

SERVICE

Equipment Protection Plan

Global

Machines

Cat Certified Rebuild (CCR)

► Overview

The purpose of this bulletin is to provide an overview of the Equipment Protection Plans (EPP) available for CCR machines sold by Cat® dealers.

(A CCR involves the complete disassembly of the machine and all individual components. All paint is removed and all parts that do not meet minimal standards are either replaced or reconditioned. Upon reassembly, the entire machine is repainted. See bulletin 4.04 for more information on the Cat Certified Rebuild Program.)

There are several Certified Rebuild EPP program types:

- Cat Certified Rebuild (CCR) for full and complete machine rebuilds.
- Cat Certified Powertrain (CPT) for powertrain only or powertrain and complete hydraulic system rebuilds.
- Cat Certified Machine Component Rebuild (CMCR) for machine engine only or for the combined transmission and torque converter component rebuilds.
- Cat Certified Engine Rebuild (CER) for engine only rebuilds.
- Cat Certified Hydraulics Rebuild (CHR) for complete hydraulic systems only rebuilds.

This bulletin applies to CCR's only.

There are two EPP coverage types available for CCR machines;

- Powertrain (Pwt)
- Powertrain and Hydraulics (P+H)

Coverage terms range from 12 to 60 months with 3,000 to 10,000 hours, depending on model.

EPP covers qualifying parts and labor repair costs on eligible machines for covered powertrain and/or hydraulic components, depending on the EPP coverage type. **EPP coverage applies only to failures caused by defects in materials and workmanship** and starts at the machine delivery date as stated on the Certified Rebuild Delivery Notice. (The Certified Rebuild Delivery and Enrollment Notices for all models eligible for the Cat Certified Rebuild programs **can be found on the Cat Certified Rebuild web page at:** <https://dealer.cat.com/en/ps/repair-options/certified-rebuild.html>.)

The intent of EPP coverage 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.

► 08.52-01 (01/16)
<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.

Please refer to the Global Warranty (<https://warranty.cat.com>) website for appropriate Bulletins containing details on programs and/or coverages.

Cat Rebuild and Parts Programs:

- Bulletin 4.01 – Parts
- Bulletin 4.04 – Cat Certified Rebuild Program & Cat Certified Rebuild Upgrade Programs

EPP Programs:

- Bulletin 8.53 – Cat Certified Powertrain Equipment Protection Plan
- Bulletin 8.54 – Cat Certified Machine Component Rebuild Equipment Protection Plan

► EPP Coverage:

- Bulletin 8.01 – Powertrain Equipment Protection Plan
- Bulletin 8.02 – Hydraulics Equipment Protection Plan

EPP rate tables for eligible models **can be found at** <https://dealer.cat.com/en/ps/esc-epp/machine-worktool/used/cert-rebuild.html> and are also published in Quote Plus.

You may also contact your Cat Financial Insurance Services Territory Manager (TM) or Area Sales Operations Manager (ASOM) with questions or send an email to the appropriate regional mailbox.

- Americas North – EquipmentProtectionPlan@cat.com
- Americas South – LACD.EquipmentProtectionPlan@cat.com
- Asia Pacific (APD) – APD.EquipmentProtectionPlan@cat.com
- Europe, Asia, Middle East (EAME) – EAME.EquipmentProtectionPlan@cat.com

► Machine Eligibility

Caterpillar determines machine eligibility through publication of a Rebuild Manual for each specific model and serial number prefix, **except in Brazil** where only domestically manufactured machines are eligible for the EPP programs. Prior to starting a Certified Rebuild on a Cat machine, the dealer must submit a Certified Rebuild Enrollment Request form to Caterpillar. This request form and the Rebuild Manuals **are made available on the Certified Rebuild webpage at:** <https://dealer.cat.com/en/ps/repair-options/certified-rebuild.html>. Only machines eligible for the Cat Certified Rebuild programs are listed by product family, model and serial number prefix on this site. Contact your Cat Certified Rebuild representative to request the addition of a non-listed machine or manual. Following the submission of the Certified Rebuild Enrollment Request form and the completion of the rebuild itself, Cat requires the dealer to complete and submit a Certified Rebuild Delivery Notice when the rebuilt machine is delivered to the end-user customer. The Delivery Notice is used to notify Caterpillar that the machine has been delivered to the customer and also to indicate that EPP was included/sold as part of the rebuild. It does not initiate or complete the EPP enrollment. The dealer is responsible to initiate and complete the EPP enrollment.

