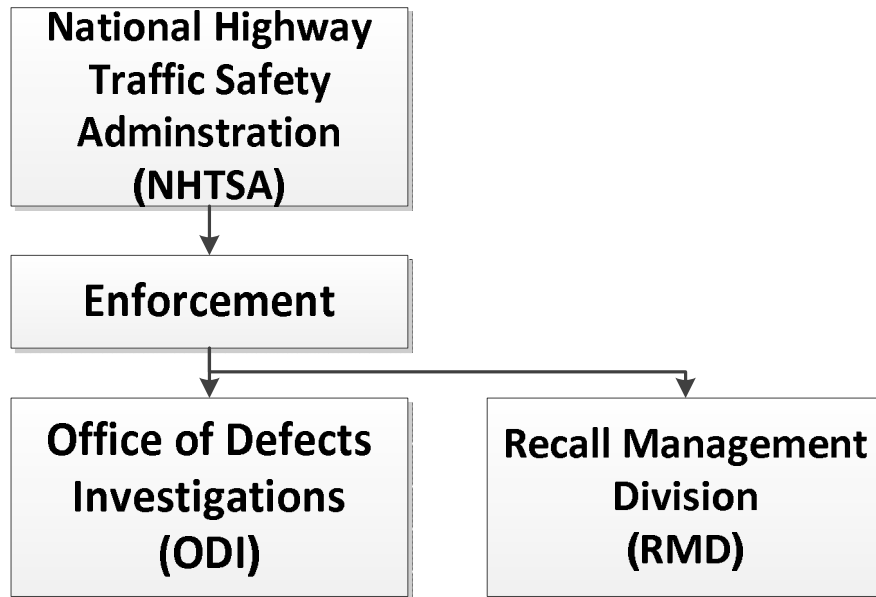


BREAK?



REPORTING REQUIREMENTS

DIVISIONS FOR REPORTING



ODI - 49 C.F.R. 579 Reporting of Information and Communications About Potential Defects

RMD - 49 C.F.R. 573 Defect and Non-Compliance Responsibility and Reports

AND

49 CFR 577 Defect and Non-Compliance Notification

REPORTING ELEMENTS



ALL Manufacturers MUST Report

Safety related defects or Non-compliances to Federal Motor Vehicle Safety Standard

RMD

SAFETY RECALLS

Communications Concerning any Defect

ODI

EARLY WARNING INFORMATION



49 C.F.R. 579 EWR

EWR OVERVIEW



Reporting Obligations Split

(Values represent annual production volumes)

**Manufacturers of
 ≥ 5000 light
vehicles**

Manufacturers of
 ≥ 100 Buses
 ≥ 500 EV's
 ≥ 5000 M/H vehicles

Manufacturers of
< 100 Buses
< 500 EV's
< 5000 M/H Vehicles
Original Equipment
Replacement Equipment
Tires

**Manufacturers of
 ≥ 5000 motor cycles**

**Manufacturers of
 ≥ 5000 Trailers**

**Manufacturers of
Child Restraint
Systems and Tires**



DEFECT REPORTING

**49 C.F.R. 579 REPORTING OF INFORMATION AND
COMMUNICATIONS RELATED TO POTENTIAL
DEFECTS**

COMMUNICATIONS

49 C.F.R. 579.5 NOTICES, BULLETINS, CUSTOMER SATISFACTION CAMPAIGNS, CONSUMER ADVISORIES, AND OTHER COMMUNICATIONS.



F A M A

Each manufacturer shall furnish to NHTSA's Early Warning Division (ODI) a copy of **all** notices, bulletins, and other communications (including those transmitted by computer, telefax, or other electronic means and including warranty and policy extension communiqués and product improvement bulletins)

other than those required to be submitted for safety recalls

that are sent to **more than one** manufacturer, distributor, dealer, lessor, lessee, owner, or purchaser, in the United States, regarding **any** defect in its vehicles or items of equipment (including any failure or malfunction beyond normal deterioration in use, or any failure of performance, or any flaw or unintended deviation from design specifications), **whether or not** such defect is safety-related.

WHEN TO REPORT COMMUNICATIONS



Each copy shall be in readable form and shall be submitted not later than five working days after the end of the month in which it is issued



EXAMPLE COMMUNICATIONS

COMMUNICATIONS INDEXING



Examples of completed index entries

Below are examples of completed index entries.

