

SERVICE

EPP BULLETIN

Global

Machines

Engine-Only Equipment Protection Plan Mining Products

Overview

This bulletin addresses the engine and related components covered under the Engine-Only Equipment Protection Plan (EPP) Mining Products for Hydraulic Mining Shovels and Surface Drills. The following major component categories are covered under the Engine-Only EPP:

- Basic Engine – includes the following component groups:
 - Long block
 - Air induction/exhaust systems
 - Cylinder head assembly
 - Front/rear cover assemblies
 - Short block
 - Fuel system
 - Lubrication system
 - Cooling system
 - Starting system
 - Engine electronic control system

These components are **not** covered under the Engine-Only EPP Mining Products:

- Radiator
- Engine Attachments - such as alternator, starter, air compressor and air conditioning compressor
- External Hoses and Lines - for oil, water and air

There are two important distinctions between the Engine-Only EPP coverage for Mining Products and other EPP:

- The terms, conditions and covered components of the Engine-Only EPP Mining Products are **not** equivalent to the Extended Service Coverage (ESC) plans available for Cat Energy and Transportation products.
- The Engine-Only EPP Mining Products is **not** a powertrain coverage plan. Covered components are limited to the basic engine and other listed components essential for engine operation. Coverage does not extend to drive-train systems beyond the engine or other systems necessary to propel the machine.

➤ 08.05-01 (04/16)
<https://warranty.cat.com/wtyguide>

➤ Indicates change.

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Dealer and Dealers are defined as any Cat Authorized Dealer or Cat Authorized Repair Representative.

Eligibility and Available Coverage Options

Eligible product families currently include:

Product Families	Eligible Models	Available Engine-Only Coverage Plan(s)
Surface Drills	All models powered by a Cat captive engine	Year 1 Labor Only Year 2 & Beyond Parts & Labor
Hydraulic Shovels	All models powered by a Cat captive engine	Year 1 Labor Only Year 2 & Beyond Parts & Labor
MT Family Mining Trucks ¹	Not eligible	None
Draglines	Not eligible	None
Electric Rope Shovels	Not eligible	None
Highwall Miners	Not eligible	None
Room and Pillar	Not eligible	None
Longwall	Not eligible	None
Conveyor Systems	Not eligible	None
Hard Rock ¹	Not eligible	None
<p>➤ 1 Because warranty for the total machine consist is administered in the Cat Service Claims System, MT Family Mining Trucks (MT4400D and MT5300D/794 AC), Hard Rock Articulated Dump Trucks (in cluding AD30, AD45, AD55, AD60) and Hard Rock Load Haul Dumps (including R1300, R1600, R1700, R2900, R2900 XTRA) are eligible for enrollment in traditional EPP coverage offerings.</p>		

Should additional product families become eligible for Engine-Only EPP Mining Products, they will be added to the above table in future updates. This bulletin is the authoritative source for Engine-Only EPP Mining Products product eligibility information.

Enrollment

Standard enrollment procedures may be used. Refer to Bulletin 8.00, New Machine EPP.

Emissions Components

In some regions, certain parts and/or components may qualify for Emissions Warranty such as in accordance with the United States Environmental Protection Agency (US EPA) and the California Air Resources Board (ARB). Bulletin 7.01 explains the details and reimbursements of emissions warranty and the claiming procedures for emissions components. Emissions parts that are within the terms of emissions warranty must follow claim procedures outlined in Bulletin 7.01.

- Bulletin 7.01 contains the list of parts that are eligible for Emissions Warranty. Unless otherwise specified, upon expiration of the emissions warranty, these parts are included in Engine-Only EPP Mining Products and covered against defects in material and workmanship. External lines, hoses, and wiring harnesses are included in Engine-Only EPP Mining Products only when part of the Caterpillar Clean Emissions Module (CEM).
- Emissions parts that are included in Engine-Only EPP Mining Products coverage but are beyond the terms of Emissions Warranty may be claimed according to the normal Equipment Protection Plan guidelines outlined in this EPP bulletin for the remainder of the Equipment Protection Plan term.
- The CEM is included in the Engine-Only EPP Mining Products coverage after the expiration of the Emissions Warranty period.

