



Caterpillar Warranty Claim Stories

April 2011

Purpose

- Consistent thought process
- Product independent
- Caterpillar Warranty Service Guide is the safe-source for all claiming requirements

Resource

- <https://warranty.cat.com>

CATERPILLAR GLOBAL WARRANTY

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HOME MACHINES ELECTRIC POWER INDUSTRIAL MARINE PETROLEUM RAILWAY TRUCK ABOUT US

Home English

Welcome to Global Warranty!
Warranty is one of the ways we demonstrate how Caterpillar stands behind our products. The transformation occurring right now is empowering our dealers and Caterpillar to better service our customers.

[Warranty Webinar Schedule & Past Presentations](#)

[Warranty Service Guide](#)

Missing/Stolen Equipment & Incident Reporting
Report Stolen Equipment, Trademark Infringements or Search the Database.
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RELATED LINKS & WEBSITES

- [» All Warranty Statements - Current](#)
- [» All Warranty Statements - Non-Current](#)
- [» Cat Insurance](#)
- [» CatMiner.com](#)
- [» Certified Rebuild Program](#)
- [» CLAIMSi - Corporate Claims System](#)
- [» CM Warranty - Caterpillar Global Petroleum](#)
- [» CM Warranty - Caterpillar Marine Power Systems](#)
- [» CM Warranty -- Caterpillar Electric Power Generation](#)
- [» Commercial Updates](#)
- [» DDS Knowledge](#)

Warranty and Equipment Protection Plan Forms
Links to the various types of forms used to change labor rates, process claims, register machines, etc.
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Help Desk Information
List of help desk numbers.
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Training Materials
Links to seminar presentations, Dealer Learning Mgmt System (DLMS), Service Claim Instruction Handbook, Shipping Discrepancy information and more.
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Claims System Run Schedule
2010 and 2011 claim processing run dates
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Warranty Communications
Find recent reminders of: Webinar Information, Dealer Presentations, TRG changes
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Rep Warranty Tool Kit
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Warranty Service Guide
Global Warranty Service Guide and Warranty Guide Changes.
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Warranty Metrics
Links to BIC and Other Warranty Metrics
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Caterpillar: Confidential

DEALER WARRANTY TRAINING – 2011

* Always refer to Global Service Warranty Guide for safe-source claiming instructions.

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Resource

- <https://warranty.cat.com>

Filing a proper claim

When you have a claim to file and want an example to follow, start here. Proper claim filing is illustrated through *actual claims* filed most often by Dealers—accessible through the [Service Claim Instruction Handbook](#).

If at any time you need assistance with a claim that didn't make it into the Caterpillar system, please contact the Warranty Help Desk immediately by email: svccims@cat.com; or phone: Toll-free in the U.S. at 1-800-437-3805 option 1; or U.S. direct and international (309) 675-5602.



Note: In claim examples, information in red type indicates input from Dealer, in gray type, system-generated information.

General Training Training information.	
Title	Description
» Claim Submission	Claim Submission
» Managing Returned Claims in Claims - Help Documentation	Managing Returned Claims in Claims - Help Documentation
» Returned Claims Frequently Asked Questions	Returned Claims Frequently Asked Questions (FAQ)
» SC611 Service Claim Recommendation (SCR)	Service Claim Recommendation (SCR)

- HELPFUL RESOURCES**
- » [99Z Serial Number Alignment Job Aid \(18Mar11\)](#)
 - » [Acceptable Miscellaneous Expense Descriptions \[20Dec10\]](#)
 - » [Cab Type Definitions](#)
 - » [Cat ET Information & Training](#)
 - » [Dealer Learning Management System \(DLMS\)](#)
 - » [Miami Skills Acquisition Center](#)
 - » [Send us a comment/question](#)
 - » [SIS Training](#)
 - » [Substitute Part Number Job Aid - 11Oct10](#)

- SHIPPING DISCREPANCY INFORMATION**
- » [Americas North Engines Shipping Discrepancy](#)
 - » [Americas North Machines Shipping Discrepancy](#)
 - » [Americas South Shipping Discrepancy](#)
 - » [APD Shipping Discrepancy](#)
 - » [EAME Shipping Discrepancy](#)
 - » [Incident Reporting on](#)

Caterpillar: Confidential GREEN

DEALER WARRANTY TRAINING – 2011

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What are we looking for?