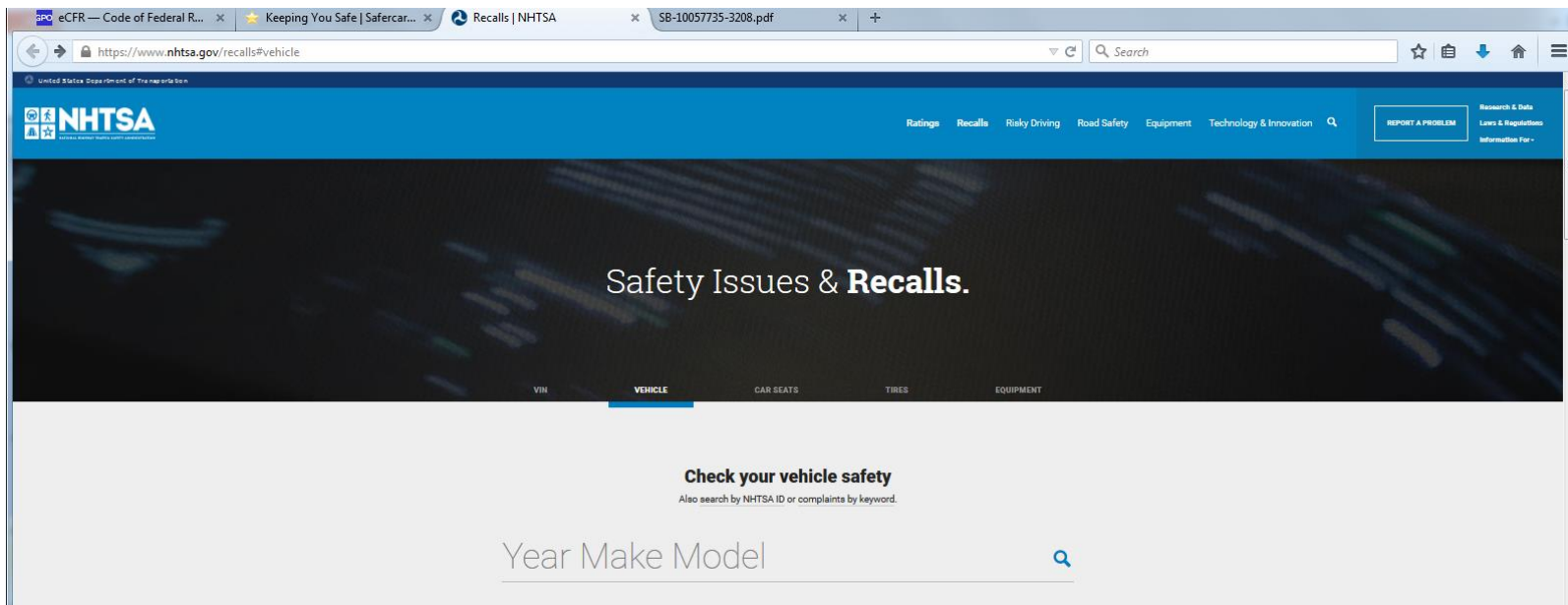
Index of Manufacturer (MFR) Communications						
Manufacturer:		Sample Auto Company				
Date Range:		01/01/2014 - 10/31/2014				
Date Submitted:		01/01/2017				
[The effect of the defect or noncompliance should be described below.]						
No.	MFR Communication ID	MFR Communication Date	Make	Model	Model Year	Concise Summary (2000 character limit)
1	14-AC-002-1	06/01/2014	Sample	Super	2010	This Technical Service Bulletin provides a diagnostic troubleshooting guide and list of replacement service parts for the Remote Engine Start (RES) accessory.
					2011	
					2012	
		06/19/2014	Example	X-500	2010	
				Megacar Presidential	2011	
					2012	
2	WMI-RZX7Q-10	10/24/2014	Sample	X-500	2013	This communication is informing all general, sales, service and parts managers and warranty administrators that SAC will begin mailing final Customer Notification Letters for Recall Campaign 124: Front coil spring fractures, starting October 24, 2014.
					2014	
					2008	
					2009	

Communications must be indexed

Refer to <https://www-odi.nhtsa.dot.gov/mc/>

for full requirements

SAMPLE COMMUNICATIONS



Communications
can be found using
the search engine
on [safercar.gov](https://www.safercar.gov)

RECALLS IN FOREIGN COUNTRIES



49 C.F.R. 579.11 - Reporting Responsibilities

Requires manufacturers who are conducting recalls in foreign countries to report to ODI if;

the vehicle, item of equipment, or tire is identical or substantially similar to a vehicle, item of equipment, or tire sold or offered for sale in the United States, the manufacturer shall report the determination to NHTSA

SUBSTANTIALLY SIMILAR VEHICLES



Annual list of substantially similar vehicles

By November 1 of each year, each manufacturer of motor vehicles that sells or offers a motor vehicle for sale in the United States shall submit to NHTSA a document that identifies both each model of motor vehicle that the manufacturer sells or plans to sell during the following year in a foreign country that the manufacturer believes is identical or substantially similar to a motor vehicle sold or offered for sale in the United States (or to a motor vehicle that is planned for sale in the United States in the following year), and each such identical or substantially similar motor vehicle sold or offered for sale in the United States.

EXAMPLE



Make	Model	ModelYear	ForeignManufacturer	ForeignMake	ForeignModel	ForeignModelYear	ForeignMarkets					
Smeal	Pumper	2017	Smeal Fire Apparatus Co.	Smeal	Pumper	2017	Primarily sales to US and Canada with a few sales to other other foreign countries.					
Smeal	Aerial	2017	Smeal Fire Apparatus Co.	Smeal	Aerial	2017	Primarily sales to US and Canada with a few sales to other other foreign countries.					
LTC	Aerial	2017	Smeal Fire Apparatus Co.	LTC	Aerial	2017	Primarily sales to US and Canada with a few sales to other other foreign countries.					
UST	Tanker	2017	Smeal Fire Apparatus Co.	UST	Tanker	2017	Primarily sales to US and Canada with a few sales to other other foreign countries.					