General Exclusions and Limitations

Engine-Only EPP Mining Products does not cover the following:

- Operator abuse, neglect, improper or abusive use of the machine including but not limited to the failure to perform the recommended preventative maintenance as specified in the Operation and Maintenance (O&M) Manual
- Applications not approved by Caterpillar
- Improper or abusive use of machine
- Operation beyond the design and/or capacity of the machine
- Wear-out and normal deterioration in performance, accelerated wear-out of components due to operating technique or application; including but not limited to oil consumption and gasket or seal leaks
- Chemical corrosion and physical or mechanical erosion
- Unauthorized fuel setting changes
- Acts of war, vandalism, riot, theft, explosion, collision, fire and/or any other act of nature, person or vermin
- Operating equipment with improper, contaminated, or improper levels of fuel or fluids, or the use of improper filters
- Modifications, unless the modifications were authorized at the request of Caterpillar and performed at an approved repair facility
- Operating at performance settings other than the standard Caterpillar specification
- Accelerated wear-out of components due to operating technique or application
- Physical damage
- Any repairs if the service meter has been stopped or altered or misrepresents the equipment's actual usage
- Mechanical transportation or towing costs or field service travel expenses
- Loss of time, inconvenience, downtime or downtime-related expenses or other incidental or consequential loss that results from a defect in material or workmanship
- Any costs incurred to improve operating performance due to normal wear and tear
- Storage or miscellaneous shop supplies
- Mechanical breakdown resulting from failure of a non-covered component
- Freight and taxes
- Any cost covered by any warranty of the manufacturer including emissions warranty or repairer's guarantee regardless of whether the warranty or repairer's guarantee is honored
- Performance complaints including, but not limited to, adjustments to fuel settings or electronic unit injectors to comply with emissions standards under Environmental Protection Agency or similar national, federal, provincial or state law
- Any costs incurred for the manufacturer to comply with emissions standards under the Environmental Protection Agency or similar national, federal, provincial or state law
- Failure to use fuels and lubricants that meet or exceed the minimum specification requirements of the manufacturer as specified in the operations manual or other technical bulletins

For machines enrolled in Engine-Only EPP Mining Products, please refer to the Contractual Liability Insurance Policy (CLIP) for a complete list of exclusions and limitations. In the event of any ambiguity, the CLIP issued Caterpillar Insurance Company will govern. Additional information regarding the CLIP policy may be obtained by contacting your dealership designated Warranty Manager.

Customer's Responsibilities

The customer is responsible for assuring all recommended preventative maintenance is performed at the specified service intervals as described in the O&M Manuals. Preventative maintenance includes, but is not limited to, the servicing, adjusting and/or replacing of specified components.

Engine-Only EPP Mining Products does not cover failure of any components as a result of not performing scheduled maintenance. The dealer may be required to provide proof of compliance with the maintenance schedules, at the time of a failure. Proof may include receipts or copies of work orders or invoices showing the performed maintenance services.

S•O•SSM Fluid Analysis Test Results

S•O•S is not a requirement of the EPP program, other than the 6000 series Hydraulic Mining Shovels, however it is recommended that, at the point of enrollment, S•O•S sampling begins at the first recommended interval and continues throughout the remainder of the EPP coverage term. For the 6000 series Hydraulic Mining Shovels, the S•O•S is a requirement of the EPP program and S•O•S sampling should begin at the first recommended interval and continue throughout the remainder of the EPP coverage term.

Wear-out and Extent of Coverage

Wear-out and/or deterioration are not covered by Engine-Only EPP Mining Products. The intent is not to restore the product to a like-new condition, but rather to restore the product to its operating condition just prior to the covered failure. The Engine-Only EPP covers only the repair or replacement of the failed component and any resultant damaged parts. Other parts removed in the process of repair will be reinstalled as is, unless the customer authorized the additional cost for their account.