Note: Machines eligible for EPP coverage (see <https://dealer.cat.com/en/ps/esc-epp/machine-worktool/used/cert-rebuild.html>) must also be eligible for the CCR or CPT rebuild programs. (see <https://dealer.cat.com/en/ps/repair-options/certified-rebuild.html>).

Only machines originally manufactured in Brazil are eligible for rebuild EPP in Brazil if they are also eligible for the CCR or CPT rebuild programs.

Note: The date of delivery specified by the dealer on the Certified Rebuild Delivery Notice is used as the coverage start date for both the Parts Warranty and EPP.

Note: The coverage start hour for EPP is the service meter unit (SMU) reading at the date of delivery. This should match the hours shown on the Certified Rebuild Delivery Notice. (Usually “1” for a CCR.)

Dealer’s Responsibilities

- Confirm that the machine has not experienced a failure prior to the EPP coverage start date. (The coverage start date is the delivery date as shown on the Certified Rebuild Delivery Notice.) If a failure exists, the machine must be repaired prior to registering it for EPP.
- Confirm that the machine has been rebuilt according to the specific published Cat Rebuild Manual requirements.

- Requirements may include but are not limited to:
 - Parts that must always be replaced.
 - Procedures and quality checks that must be performed.
 - Product engineering updates that must be incorporated.
- Repair machines using the most economical method, and install only genuine Cat parts (including remanufactured parts).
- Keep on file all parts invoices of new and Reman Cat parts that were installed during the rebuild.
- Pay for any loss in excess of what is covered by EPP if broader coverage was offered to the customer.
- Register each machine for EPP and pay applicable fees.
 - If the rebuilding dealer is not the EPP registering dealer, please contact your Caterpillar Financial Insurance Services representative before initiating the rebuild itself.

Covered Components under EPP

Covered components are the same as those covered under Powertrain (Bulletin 8.01) and/or Hydraulics (Bulletin 8.02) depending upon coverage type. For a summary of Service Management Control System (SMCS) codes and major component categories, refer to the appropriate bulletin(s). Parts and components replaced under the terms of the Cat Parts warranty or under EPP are covered for the remainder of the current EPP coverage period. Coverage for all parts and labor ceases when the specified time or hour limit is reached, regardless of when the part was repaired or replaced.

Components commonly mistaken as powertrain, which are not covered include: undercarriage, external hoses and lines (except hydrostatic), the engine radiator, and engine attachments (alternator, starter, air compressor, air conditioner compressor). Radiators are reconditioned or replaced during the rebuild process, but are not covered under EPP.

► Parts and Labor

New or Remanufactured (Reman) Part Causing Failure

- **During the Cat Parts Warranty:**
 - **Parts:** Refer to Bulletin 4.04.
 - **Labor:** Labor is reimbursable at registered dealer sell rate for EPP qualifying repairs.
- **After the Cat Parts Warranty:**
 - **Parts:** Qualifying repair costs resulting from a defect in material or workmanship are reimbursable.
 - APD and EAME – Qualifying Cat parts are reimbursable at D/N + 10%.
 - Americas North and South – Qualifying Cat parts are reimbursable at **D/N + 33%**. (Prior to January 1, 2016, some contracts were underwritten with Customer List as the defined reimbursement rate rather than D/N + 33%. For those contracts, claims will continue to be honored at Customer List through the duration of their specified term.)
 - **Labor:** Labor is reimbursable at registered dealer sell rate for EPP qualifying repairs.