EWR REPORTING – LOW VOLUME MANUFACTURERS

LOW VOLUME MANUFACTURERS



Manufacturers of

< 100 Buses

< 500 EV's

< 5000 M/H Vehicles

Original Equipment

Replacement Equipment Tires

Information on incidents
involving deaths

C:\Users\wdchestn\Documents\Compliance Related Training\Templates

KEY DEFINITION



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.

KEY DEFINITION CONT'D



F A M A

Minimal specificity means a claim or notice involving death, a claim or notice involving injury, a claim involving property damage, a consumer complaint, a warranty claim or warranty adjustment, or a field report need not be reported if it does not identify the vehicle or equipment with minimal specificity.

If a manufacturer initially receives a claim, notice, complaint, warranty claim, warranty adjustment, or field report in which the vehicle or equipment is not identified with minimal specificity and subsequently obtains information that provides the requisite information needed to identify the product with minimal specificity, the claim, etc. shall be deemed to have been received when the additional information is received.

If a manufacturer receives a claim or notice involving death or injury in which the vehicle or equipment is not identified with minimal specificity and the matter is being handled by legal counsel retained by the manufacturer, the manufacturer shall attempt to obtain the missing minimal specificity information from such counsel.



EWR REPORTING – HIGH VOLUME MANUFACTURERS

EWR REPORTS



Manufacturers of

≥100	Buses
≥ 500	EV's
≥ 5000	M/H vehicles

- “ Product information
- “ Information on incidents involving death or injury
- “ Number of
 - “ Property damage claims
 - “ Consumer complaints
 - “ Warranty claims
 - “ Field reports
 - “ Copies of field reports

ACCESSING TEMPLATES



Early Warning Reporting (E... x +

www/ewr/xls.cfm

Search

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Safety Recall Portal
Manufacturer Login
Manufacturer Sign-up

Manufacturer Communications

Toolkit

EWR Information

Foreign Campaigns

Flat Files

Resources

Frequently Asked Questions
Get answers to the most frequently asked questions about Safety Ratings

Early Warning Reporting - Microsoft® Excel Templates

Information Downloads Documents

Excel Templates

Notice to Light Vehicles and Buses, Medium & Heavy Vehicles Submitters - Updated 6/19/2015
Beginning with submissions of 2015 Quarter 1 (January 1, 2015 - March 31, 2015) data, the NHTSA Revision Number 2.0 Excel templates must be used for your data submittals.
Only revisions to data submitted prior to April 1, 2015 will be accepted using the old templates.

The following table lists the Excel templates that are available for use in recording Early Warning Reporting (EWR) aggregate and death and injury data.

The Microsoft® Excel templates with the .xls extensions can be used with Microsoft® Excel 2000 and 2003. The Microsoft® Excel templates with the .xlsx extensions can be used with the latest versions of Microsoft® Excel (2007 and 2010).

NOTE: Please read the [Download Instructions](#) before trying to download the templates.

Report Type	Excel File		NHTSA Revision Number	Last Updated
	2000/2003	2007/2010		
Buses, Medium & Heavy Vehicles Aggregate	BMHVehicles2.xls	BMHVehicles2.xlsx	2.0	1/1/15
Buses, Medium & Heavy Vehicles Death and Injury	BMHVehiclesDi2.xls	BMHVehiclesDi2.xlsx	2.0	1/1/15
Child Restraint Aggregate	ChildRestraints.xls	ChildRestraints.xlsx	1.2	8/16/06
Child Restraint Death and Injury	ChildRestraintsDi.xls	ChildRestraintsDi.xlsx	1.2	8/16/06
Equipment Death and Injury	EquipmentDi.xls	EquipmentDi.xlsx	1.2	8/16/06

Go to www.safercar.gov

Select Vehicle Manufacturers tab

EWR Information (on the left)

Select Report Type

TEMPLATE SAMPLE



C:\Users\wdchestn\Documents\Compliance Related Training\Templates

ADDITIONAL INFORMATION



- For more comprehensive information on these reporting elements, please refer to:

<http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=&SID=d791d27a55fec8cce5b613fe523e702c&mc=true&n=pt49.7.579&r=PART&ty=HTML>



SAFETY RECALL REQUIREMENTS

WHO REPORTS WHAT AND WHEN

49 C.F.R. 573.6 – DEFECT AND NONCOMPLIANCE INFORMATION REPORT



F A M A

- Each manufacturer shall furnish a report to NHTSA for each defect in its vehicles or items of original or replacement equipment that it, or the Administrator, determines to be related to motor vehicle safety and for each non-compliance with an FMVSS in such vehicles or items of equipment within 5 working days after the determination has been made. The report is to include:
 - Identification of the vehicles or items of motor vehicle equipment potentially containing the defect or noncompliance
 - A description of the for determination of the recall population and a description of how the vehicles or items of equipment to be recalled differ from similar vehicles or items of equipment that the manufacturer has not included in the recall.
 - Include total number of vehicles or items of equipment potentially containing the defect or noncompliance, and where available the number of vehicles or items of equipment in each group identified pursuant to paragraph (c)(2) of this section.
 - A description of the defect or noncompliance, including both a brief summary and a detailed description, with graphic aids as necessary, of the nature and physical location (if applicable) of the defect or noncompliance.
 - In addition, the manufacturer shall identify and describe the risk to motor vehicle safety reasonably related to the defect or noncompliance consistent with its evaluation of risk

ADDITIONAL INFORMATION

49 C.F.R. 573.6 – DEFECT AND NONCOMPLIANCE INFORMATION REPORT



F A M A

Other information required by 49 C.F.R. 573.6 must be submitted within 5 working days after information has become available.