Example: While performing an Engine-Only EPP Mining Products repair for a piston ring failure, the dealer service technician notices the vee belts and coolant hoses are worn and deteriorated. He also notices some wear (within acceptable limits) on the cylinder head valve guides. In addition to the piston ring failure, the service technician replaces the vee belts and coolant hoses, and reconditions the valve guides to avoid future downtime.

In this example the vee belts, coolant hoses and valve guide reconditioning cannot be claimed to Caterpillar because they did not have a defect, nor were they damaged as a result of the piston ring failure. They were repaired or replaced as a result of the customer responsibilities for assuring all recommended preventative maintenance is performed.

NOTE: If the piston ring failed due to abuse (running without changing oil at the proper interval), the ring failure and resultant damage would not be due to a Caterpillar defect and therefore not a covered failure.

Parts Book Component Codes

At the bottom of each page on all Cat Parts Books (paper or electronic), is printed a four-digit numeric Service Management Control System (SMCS) component code. These component codes are used to describe the area of primary use for the parts and/or components listed on that page.

The SMCS component codes can be used as a mechanism for helping to determine if a failed part may be considered part of the Basic Engine.

On the following pages are the SMCS component codes in numeric order that Caterpillar considers part of the Basic Engine. For Engine-Only EPP Mining Products qualification, the component code listed on the parts book page should be compared to this list of acceptable Basic Engine components.

NOTE: Sometimes a parts book page with an acceptable powertrain component code will include parts that are not covered, or may include parts that are broken out on another parts book page. Additionally, there may be instances of a non-acceptable component code containing parts that may qualify for powertrain coverage. For clarification regarding coverage, please submit a ticket through the Warranty Service Desk.

Use of Parts Book Component Code on Labor Expense Lines

Caterpillar simplified some of the SMCS component codes by phasing out and combining certain component codes. As a result, some component codes listed on the following pages indicate in their code description to use another component code, which is a substitute code.

For example: 1151 Cover/Housing (use 1162 or 1166)

These references which indicate use of a substitute code apply only when using the component code on a labor expense line, if labor reimbursement is applicable. In some cases, a component code which indicates use of a substitute code may have been canceled. Using a canceled component code on a labor expense line will cause the entire service claim to be canceled. To avoid this, dealers should use the substitute component code, listed in parentheses, for claiming labor reimbursement in the expenses detail section of the claim.

NOTE: Refer to Bulletins 1.06 and 1.09 for proper group number and labor line SMCS code usage.

BASIC ENGINE

Engine

1014 Engine & Output Drive Assembly
1020 Long Block

Air Induction & Exhaust System

1052 Turbocharger Group
1053 Turbocharger Cartridge
1056 Turbocharger Cartridge Housing
1057 Exhaust Bypass Valve
1058 Inlet Manifold
1059 Exhaust Manifold
1060 Turbocharger Compressor Housing
1063 Aftercooler Group
1064 Aftercooler Core
1065 Turbocharger Turbine Housing
1066 Turbocharger Thrust Plate Assembly
106A Aftercooler Air Temperature Control (All Regions)
1070 Water Cooled Turbocharger
1071 Air line/Pipe
1073 Turbocharger Heat Shield
1076 Differential Pressure Ratio Regulator
1077 Turbocharger Shaft & Wheel Assembly
1079 Aftercooler Intake Manifold
1080 Exhaust Gas Recirculation System
1081 Boost Control Valve
1085 Hydra-Mechanical Shutoff Control
1086 Hydra-Mechanical Shutoff Drive
1096 Oxygen Sensor