- Claims adjudication
 - Explanation of additional expenses outside typical repair
 - Understanding of repair complications
- Failure analysis
 - Continuous Product Improvement (CPI)
 - What was the “Root Cause for Part-Causing Incident”?
 - What damage was caused by the defect in material or workmanship?
- Short summary of the customer’s complaint, defect in material or workmanship, corrective action and repair complications
 - Balance of enough information without too much detail
 - Just the critical facts
 - Intended to supplement, not repeat, header and expense detail
 - System 100 line limitation - practice using less than 60 lines

Claim Story Elements

- Special Notes
 - Items to immediately bring to claims analyst's attention
- Complaint
 - “Customer reported that _____”
- Cause
 - Identify the defect in material or workmanship
- Correction
 - How was the customer's complaint resolved?
- Complication
 - What circumstances are present that will impact the repair beyond normal?
- Miscellaneous Information

Special Notes

- Warranty expired before last day of labor – include work order open date
- Any SIMS attachments available
 - Repair vs. Replace Worksheet
 - Pictures
 - Failure analysis reports
- Warranty download could not be completed because...
- Reference conversations with any Caterpillar personnel
- Special claim requirements based on claim type (reference bulletins for claiming instructions)
 - Undercarriage Assurance, special marketing programs, 99Z's, etc.
 - Emission Warranty

Complaint

DO:

- Summarize what the customer told you
 - What was the customer's complaint?
 - Why was the product brought in or why did you dispatch a technician?
 - What triggered the customer's call to your dealership?
 - "Customer reported fuel leak on left side of engine"
- Describe what happened
 - Noise, stopped running, check engine light, etc
- Describe the physical appearance of product
 - Hole in block, broken valve cover, oil / coolant leak

DON'T:

- Describe the defect in material or workmanship (belongs in the Cause section)

Cause

- DO:**
- Paraphrase the defect of material in material or workmanship in a short statement
 - Why is this the manufacturer's responsibility?
 - What is the defect in material or workmanship?
 - Identify the true part causing incident
 - I.e. Dropped Valve caused by broken Valve Keeper - list the broken Valve Keeper as root cause not Dropped Valve
 - Describe the location of the defect
 - Left or Right, Front or Rear, Engine Cylinder #

DON'T:

- Describe your troubleshooting steps (belongs in Complications section as needed)

Wording can hurt or help

- Refrain from:
 - Worn Out
 - Defective
 - Broke
 - Leaks
 - Wouldn't Work
 - Factory Assembled Wrong
 - Wrong at Factory
 - Adjusted
 - BAD
- Use Instead:
 - Prematurely worn (w/ dim.)
 - Hard to engage, vibrates
 - Broken at threads
 - Groove too deep, seal cut
 - Overcharge, press. too high
 - Improper torque, poor weld
 - Seal installed upside down
 - Pressure too high/low
 - ****Any of the above****

Correction

DO:

- Provide a summary of the repair
 - High-level overview as if explained to a customer
 - What was required to return the product to its' condition immediately before failure?
- Describe resultant damage
 - Identify resultant damage parts
 - Give justification for replacement
- Include final test done and result of test

DON'T:

- List every part removed and installed
- List every step of the repair process
 - Ex. Looked up parts, got out tools, loosened bolts, torque sequence, going to lunch, etc

Complications

DO:

- Explain extra claimable parts not typical to the repair performed
- Explain extra claimable labor hours not typical to the repair performed
 - Excessive trouble-shooting efforts
 - Abnormal repair access issues
 - Unique/Special steps and procedures used (CBT, TIB, Service MAG, SEBDxxxx,...)
- Explain consumables replaced
 - Fluids, filters, & elements
 - Excessive amounts replaced over system capacity
- Explain need for washing or painting affected area
 - Condition of product (leaks)
 - Area of product where failure occurred
 - Application of product (landfill, limestone quarry)
 - Painted condition of part
 - Welding/grinding done on structure or painted area of product

DON'T:

- Claim for repair expenses not covered by warranty
- Include details not documented on the work order or service report
- Provide more information than really needed to justify the claim

Claimable Miscellaneous Expenses Must Be Explained

- Freight (FRGHT)
 - City name of Caterpillar depot of origin / Caterpillar parts distribution center
- Emergency Service Charges (SERCHG)
 - Invoice number
- Towing or Travel / Mileage
 - Travel destination & origin location of hook up or repair site – so it can be found on a map
 - Number of trips required
 - If towed past another authorized repair facility (branch, dealer, etc.), Caterpillar \$ / Customer \$
- Sublets (SUBLET)
 - Short description of work performed and break-down of costs
 - Labor reimbursement rules apply as noted in bulletins
- Other Miscellaneous Charges
 - Service Manuals, hotels, flights, meals, etc. listed and described separately

Not an exhaustive list. See bulletins for instructions on proper usage. If you find something missing or unclear, please let us know.