WHO IS RESPONSIBLE

49 C.F.R. 573.5 – DEFECT AND NONCOMPLIANCE RESPONSIBILITY



F A M A

- Each manufacturer of a motor vehicle shall be responsible for any safety-related defect or any noncompliance determined to exist in the vehicle or in any item of original equipment.
- Each manufacturer of an item of replacement equipment shall be responsible for any safety-related defect or any noncompliance determined to exist in the equipment.

QUARTERLY REPORTING

49 C.F.R. 573.7 QUARTERLY REPORTS



F A M A

Each manufacturer who is conducting a defect or noncompliance notification campaign to manufacturers, distributors, dealers, or owners shall submit to NHTSA a report in accordance with 49 C.F.R. 573.7 unless otherwise directed by the NHTSA. Certain information is required in the quarterly report for each of six consecutive quarters beginning with the quarter in which the campaign was initiated (i.e., the date the manufacturer notifies its purchasers of the availability of a remedy) or corrective action has been completed on all defective or noncomplying vehicles or items of replacement equipment involved in the campaign, whichever occurs first.

DUE DATE FOR QUARTERLY REPORTS

49 C.F.R. 573.7 QUARTERLY REPORTS



- First calendar quarter (January 1 through March 31), on or before April 30
- Second calendar quarter (April 1 through June 30), on or before July 30
- Third calendar quarter (July 1 through September 30), on or before October 30
- Fourth calendar quarter (October 1 through December 31), on or before January 30.

NOTIFICATION RESPONSIBILITIES

49 C.F.R. 577 DEFECT AND NON-COMPLIANCE NOTIFICATION



- Manufacturers of complete motor vehicles, incomplete motor vehicles, and replacement equipment must provide notification of a safety related defect or non-compliance to an applicable motor vehicle safety standard unless the manufacturer is exempted by the Administrator from giving such notification.
- In the case of vehicles manufactured in two or more stages, compliance by either the manufacturer of the incomplete vehicle, any subsequent manufacturer, or the manufacturer of affected replacement equipment, shall be considered compliance by each of those manufacturers

THE NOTIFICATION



- The notification must contain the phrase **IMPORTANT SAFETY RECALL**, all in capital letters and in a type that is larger than that used in the address section, and is also distinguishable from the other type in a manner other than size
- For vehicles, the words **This notice applies to your vehicle, (manufacturer to insert VIN for the particular vehicle).** If there is not enough room, the language can be placed in a separate, conspicuous location.
- The opening statement must be **This notice is sent to you in accordance with the National Traffic and Motor Vehicle Safety Act.**
- For additional requirements, refer to 49 C.F.R. 577.5 Notification Pursuant to a Manufacturer's Decision

SAMPLE NOTIFICATION



[Date]

IMPORTANT SAFETY RECALL – 16V-795

This notice applies to the vehicle identification number in the label below.

[Apply VIN Label]

Dear Valued Customer,

This notice is sent to you in accordance with the National Traffic and Motor Vehicle Safety Act.

Spartan Motors USA, Inc. (Spartan) has decided that a defect which relates to motor vehicle safety exists in certain chassis cabs altered by Spartan, completed as transit buses, altered between February 17, 2011 and October 19, 2016.

THE ENVELOPE



The outside of each envelope must be marked with, “**SAFETY RECALL NOTICE**” in addition to the label below

IMPORTANT SAFETY RECALL INFORMATION



Issued in Accordance
With Federal Law



SETTING UP A RECALL PORTAL FOR REPORTING



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HOME | VEHICLE SHOPPERS | VEHICLE OWNERS | VEHICLE MANUFACTURERS | PARENTS CENTRAL

Use of seat belts in U.S. reaches historic 90-percent level
Lives saved estimated at nearly 345,000 since 1975, with nearly 14,000 lives saved just in 2015 alone. This is highest highest level since NHTSA began regular national surveys in 1994. [Read More](#)

TAKATA RECALL UPDATE
>> **Jan. 19:** As of Jan. 6, 13,035,556 air bags have been repaired. Sign up for our [Recall Alerts](#) to be notified when you can search for all vehicles affected by this recall.
[Search for Recalls by VIN](#)
>> [Complete Takata recall coverage](#)

What's Wrong With Your Air Bag?
ESPECIALLY IN HOT & HUMID AREAS

[More information at SaferCar.gov/CheckForRecalls](#)