Reused Part Causing Failure

- **During the Cat Parts Warranty:** Refer to Bulletin 4.04
 - **Parts:** When a qualifying Cat part is **reused** in the CPT rebuild and that part causes a failure resulting from a defect in material or workmanship:
 - Americas North - Dealer is responsible for all parts costs.
 - Americas South and APD – Qualifying Cat parts are reimbursable under EPP at D/N.
 - EAME – Qualifying Cat parts are reimbursable under the Improved* EPP coverage at D/N.
 - **Labor:**
 - Americas North - Dealer is responsible for labor costs.
 - Americas South, APD and EAME – Labor is reimbursable at registered dealer sell rate for EPP qualifying repairs.

* EAME Only - Improved coverage allows dealers to claim for parts cost reimbursement, no labor, during the Cat Parts Warranty period on failures resulting from a defect in material or workmanship of EPP qualifying Cat part reused, according to the Cat reusability guidelines, in the CCR.

- The Improved CCR EPP “reused parts” coverage, customized coverage code: 3624CCR940100, is automatically enrolled following the dealer’s filing of the Certified Rebuild Delivery Notice and the applicable flat fee charged to the dealer. (The fee is currently reimbursed through an EAME Marketing Program (OIL) with other program support fees on a monthly basis.)
- • **After the Cat Parts Warranty:**
 - **Parts:** Qualify repair costs resulting from a defect in material or workmanship are reimbursable under EPP.
 - APD and EAME – Qualifying Cat parts are reimbursable under EPP at D/N +10%.
 - Americas North and South – Qualifying Cat parts are reimbursable under EPP at **D/N + 33% (Customer List prior to January 1, 2016)**.
 - **Labor:** Labor is reimbursable at registered dealer sell rate for applicable EPP qualifying repairs.

Service Letter - Product Improvement Programs (PIP), Product Support Programs (PSP)

There is no participation under EPP for before failure PIPs or PSPs.

- All Service Letters (PIPs, PSPs) announced after the Certified Machine Rebuild will be supported by Caterpillar to the extent of the announcing Service Letter. (See bulletin 1.16)
- An additional claim may be filed under an active certified rebuild EPP where the reimbursement for parts and labor under the after failure Service Letter is proportionately reduced over time.
 - Only parts and labor for the amount of Dealer/Customer participation listed in the Service Claim Allowances section for the prescribed repair (the remainder of proration not covered by Cat under the Service Letter) is reimbursable.

Wear-out and Extent of Coverage

Wear-out and normal deterioration are not considered a failure and are not covered. A wear-out occurrence is not due to defects in material or workmanship.

Dealer Reimbursement under EPP

During the applicable Parts Warranty period, Parts Warranty will reimburse the dealer for approved failure claim parts costs caused by a defect in material or workmanship of a new or Reman part that was replaced during the rebuild. (See Bulletins 4.01 and 4.04.) Other parts removed in the process of repair will be reinstalled as is, unless the customer authorizes the additional cost at the customer’s expense. Repair costs caused by a reused part are the responsibility of the dealer but may be covered under an EPP program where applicable and available.

Associated labor costs of failure claims are also the responsibility of the dealer but also may be covered under an EPP program where applicable and available.

Parts - All parts needed to correct a defect of a covered Cat part, including gaskets, seals, salvage materials, and any resultantly damaged Cat parts are reimbursable.

Replacement parts or components may either be new, Reman, or a Cat approved repaired, at Cat’s choice. When there is a Cat Reman part offered that is at standard dimensions, dealers must always use the Reman part.

Parts reimbursement includes only those Cat parts needed to restore the product to its operating condition just prior to the covered failure. It does not include reimbursement for parts to restore the product to a like-new condition.

Parts Service Charges - Cat Parts Distribution service charges for parts obtained on an emergency order are reimbursable.

Service Items - Lubricants, filters, antifreeze, and other service items made unusable due to contamination by the failure are reimbursable. Service items not affected by the failure, which are replaced in the normal course of the repair, are not covered.

Repair Labor - Includes labor to inspect, test, diagnose, remove, disassemble, clean, assemble, and install.