Cylinder Head Assembly

- 1100 Cylinder Head Assembly (Use 1101)
- 1101 Cylinder Head Casting
- 1102 Rocker Shaft Assembly
- 1103 Valve Seat/Insert
- 1104 Valve Guide
- 1105 Inlet/Exhaust Valve
- 1106 Prechamber/Nozzle Adapter
- 1107 Valve Cover
- 1108 Valve Spring
- 1109 Valve Rotator
- 1110 Camshaft
- 1111 Camshaft
- 1112 Camshaft Bearing
- 1113 Camshaft Housing Assembly
- 1115 Water Director
- 1117 Threaded Insert
- 1118 Compression Release
- 1119 Jake Brake (Discontinued for EAME 01Jan12 / Discontinued for all other regions 01Jan08)
- 1120 Valve Cover Base
- 1121 Valve Bridge
- 1123 Rocker Arm
- 1124 Cylinder Head Gasket
- 1125 Injector Sleeve
- 1126 Cylinder Head Manifold
- 1129 Engine Brake

Front and Rear Covers

- 1150 Front & Rear Covers
- 1151 Cover/Housing (Use 1162 or 1166)
- 1155 Brakesaver Group
- 1156 Flywheel
- 1157 Flywheel Housing
- 1158 Flywheel Ring Gear
- 1159 Brakesaver Control Valve
- 1160 Crankshaft Front Seal
- 1161 Crankshaft Rear Seal
- 1162 Timing Gear Housing
- 1163 Timing Gear Housing Plate
- 1164 Engine Output Transfer Gear
- 1165 Engine Power Takeoff Drive
- 1166 Timing Gear Housing Cover
- 1167 Flywheel Housing Scavenge Pump

Short Block

- 1200 Short Block
- 1201 Cylinder Block
- 1202 Crankshaft
- 1203 Crankshaft Main Bearing
- 1204 Crankshaft Gear
- 1205 Crankshaft Damper/Pulley
- 1206 Timing/Accessory Gears
- 1207 Accessory Drive
- 1208 Push Rod
- 1209 Camshaft Roller/Follower/Lifter
- 1210 Camshaft
- 1211 Camshaft Bearing
- 1212 Camshaft Gear
- 1213 Piston & Liner
- 1214 Piston
- 1215 Piston Rings
- 1216 Cylinder Liner
- 1217 Liner Seat/Insert
- 1218 Connecting Rod
- 1219 Connecting Rod Bearing
- 1220 Balancer
- 1221 Spacer Plate
- 1222 Cylinder Block Sleeve
- 1223 Cylinder Block Cylinder
- 1224 Cylinder Block Main Bearing Bores
- 1225 Piston & Connecting Rod
- 1230 Crankshaft Main & Rod Bearings
- 1231 Crankshaft Counterweight
- 1232 Crankshaft Thrust Plate
- 1233 Crankcase Explosion Relief Valve
- 1234 Idler Gear
- 1237 Engine Stub Shaft
- 1239 Cylinder Pack
- 1240 Block Underframe
- 1241 Timing Chain/Belt
- 1242 Pump Drive

Fuel System

- 1251 Fuel Injection Pump
- 1252 Fuel Injection Lines
- 1253 Fuel Injection Pump Housing
- 1254 Fuel Injection Valve/Nozzle
- 1255 Fuel Transfer Pump Housing
- 1256 Fuel Transfer Pump
- 1257 Rack/Control Shaft

- 1259 Fuel Shutoff Solenoid
- 1264 Governor
- 1268 Speed Limiter
- 1272 Timing Advance
- 1275 Air Control Valve
- 1278 Air/Fuel Ratio Control
- 1281 Fuel Injection Pump-Lifters
- 1286 Injection Pump & Governor Group
- 1287 Governor Housing
- 1288 Fuel Pump/Governor Drive
- 1289 Hydraulic/Hydra-Mechanical Governor
- 1290 Unit Injector
- 1292 Fuel Camshaft
- 1295 Auxiliary Fuel Transfer Pump
- 1298 Unit Injector Control Linkage
- 1299 Hydraulic Timing Advance (Use 1272)
- 1705 Variable Horsepower Control Valve/Solenoid
- 1714 Unit Injector Hydraulic Pump
- 1715 Fuel Pressure Regulator Valve
- 1716 Governor Actuator
- 1718 Fuel Pressure Sensor