Latest News and Information
▶ **Jan. 18:** [NHTSA opens 2nd round of comments for NCAP modifications](#)
▶ [NHTSA issues Federal vehicle cybersecurity guidance](#)
▶ [Federal Automated Vehicles Policy announced](#)

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New and used car safety ratings | Car and equipment safety alerts | Report & search car problems

To set up a portal and access other information, go to:

[Safercar.gov](https://www.safercar.gov)

Select Vehicle Manufacturers

SETTING UP A RECALL PORTAL FOR REPORTING



safercar.gov powered by NHTSA

CHAT HELP | t | f | You |

HOME VEHICLE SHOPPERS VEHICLE OWNERS VEHICLE MANUFACTURERS PARENTS CENTRAL

You are here: Home / Vehicle Manufacturers

Manufacturer Information

Toolkit

Access the comprehensive materials you and your dealers need to educate consumers about changes to the 5-Star Safety Ratings System and advanced safety technologies. Begin with the Promotional Ideas factsheet for suggestions about how to incorporate safety into your existing marketing initiatives.

- [View Toolkit](#)

Reports

- [Download Mandatory Recall Label](#)
- [NHTSA reference guide on requirements for mandatory new recalls mailing labels](#)
- [Early Warning Reports](#)
- [Foreign Campaigns](#)
- [5-Star Ratings Test Data and Injury Data on Regulations.gov](#)
- [Flat file copies of NHTSA/ODI Database](#)
- [Manufacturer Communications](#)

NHTSA.GOV | 911.GOV | DISTRACTION.GOV | TRAFFICSAFETYMARKETING.GOV | EMS.GOV

Select Manufacturer Sign-Up (left side of screen)

SETTING UP A RECALL PORTAL FOR REPORTING



safercar.gov powered by **NHTSA**

HOME VEHICLE SHOPPERS VEHICLE OWNERS VEHICLE MANUFACTURERS PARENTS CENTRAL

You are here: Home / Vehicle Manufacturers / Safety Recalls Portal

Safety Recall Portal

- Manufacturer Login
- Manufacturer Sign-up
- Manufacturer Communications
- EWR Information
- Flat Files
- Foreign Campaigns
- Resources
- Advertising Guidelines
- Toolkit

Frequently Asked Questions

Get answers to the most frequently asked questions about Safety Ratings

Recalls Portal Sign-up

Welcome to the Recalls Portal Sign-up page. Please select the appropriate option based on your current history with NHTSA/ODI recalls and then select NEXT. You will then be able to set up your Recalls Portal account.

Choose the appropriate Option below based on your company's particular situation with regards to Early Warning Reporting (EWR) and the filing of recall information.

- ☐ **Option 1: Have EWR Account**
Currently have an Early Warning Reporting (EWR) Account.
- ☐ **Option 2: Do not have EWR Account**
Do not have an EWR Account, but *have filed* a recall with NHTSA/ODI before.
- ☐ **Option 3: First Time Filing**
Do not have an EWR Account, and *have not filed* a recall with NHTSA/ODI before.

Next

You are accessing a U.S. Government information system. This information system, including all related equipment, networks, and network devices, is provided for U.S. Government-authorized use only. Unauthorized or improper use of this system is prohibited, and may result in civil and criminal penalties, or administrative disciplinary action. The communications and data stored or transiting this system may be, for any lawful Government purpose, monitored, recorded, and subject to audit or investigation. By using this system, you understand and consent to such terms.

Call Recalls Portal Help Desk at 1-888-719-9220 | Contact Recalls Office at recalls.helpdesk@dot.gov

Select the appropriate option.

THE REPORT



safercar.gov

Spartan Motors USA

Logged in as: Wesley Chestnut | Logout

Back to Dashboard

(Please save your work.)

Message Center

Messages For the past 60 days.

No Alerts

Unread Messages: 31

Read Messages: 0

Total Messages: 31

Report Status

You are filing a new Recall Report.

Last saved at

Equipment Report

Collapse All | Expand All | Print

Transaction ID: NA (Original Report)

Required fields indicated with *

Manufacturer: Spartan Motors USA

1541 Reynolds Road

Charlotte MI 48813

Wesley Chestnut

517-543-6400,

* Are you reporting a ☒ Safety Defect ☐ Non-Compliance

☐ Please select this box if you intend to file a petition pursuant to [49 CFR 556](#).

Equipment Information

Add Product

* Brand/Trade:

* Model:

Production Dates: (mm/dd/yyyy)

* Begin:

* End:

Function:

* Descriptive Information:

Remaining Characters: 2000

* Part No.:

Size:

Number potentially involved:

Estimated percentage of involved with defect:

%

THE REPORT CONT'D



Defect / Noncompliance Description

For this Defect/Noncompliance:

* Describe the defect or noncompliance:

Remaining Characters: 2000

If a noncompliance, provide the applicable FMVSS:

-Select-

If applicable, provide any further FMVSS affected:

-Select-

Describe the cause:

Remaining Characters: 2000

* Describe the safety risk:

Remaining Characters: 2000

Identify any warning which can precede or occur:

Remaining Characters: 2000

☐ Check if this recall only affects products in certain geographic regions.