Claim Story Exceptions

- Before-Failure Service Letter Claim Stories
 - Follow Service Letter instructions
 - For example, Service Letter requests documented test results
 - Describe travel destination & origin, where claimable
 - From Branch A to Golden Gate Bridge
 - From Branch A to Ayres Rock
- Supplemental-Additional Information Claims (PD Code 20)
 - Provide only information needed to justify additional expenses being claimed
- Supplemental-Contested Claims (PD Code 98)
 - Additional information to justify the reason for the contest

Example #1

- C18 Fuel leak @ 451 hrs
- 197-9441 Fuel line cracked

Original Claim Story:

58' MIDDLETON***** CUSTOMER COMPLAINED OF FUEL LEAK. T/S AND FOUND FUEL LEAKING FROM FUEL SUPPLY LINE. REMOVED THE FUEL LINE AND FOUND IT WAS CRACKED. WE HAD TO HAVE THE FUEL LINE MADE UP AT A SUBLET SHOP BECAUSE IT WAS NOT AVAILABLE THRU THE CAT SYSTEM. ONCE WE GOT THE LINE WE INSTALLED THE NEW LINE AND TESTED, FOUND NO MORE FUEL LEAKS. MISC ITEM IS FOR SUBLET TO HAVE THE FUEL LINE MADE.

Revised Claim Story:

COMPLAINT: FUEL LEAK

CAUSE: FUEL SUPPLY LINE CRACKED

CORRECTION: REMOVED REPLACED WITH NEW

COMPLICATIONS: DUE TO BOAT CONFIGURATION WE HAD TO REMOVE THE FUEL FILTER AND ECM TO GAIN ACCESS TO THE FUEL SUPPLY LINE WHICH RESULTED IN EXTRA 1.4 HOURS FOR R&I.

MISCELLANEOUS INFORMATION: SUBLET TO HAVE FUEL LINE MADE AS IT WAS NOT AVAILABLE THROUGH PARTS SYSTEM

Example #2

- 330D stick cylinder drift @ 4400hrs
- 9X-3607 Piston Seal failed

Original Claim Story:

T/S HYDRAULIC SYSTEM. STICK CYLINDER DRIFTING.
THE 9X-3607 SEAL FAILED.

STICK CYLINDER INTERNAL LEAK. REMOVED STICK CYLINDER
BROUGHT TO SHOP FOR REPAIRS & REINSTALLED UPON REPAIR
COMPLETION & TEST. STICK CYLINDER DRIFTING. DISASSEMBLED,
CLEANED & RESEALED. MAIN PROBLEM WAS THE 9X-3607 SEAL HAD
FAILED. HAD TO RESEAL, LIGHT HONE AND REASSEMBLE.

Revised Claim Story:

COMPLAINT: STICK DRIFTING

CAUSE: STICK CYLINDER PISTON SEAL TORN

CORRECTION: REMOVED STICK CYLINDER FROM MACHINE. RESEALED, LIGHT HONE & REASSEMBLED WITH NEW SEALS. REINSTALLED. TESTED OK.

COMPLICATIONS: DURING CYLINDER DISASSEMBLY THE HEAD WAS SEIZED TO THE BARREL AND HAD TO BE HEATED TO REMOVE

MISCELLANEOUS INFORMATION: TWO FIVE GALLON CONTAINERS OF HYDRAULIC OIL REQUIRED TO REFILL CYLINDER AND MAKEUP OIL IN SYSTEM

Example #3

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- HYDRAULIC OIL LEAKAGE FROM BUCKET CYLINDER  
- BURST BUSHING 2378377, DAMAGED OTHER INNER SEALS  
- BUCKET CYLINDER REMOVED, DISASSEMBLY, ALL DAMAGED PARTS  
  REPLACED, BACK ASSEMBLY AND INSTALLED, OIL REFILLING
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While "Customer Complaint", "Cause", and "Correction" aren't specifically listed, the information is still captured in a simple, easy to understand format.

Example #4

- Marine engine (C32) with 2857 hours
- Customer noticed oil is milky in appearance
- Extensive and complicated repair

Claim Story

6. Claim Maintenance-Story

FREIGHT FROM MORTON, YORK, MIAMI

Special Notes?

Customer Complaint?

Cause?

Correction?

Complications?

Miscellaneous information explained?