Parts Salvage Labor - Parts salvage labor is reimbursable, if the Cat part can be satisfactorily repaired for a cost that does not exceed 50% of the D/N price for a new or Reman part. Salvage labor includes only the time to perform salvage operations such as machining, cutting, burning, trimming, bending, heating, welding, etc. It does not include the labor to disassemble and assemble the part or component associated with performing the salvage operation. Such labor is the responsibility of the dealer.

Salvage labor reimbursement is at the registered dealer sell rate. Materials such as steel that are used to perform the salvage operation are reimbursable at the dealer's acquisition cost.

Overtime Labor Rate - Labor that is performed after normal working hours will be reimbursed at the registered dealer sell rate.

Outside Repair Expenses - Outside repair expenses are reimbursable, if the expense is justified and reasonable. Such expenses are reimbursed at the dealer's actual cost. These expenses are for parts and/or labor from an outside vendor. Examples of labor expenses for sublet repairs include, machining, cylinder head milling, or radiator repair. It is the dealer's responsibility to ensure that invoice charges for outside repair expenses are reasonable in order to assure full reimbursement.

Shop Supplies - Shop supplies are not reimbursable as an itemized parts expense line or parts summary (NLOW) expense line. Allowance for shop supplies has been included in the dealer's labor rate. Examples of shop supplies includes, shop towels, welding rod, wire ties, gasket maker, sealants, solvents, adhesives, primers, paint, assembly lubricants, anti-seize compounds, buffing discs & pads, emory cloth, etc.

Hauling Costs - Costs associated with transporting or hauling a machine for repair are not reimbursable.

Freight Charges - Inbound surface or airfreight charges from the dealer's assigned Parts Distribution Center to the dealership are not reimbursable as dealers are expected to stock parts needed to repair equipment in their territory.

However, if the parts are not available in the dealer's assigned Parts Distribution Center, the emergency airfreight from the source Distribution Center to the dealer's assigned Parts Distribution Center is reimbursable. This portion of the airfreight is on the Cat parts invoice.

The cost of freighting parts from another branch or dealership is not claimable or reimbursed.

Note: Reimbursement practices for airfreight charges may differ for dealers that are covered by an Emergency Freight Plan.

Note: Dealer must provide the Caterpillar invoice number or DBS customer backorder reference number (backorder to Caterpillar Parts Distribution channel) in the claim story.

Meals & Lodging - Mechanic's meals and lodging associated with field service repairs is not reimbursable and are the responsibility of the dealer or customer.

Travel Time & Mileage - Travel time labor and vehicle mileage to and from field service repair sites are not reimbursable and are the responsibility of the dealer or customer.

Exclusions and Limitations

- Any coverage not identified and not enrolled in the manufacturer's enrollment program.
- Lube oils, grease, coolant, or air conditioner refrigerant, alternator, starter, air compressor, air conditioner, compressor, and other bolt-on attachments, unless required in conjunction with the repair of a covered part.
- Machine transportation or towing costs.
- Field service travel expenses.
- Engine tune-up.

- Loss of time, inconvenience, downtime or downtime-related expenses, or other incidental or consequential loss that results from a defect in material or workmanship.
- Normally scheduled preventive maintenance or maintenance services, including, but not limited to, valve lash adjustments and maintenance items including filters, fuel nozzles, fuel injectors, thermostats, and seals and gaskets.
- Performance complaints including, but not limited to, adjustments to fuel settings or electronic unit injectors.
- Wear-out and normal deterioration.
- Any costs incurred to improve operating performance due to normal wear and tear. This includes, but is not limited to, valve and ring repairs designed to improve engine compression or reduce oil consumption.
- Losses caused by equipment alterations or modifications in any manner which affects the mechanical operation as designed by the equipment manufacturer.
- Replacement, adjustments, or alignment of any part not covered by this Agreement unless required in conjunction with the repair of a covered part.
- Storage or miscellaneous shop supplies charges.
- A mechanical breakdown caused by or involving modifications unless those modifications were performed at the request of the manufacturer by an authorized Caterpillar repair facility.
- A mechanical breakdown resulting from the failure of a non-covered part.
- A mechanical breakdown due to an application not approved by the manufacturer.
- A mechanical breakdown resulting from fuel settings inconsistent with manufacturer-recommended settings.
- Freight and taxes additional to Transportation & Importation [T&I] as may be applicable.
- Costs covered by any warranty of the manufacturer or repairer's guarantee regardless of whether they honor such warranty or guarantee.
- Physical damage resulting from causes other than mechanical breakdown.
- A mechanical breakdown caused by vermin, collision, fire, theft, vandalism, riot, explosion, lightning, earthquake, windstorm, hail, water, freezing, flood, or other acts of God.
- If the service meter has been stopped or altered or misrepresents the equipment's actual usage.
- A mechanical breakdown caused by or attributed to by the use of improper or contaminated fuel, fluids, or filters.
- A mechanical breakdown caused by abuse, neglect, misuse, or lack of customary maintenance, per the "Operation and Maintenance Manual" for the equipment.
- Damage caused by or contributed to operating equipment that does not have proper levels of lubricants or coolant.
- A mechanical breakdown caused by chemical corrosion or physical or mechanical erosion.