If applicable, identify the manufacturer of the defective or noncompliant component. If the manufacturer of the component is unknown, provide the information for the company that supplied the subject component.

☒ Component manufacturer ☐ Component manufacturer is unknown, information is for our supplier

Company Information

Company Name:

Country:

-Select-

Address 1:

Address 2:

City:

State:

-Select-

Zip/Postal Code:

Company Contact Information

First Name:

Last Name:

Position:

Email:

Phone:

1

1

Use for International Country Code.

+ Chronology of Defect / Noncompliance Determination

+ Identify the Remedy

+ Identify the Recall Schedule

+ Manufacturer Comments to NHTSA Staff

Save Draft

Submit

89



RECORD RETENTION

MINIMUM REQUIREMENTS



Each manufacturer of motor vehicles and motor vehicle equipment shall retain, all the underlying records on which the information reported under 49 C.F.R. 579 for a period of five calendar years from the date on which they were generated or acquired by the manufacturer.

Manufacturers need not retain copies of documents transmitted to the NHTSA as a part of recalls.

Malfunctions covered by the record retention requirements are those that may be related to motor vehicle safety+shall include, with respect to a motor vehicle or item of motor vehicle equipment, any failure or malfunction beyond normal deterioration in use, or any failure of performance, or any flaw or unintended deviation from design specifications, that could in any reasonably foreseeable manner be a causative factor in, or aggravate, an accident or an injury to a person.



BEST PRACTICES

GATHERING DATA

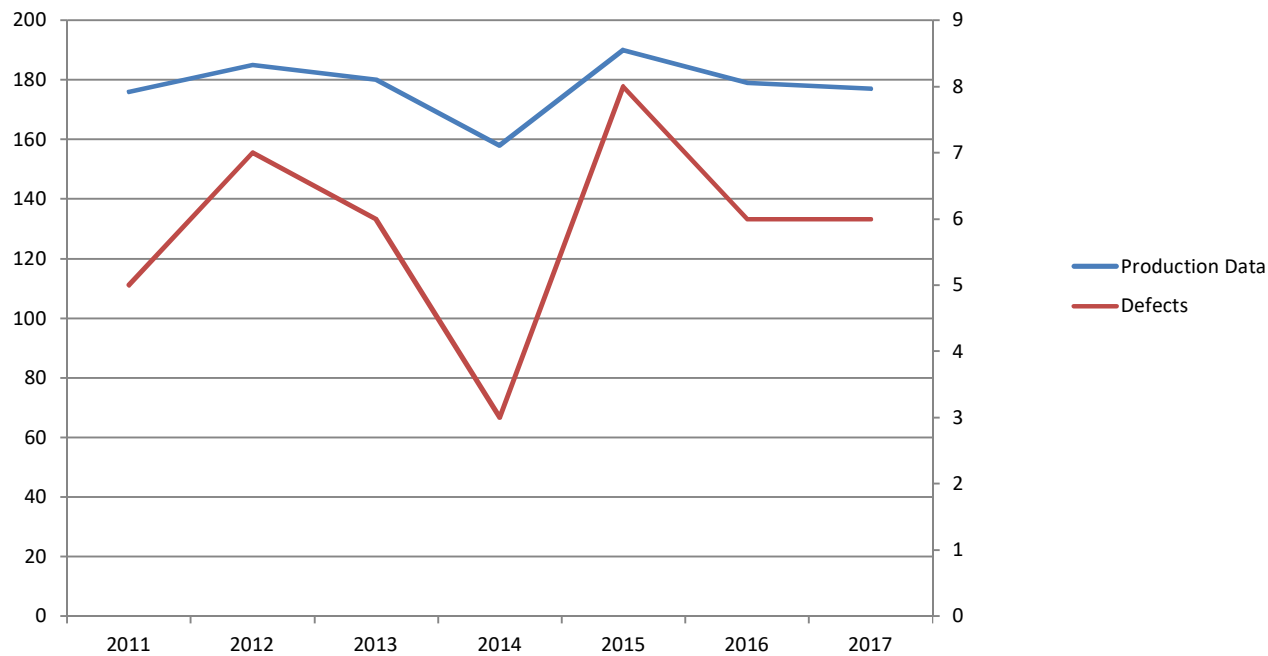


- Develop a warranty and customer complaint data base
- Inputs should be coded for easy filtering and sorting
- Utilize simple pareto charts to chart high occurrences
- Listen to the customer complaints and do not alter