6. Claim Maintenance-Story

FREIGHT FROM MORTON, YORK, MIAMI
CUSTOMER COMPLAINT: OIL IS MILKY LOOKING
CAUSE: RAW WATER PUMP SHAFT SEAL FAILED
RESULTANT DAMAGE: SALTWATER IN ENGINE BASE
REPAIRS: TRAVELED FROM DEALER BRANCH A
TO 5678 MAIN STREET
18 MILES.

REMOVED VALVE COVER TO VERIFY OIL EMULSIFICATION
FOUND EXTREME AMOUNTS OF RUST ON ALL METAL
SURFACES. PULLED OIL SAMPLE AND PRESSURE TESTED
COOLING SYSTEM. FOUND COOLING SYSTEM HOLDING
PRESSURE. DRAINED ENGINE OIL AND REMOVED OIL PAN
COULD NOT FIND ANY SOURCE OF WATER ENTRY FROM
COOLING SYSTEM. REMOVED AIR FILTERS VALVE COVERS
ROCKER ASSEMBLIES AND INJECTORS, BORESCOPED
CYLINDERS, CYLINDERS SHOWED SIGNS OF SEVERE RUST
BUT NO SOURCE OF WATER ENTRY. RECEIVED RESULTS
FROM SOS SAMPLE THEY TESTED POSITIVE FOR HIGH
TRACES OF SODIUM. TRAVELED BACK TO BOAT REMOVED
RAW WATER PUMP AND FOUND SALT/RUST TRAIL COMING
FROM BEHIND PUMP DRIVEN GEAR AROUND THE PUMP
SHAFT. THE RAW WATER PUMP IS THE CAUSE OF WATER
ENTERING THE ENGINE BASE, THE RAW WATER SEAL
FAILED PUSHING WATER PAST THE OIL SEAL AND INTO
THE ENGINE OIL SYSTEM. THE DECISION WAS THEN MADE
BETWEEN TECHNICIAN. TC AND CATERPILLAR THAT THE

Resubmitted Claim Story

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WHOLE ENGINE NEEDED REBUILT DOWN TO BARE BLOCK.
TRAVELED BACK TO BOAT, DRAINED ENGINE COOLANT
REMOVED HEAT EXCHANGER, REMOVED AFTERCOOLER,
TURBOS, EXHAUST MANIFOLDS AND CYL. HEADS. REMOVED
CYL. PACKS FOUND CRANK SHAFT WAS RUSTED BEYOND
REPAIR. UNCOUPLED ENGINE FROM TRANSMISSION, SLID
ENGINE FORWARD. CRIBBED ENGINE UP ON STRINGERS
REMOVED FLYWHEEL, FLYWHEEL HOUSING REAR GEAR
TRAIN AND REAR HOUSING. FOUND ALL STUB SHAFTS
FOR GEAR TRAIN RUSTED BEYOND REPAIR. REMOVED
VIBRATION DAMPER FROM FRONT OF ENGINE REMOVED
FRONT HOUSING AND GEAR TRAIN. REBLOKED ENGINE
FOR CRANK SHAFT REMOVAL REMOVED CRANK SHAFT
MAIN CAPS AND REMOVED CRANK SHAFT FROM ENGINE.

6. Claim Maintenance-Story (continued)

BUILT SLIDE TO REMOVE CRANK FROM ENGINE ROOM. SLID CRANCK OUT OF ENGIN ROOM AND PICKED OFF OF BOAT WITH CRAINE. CLEANED AND INSPECTED ENGINE BLOCK, REMOVED OIL COOLER AND CLEANED OIL PASSAGES. RECIEVED NEW CRANK SHAFT CLEANED PRESERVATIVE OFF CRANK SHAFT, USED CRAIN TO INST. ONTO BOAT,SLID INTO ENGINE ROOM AND AFRAMED UNDER ENGINE. CHAINFALLED CRANK INTO POSITION IN ENGINE. INSTALLED NEW BEARINGS AND MAIN CAPS. TOURQUED MAIN CAPS TO SPEC. INSTALLED REAR HOUS. INSTALLED REAR GEAR TRAIN WITH NEW STUB SHAFTS. INSTALLED FLYWHEEL HOUSING, REAR SEAL AND FLYWHEEL. INSTALLED FRONT GEAR TRAIN WITH NEW STUB SHAFTS INSTALLED FRONT HOUSING,DAMPER, WATER PUMP, NEW RAW WATER PUMP. SLID ENGINE BACK TO MARRY WITH TRANI. COUPLED THE TWO AND BOLTED TO STRINGER. REMAN CYL. PACKS WERE NOT AVAIL. DUE TO CAT BACK ORDER SO CYL. PACKS WERE PEICED TOGETHER. INSTALLED CYL. PACKS WITH NEW BEARINGS AND TORQUED TO SPECS. INSTALLED NEW PISTON COOLING JETS AND TOURQUED. INSTALLED REMAN OIL PUMP AND NEW PICK UP SCREEN. INSTALLED OIL PAN. CLEANED PRESERVATIVE OFF NEW CYL. HEADS PAINTED HEADS AND CRAINED THEM INTO ENGINE ROOM. SLID HEAD DOWN INTO ENGINE ROOM WITH CRIBBING.