Brazil only:

- Any machine not originally manufactured in Brazil.
- Any machine ever imported new or used.

► Illustration of Standard Parts Warranty and EPP Coverage

Refer to the applicable section of the 'Reimbursement Chart' [located on the website at: https://dealer.cat.com/en/ps/esc-epp/machine-worktool/used/cert-rebuild.html](https://dealer.cat.com/en/ps/esc-epp/machine-worktool/used/cert-rebuild.html) under the Administration/Registration/Claims heading.

EPP Enrollment

General:

- EPP enrollment is the dealer's responsibility.
- The intent to register for EPP must be indicated on the Certified Rebuild Delivery Notice form. **The completion of the Certified Rebuild Delivery Notice does not constitute enrollment of EPP.**

- The EPP enrollment must be submitted within 60 days of the delivery date shown on the Certified Rebuild Delivery Notice for that specified machine.
- Late enrollments, after 60 days from the delivery date shown on the Certified Rebuild Delivery Notice, may be requested and will be reviewed for an exception on an individual case-by-case basis.
- Dealer must keep on-file a copy of the customer signed Delivery Notice, for verification if requested by Caterpillar.
- The enrollment claim must use the Service Management Control System (SMCS) code 7944

Process:

Machines are enrolled in EPP by entering the details into the Caterpillar Service Claims System. Certain fields will require specific values, which alert the system that this is a registration. The customer's name and address should be updated (if necessary) in the customer information network.

The Caterpillar Service Claims System is used to process the registration. Anyone not familiar with the procedures for filing a claim might consult the dealership's service department for help. We recommend that the people who presently file service claims also file the EPP1 registrations. All rules that pertain to the submission of the service claim also apply to registrations. The normal procedure is to submit a service claim to Caterpillar, which will also be used to submit a registration.

If you are a "DBS" (Dealer Business System) Dealer or Dealer who uses the claim class concept for claim preparation, you should establish a special claim class for registrations. The DBS help desk or their website for FAQ (Frequently Asked Questions) should be consulted when first starting.

If you are not a Caterpillar DBS Dealer, or do not have access to the Caterpillar Service Claims System, we request that you use the Corporate Claims System (**Claims*i***) to enroll in EPP.

- • You can link to Claims*i* here: <https://claims.cat.com>
 - Click the tab labeled "claim entry" in the horizontal menu at the top of the page to open the claim entry screen/fields. Enter the registration data in the required fields.

EPP Claim Entry Control Screen: (Required fields)

- Enter applicable dealer code in **Repairing Dealer Code** field.
- Use a **Repairing Dealer Claim #** with a prefix of "CU%...".
- Enter "None" in the **Alternate Dealer Code** field.
- Use the EPP coverage start date you are requesting the **Repair Date**.
- Use the machine **Serial Number**, not the engine serial number.
- **Parts SMU (H/M/K)** entry for a CCR is "1" unless meter was not replaced.
- **Usage Code** is "H" for hours.
- **Part Number** is "0".
- **Description Code** is "00".
- **Group Number** is "7944" for all rebuild machines.
- **Labor Hours** is "0".
- Enter the customized coverage code in the **Findings/Comments** field.
- **Cab Type** defaults to "No". Leave as "No".
- **Parts** is "0".
- **Labor** is "0".