ANALYZING DATA

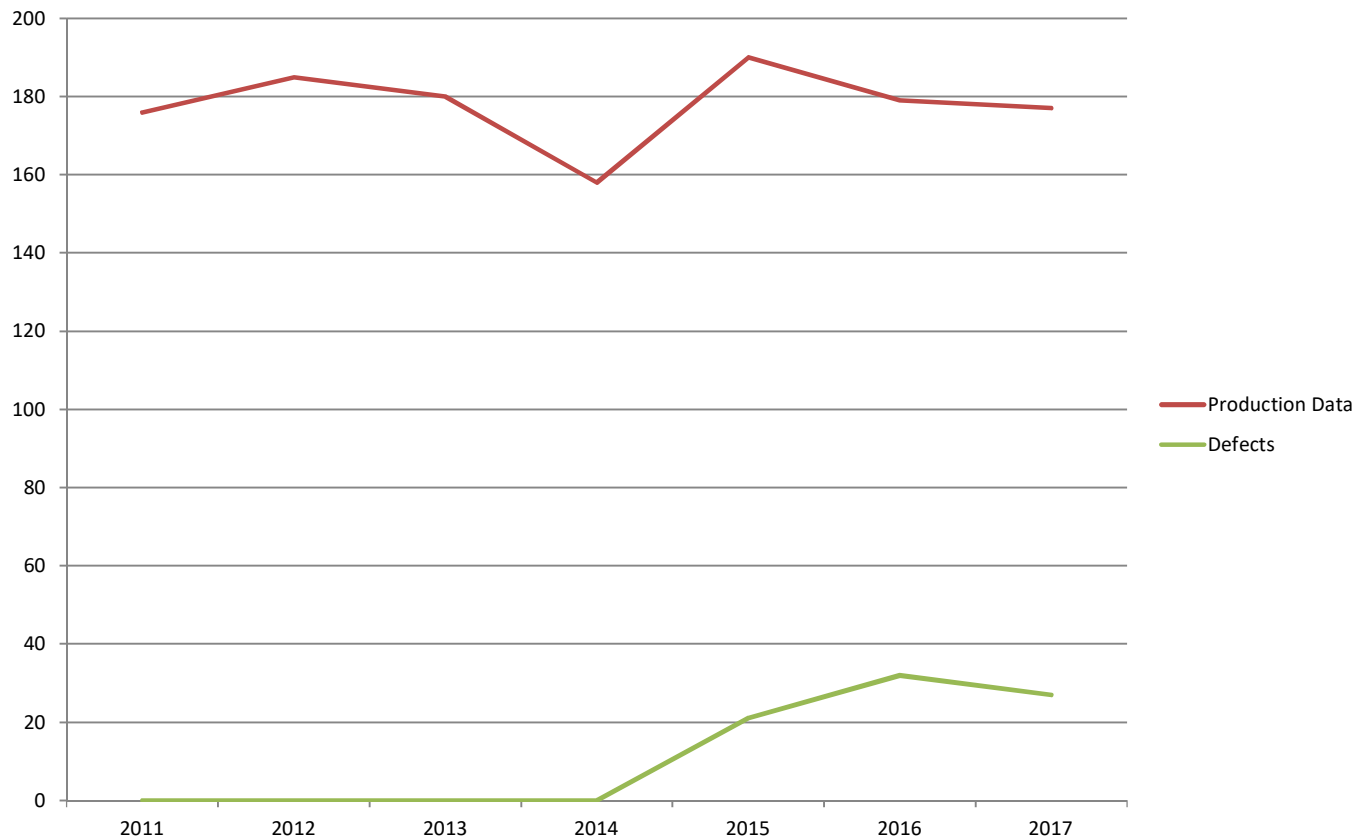


Sample Defect Chart



Depending on the nature of the defect or complaints, this could be a matter of when, not if

ANALYZING DATA CONT'D



This could be a special cause or indicating that something changed. Depending on the nature of the complaint or defect, it might get corrected through warranty

OTHER CONSIDERATIONS



- Consider the warranty period. Failures within the warranty period may be considered premature or early defects or defects occurring within an unreasonably short period of time.
- Define the useful life of the product based on the products duty cycle
- Investigate severe claims/complaints
- Establish a filtering group and drive corrective actions
- Establish a committee of an odd number of people to cast votes for safety related defects or non-compliances.
- Use past precedence by NHTSA or other manufacturers

USING PAST PRECEDENCE NHTSA INVESTIGATIONS



DEFECT INVESTIGATIONS – NHTSA WEBSITE



This report, updated monthly, is designed to provide you with a summary of active NHTSA Defect Investigations. The investigations listed below are grouped according to type of investigation ([Preliminary Evaluation](#), [Engineering Analysis](#), [Recall Query](#), and [Defect/Recall Petition](#)) and identify the products under investigation, the alleged problem, and the investigation status. For up-to-date details on specific investigations, you can enter its Action # in the Quick Search box at: <http://www-odi.nhtsa.dot.gov/owners/SearchSafetyIssues?searchType=ID&prodType=A&targetCategory=I>

If you're having any safety problem with your vehicle, whether or not identified on the list below, please [Contact Us](#) today!