Lubrication System

- 1302 Engine Oil Pan Group
- 1304 Engine Oil Pump
- 1306 Engine Oil Filter Housing/Base
- 1309 Turbocharger Lube Valve
- 1312 Oil Scavenge Pump
- 1313 Oil Pump Drive
- 1314 Oil Cooler Bypass Valve
- 1315 Oil Pressure Relief Valve
- 1319 Prelube Pump
- 1329 Shutoff Valve
- 1330 Oil Temperature Regulator
- 1331 Piston Cooling Tube
- 1332 Oil Sequence Valve

Cooling System

- 1355 Thermostat/Regulator
- 1356 Fan & Fan Drive
- 1358 Fan Belt Tightener
- 1359 Fan Drive Assembly
- 1361 Jacket Water Pump, Drive Group
- 1362 Water Manifold
- 1363 Aftercooler Water Pump
- 1364 Water Pump Impeller

- 1365 Brake Oil Cooler
- 1366 Brake/Torque Converter Cooler
- 1368 Retarder Cooler
- 1373 Water Pump Housing
- 1374 Hydraulic Oil Cooler
- 1375 Torque Converter/Transmission Cooler
- 1376 Torque Converter Trans. & Hydraulic Cooler
- 1378 Engine Oil Cooler
- 1379 Heat Exchanger
- 1384 Water Pump Pulley
- 1386 Hydraulic Fan Motor
- 1387 Hydraulic Fan Pump
- 1389 Water Pump Shaft
- 138R Fan Reversing Valve

Starting System

- 1469 Prelube Starter

Engine Electronic Control System

- 1901 Electronic Control Module (ECM)
- 1902 Ratings Personality Module
- 1904 Transducer Module
- 1905 Timing Position Sensor
- 1906 Water Temperature Sensor
- 1907 Engine Speed Sensor
- 1908 Electronic Governor
- 1909 Rack Solenoid
- 1910 Timing Solenoid
- 1911 Rack Position Sensor
- 1912 Engine Speed/Timing Sensor
- 1913 Throttle Speed Sensor
- 1914 Machine Speed Buffer
- 1915 Engine Speed Control
- 1916 Crankcase Pressure Sensor
- 1917 Boost Pressure Sensor
- 1918 Throttle Lock Control
- 1919 Exhaust Temperature Sensor
- 1920 Engine Software
- 1921 Inlet Air Temperature Sensor
- 1922 Fuel Temperature Sensor
- 1923 Atmospheric Pressure Sensor
- 1924 Engine Oil Pressure Sensor
- 1925 Injection Actuation Pressure Sensor
- 1929 Engine Oil Temperature Sensor
- 192T Injection Actuator Temperature Sensor

Special Service Claim Categories

7729 HEUI™ Actuation

Emissions Module

These additional components are included only when used to control emissions or when part of the Caterpillar Clean Emissions Module (CEM).

1061 Exhaust Piping
1071 Air Lines/Pipe
108A Solenoid Valve
108B Combustion Body
108C Clean Gas Induction Cooler
108D Clean Emissions Module
108E Exhaust Combustion Lines
108F Diesel Particulate Filter (DPF)
108G Exhaust Cooler
108H Diesel Exhaust Fluid Module
108I Diesel Exhaust Fluid Injector
108J Diesel Exhaust Fluid Pump
108L Boost Pressure Line
108N Clean Gas Induction Valve
108O Exhaust Gas Recirculation High Temperature Cooler Core
108P Exhaust Back Pressure Valve
108Q Exhaust Gas Recirculation Low Temperature Cooler Core
108R NOX Reduction System Air Inlet
108S Combustion Air System
108T Diesel Exhaust Fluid Tank
108V Venturi
108M Exhaust Combustion Manifold
1091 Catalytic Converter
1274 Fuel Supply/Return Line
1335 Particle Sensor
1380 Coolant Lines
1408 Wiring Harness
1554 Coil
1702 Fuel Manifold
3206 Manifold/Metering Valve
4493 Relay
5506 Air Control Valve