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Consumes 100 lines of claim story.

Can you easily identify:

- **special notes,**
- **customer complaint,**
- **cause,**
- **correction,**
- **complications, and**
- **miscellaneous information?**

AFRAMED CYL. HEADS ONTO ENGINE AND TOURQED. INSTALLED NEW CAM SHAFT, OR INJECTORS AND OR ROCKERS. TIMED CAMS PERFORMED VALVE ADJ. INSTALED VALVE COVERS,EXH. MANIFOLDS TURBOS,AFTERCOOLER AND HEAT ECHANGER. FILLED WITH COOLANT AND OIL. CLEANED ENGINE ROOM AND PERFORMED SEA TRIAL. ENGINE RAN VERY WELL. HAD LEFT BANK COOLANT PIPE SLIDE OUT OF EXHAUST MANIFOLD DURING SEA TRIAL. THIS IS CAUSED BY ORIGINAL DESIGN TUBING WITH INSUFICIENT CLAMPING. THIS WAS THE THIRD THIS HAS HAPPENED ACCORDING TO CAPTAIN. RECOMEND REPLACING TUBING WITH UPDATED TWO PIECE STYLE. RODE THE BOAT FROM EVERYTHING WENT WELL. JOB COMPLETE.

Possible corrected version of claim story...

COMPLAINT: OIL IS MILKY IN APPEARANCE. SOS SAMPLE TESTED POSITIVE FOR HIGH TRACES OF SODIUM.

CAUSE: RAW WATER PUMP SEAL FAILED. PUSHED WATER PAST THE OIL SEAL AND INTO THE ENGINE OIL SYSTEM. SALTWATER IN ENGINE BASE CAUSED FURTHER DAMAGE TO ENGINE. EXAMINED RAW WATER PUMP. FOUND SALT/RUST TRAIL COMING FROM BEHIND PUMP DRIVEN GEAR AROUND PUMP SHAFT. FOUND FAILED SEAL.

CORRECTION: VERIFIED OIL EMULSIFICATION. FOUND EXTREME AMOUNTS OF RUST ON ALL METAL SURFACES. NO WATER ENTRY FOUND IN COOLING SYSTEM. CYLINDERS SHOWED RUST BUT NO SIGNS OF WATER ENTRY.

DISASSEMBLED, REPAIRED, AND REASSEMBLED ENGINE.
PERFORMED SUCCESSFUL SEA TRIAL.

COMPLICATION: FOUND CRANKSHAFT RUSTED BEYOND REPAIR. FOUND STUB SHAFTS FOR GEAR TRAIN RUSTED BEYOND REPAIR. REPLACED CRANKSHAFT AND STUB SHAFTS. NEEDED TO BUILD SLIDE TO REMOVE CRANKSHAFT FROM ENGINE ROOM.

MISCELLANEOUS: TRAVEL FROM DEALER BRANCH A TO 5678 MAIN STREET (18 MILES) FREIGHT FROM MORTON, YORK, MIAMI

Example #5

COMPLAINT: HOSE WAS IN THE WAY OF THE DIPSTICK ACCESS. COULD NOT PULL DIPSTICK.

CAUSE: INCORRECT FACTORY ROUTING INSTALLATION.

CORRECTION: REMOVED PANEL, TURNED HOSE AND CLAMP THEN TIGHTENED CLAMP SO IT WAS OUT OF THE WAY OF THE DIPSTICK. YOU CAN NOW GET TO THE SWING DRIVE DIPSTICK TO CHECK THE OIL.

NOTE: REFERENCE DSN# CAT-xxxxx {First Name Last Name}.

Simple, easy to understand format.

Key Takeaways

- Work with Service Department for a clear, complete, auditable Service Report
- List appropriate claim story categories
 - Special Notes, Complaint, Cause, Correction, Complications, Miscellaneous
- Review the claim story before submitting
 - Does it support the expenses and failure description?
 - Does it follow applicable reimbursement policies?
 - Is it concise and complete?