NOVEMBER 2016

MONTHLY DEFECT INVESTIGATION REPORT ENGINEERING ANALYSIS				
Action#	MMV	Subject	Date Opened	Date Closed
EA14-002	2011-2013 Kia Sorento	Spontaneous Sunroof Breakage	12-MAY-2014	
EA15-001	Various MY 2001-2011 models with Takata air bag inflators	Air Bag Inflator Rupture	24-FEB-2015	
EA15-004	2013-2014 Various Nissan/Infiniti Models (see models below)	Occupant Classification System Failure	31-AUG-2015	
EA15-005	2015 Ford Explorer Police Interceptor	Front Brake Hose Failure	28-SEP-2015	
EA16-001	2014 Freightliner Business Class M2	CNG Fuel System Integrity	03-FEB-2016	
EA16-003	Various models equipped with ARC air bag inflators	Air Bag Inflator Rupture	04-AUG-2016	

MONTHLY DEFECT INVESTIGATION REPORT PRELIMINARY EVALUATIONS				
Action#	MMV	Subject	Date Opened	Date Closed
PE16-005	2015-2016 Freightliner Cascadia Trucks	Wiper Motor Failure	13-APR-2016	
PE16-006	MY2001-2002 Toyota Sequoia	Yaw rate sensor malfunction	14-JUN-2016	
PE16-007	2015 Tesla Model S	Automatic vehicle control systems	28-JUN-2016	
PE16-008	MY 2011 to 2015 Ford Explorer	Ford Explorer Exhaust Odor	01-JUL-2016	
PE16-009	2008-11 Harley Davidson Motorcycles with ABS	Sudden brake failure - Motorcycles	06-JUL-2016	

PRELIMINARY EVALUATIONS



Information on
a specific PE

The screenshot shows the safercar.gov website, powered by NHTSA. The main navigation bar includes links for HOME, VEHICLE SHOPPERS, VEHICLE OWNERS, VEHICLE MANUFACTURERS, and PARENTS CENTRAL. The current page is 'Keeping You Safe', which features a search tool for recalls by VIN. The search tool includes a 'Select Type' dropdown menu with options for Vehicles, Car Seats, Tires, Equipment, Keyword (Complaints Only), and ID Number. The 'Vehicles' option is selected, and the search criteria are set to 'Safety Issues by NHTSA ID'. The search criteria include a checkbox for 'Recalls' (unchecked) and a checkbox for 'Investigations' (checked). The search criteria also include a checkbox for 'Complaints' (unchecked) and a checkbox for 'Manufacturer Communications' (unchecked). The search criteria are entered into a text box as 'PE16-005'. A 'GO' button is located at the bottom right of the search form. The footer of the website includes links to NHTSA.GOV, 911.GOV, DISTRACTION.GOV, TRAFFICSAFETYMARKETING.GOV, and EMS.GOV. It also includes contact information for NHTSA and the U.S. Department of Transportation.

safercar.gov powered by NHTSA

HOME VEHICLE SHOPPERS VEHICLE OWNERS VEHICLE MANUFACTURERS PARENTS CENTRAL

You are here: Home / Vehicle Owners / Search Safety Problems

Search Safety Problems

- › Vehicles
- › Car Seats
- › Tires
- › Equipment
- › Recalls by VIN
- › Recalls FAQ

Report Safety Problems

- › Vehicle (Online)
- › Vehicle (via PDF)
- › Non-Vehicle

Drive Safer

- › Technology
- › Driving Tips
- › Tires
- › Passenger Van Safety
- › Emergency Response Vehicles
- › Theft Prevention

Keeping You Safe [Print](#)

NHTSA's new search tool lets you enter a Vehicle Identification Number (VIN) to quickly learn if a specific vehicle has not been repaired as part of a safety recall in the last 15 years.

Search for Recalls by VIN

Select Type

Vehicles	Safety Issues by NHTSA ID Select one or more areas to search, then enter up to 25 NHTSA IDs separated by comma, slash (/) or new line. ?
Car Seats	<input type="checkbox"/> Recalls <input checked="" type="checkbox"/> Investigations <input type="checkbox"/> Complaints <input type="checkbox"/> Manufacturer Communications
Tires	PE16-005
Equipment	
Keyword (Complaints Only)	
ID Number	

GO

NHTSA.GOV | 911.GOV | DISTRACTION.GOV | TRAFFICSAFETYMARKETING.GOV | EMS.GOV

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1200 New Jersey Avenue, SE, West Building Washington DC 20590 USA 1.888.327.4236 TTY 1.800.424.9153
6.0.29

U.S. Department of Transportation USA.gov

INFORMATION REQUEST (IR)



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

MAY 17 2016



1200 New Jersey Avenue SE.
Washington, DC 20590

CERTIFIED MAIL
RETURN RECEIPT REQUESTED

Andy Jones
Manager, Compliance and Regulatory Affairs
Daimler Trucks North America LLC, C1C-CRA
4747 N. Channel Ave
Portland, OR 97217

NVS-214phk
PE16-005

Dear Mr. Jones:

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 (PE16-005) to investigate reports of the windshield wiper motor failures in certain model year (MY) 2015-2016 Freightliner Cascadia Trucks. ODI is requesting certain information from Freightliner Incorporated.

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

- **Subject vehicles:** all 2014-2016 Freightliner Cascadia Trucks manufactured for sale or lease in the United States, including, but not limited to, the District of Columbia, and current U.S. territories and possessions.
- **Subject component:** the windshield wiper motor



NHTSA'S INVESTIGATIVE PROCESS

OVERVIEW



1. Can start out as an informal email or phone call.
2. A formal Preliminary Evaluation is opened with a formal Information Request.
3. If not resolved, an Engineering Analysis with a 2nd formal Information Request
4. If not resolved, a formal hearing with a public hearing would occur
5. If not resolved, it could go to court



QUESTIONS



THANK YOU.