Misc/Parts Summary Screen:

- Choose "Miscellaneous" from the **Type** drop down menu.
- **Qty** is "1".
- **Description** is "EPPFEE".
- **Total** is the numeric fee amount.
- **Currency** is USD or applicable local currency.
- Leave **Dec** blank

Story screen:

- Note who is entering request, rebuild type (CPT), coverage type (Pwt or P+H), coverage term requested, rebuild delivery date, EPP amount from rate table. (Comment if meter was replaced and/or note special quote number if either is applicable.)

Click **Submit Claim** when you are ready to submit for enrollment.

Validating EPP Coverage

Dealers can verify EPP coverage in the Service Information Management System (SIMSi). The Sales & Service screens will show the new delivery date, the coverage details, and the customer name and address.

Resold or Transferred Machines

EPP is transferrable:

- At dealer's discretion if the transfer is within a EPP selling dealer's service territory

Note: Transferring from one dealer's service territory to another - Contact Caterpillar Certified Rebuild Products about the transfer of the Parts Warranty and contact Caterpillar Financial Insurance Services about the transfer of an active EPP.

Note: Transferring from one Cat region to another (Americas North, Americas South, APD or EAME) is not available.

Summary of Reimbursement Practices	
Repair Expenses	Allowance & Rate
New, Remanufactured (Reman) and Reused Parts	
- New or Reman Part Causing Failure	<p>During the Cat Parts Warranty: (Bulletin 4.04)</p> <ul style="list-style-type: none"> All Regions - Reimbursable at D/N under Parts Warranty. <p>After the Cat Parts Warranty:</p> <ul style="list-style-type: none"> Americas North and South - Reimbursable under EPP at D/N + 33% (Customer List prior to January 1, 2016). APD, EAME - Reimbursable under EPP at D/N+10%
- Reused Part Causing Failure	<p>During the Cat Parts Warranty: (Bulletin 4.04)</p> <ul style="list-style-type: none"> Americas North - Dealer is responsible. Americas South, APD - Reimbursable under EPP at D/N. EAME – Reimbursable under 'Improved' EPP at D/N. <p>After the Cat Parts Warranty:</p> <ul style="list-style-type: none"> Americas North and South - Reimbursable under EPP at D/N + 33% (Customer List prior to January 1, 2016). APD, EAME - Reimbursable under EPP at D/N+10%.
Parts Service Charges	Reimbursable.
Service Items	Reimbursable at D/N, if made unusable.
Labor	
- New or Reman part causing failure	<p>During the Cat Parts Warranty: (Bulletin 4.04)</p> <ul style="list-style-type: none"> All Regions - Reimbursable under EPP at registered dealer sell rate. <p>After the Cat Parts Warranty:</p> <ul style="list-style-type: none"> All Regions – Reimbursable under EPP at registered dealer sell rate.
- Reused Part Causing Failure	<p>During the Cat Parts Warranty: (Bulletin 4.04)</p> <ul style="list-style-type: none"> Americas North - Dealer is responsible. Americas South, APD and EAME - Reimbursable under EPP at registered dealer sell rate. <p>After the Cat Parts Warranty:</p> <ul style="list-style-type: none"> All Regions - Reimbursable under EPP at registered dealer sell rate.
Parts Salvage Labor	Reimbursable at registered dealer sell rate, if justified.
Outside Repair Expenses	Reimbursable at cost rate, if justified.
Overtime Labor, Shop Supplies, Hauling Costs, Freight Charges, Meals & Lodging, and Travel Time & Mileage	<p>Not reimbursable</p> <ul style="list-style-type: none"> Overtime labor can be reimbursed at normal labor rate. (See Labor above) Freight charges may be reimbursed if parts are not at dealer's assigned PDC

