



OVERHAUL PROTECTION FOR ON-HIGHWAY TRUCK ENGINES (OPT) OPERATING WORLDWIDE (Excludes Colombia and Venezuela)

Overhaul Certification Worksheet - This is NOT the Registration Form

Program Effective Date: January 1, 2018

Overhaul Date: Nov. 3, 2021 Overhauling Dealer: THOMPSON TRACTOR Overhauling Dealer Code: D431
 Owner Name: RONNIE WEST Owner Address: 42390 US-72 STEVENSON, AL 35772
 Vehicle Year/Make/Model: 2005 KW T300 VIN #: 2XKMAD8X15M094668 Engine Sales Model: C7 Engine S/N: KAL61674
 HP: 251 ECM Start Miles/Kms: 277,016 Odometer Start Miles/Kms: 275,590 Total Fuel (Gallons/Liters): 49,433

REQUIRED ACTIONS of DEALER

COMPLETED

- Check SIMS and perform any applicable PIP / PSP's ☒ Yes
- For all 3400(all), C-15, C15, & C-16 following SEBF9008, completed liner projection sheet uploaded to SIMS ☐ Yes
- Check Engine Serial number in SIMS for possible duplicate Extended Service Coverage (ESC) or incorrect ESC registrations. Correct any issues prior to registration ☒ Yes
- Post overhaul, upload ECM Warranty Report to SIMS; ECM must be reflashed with latest flashfile showing Rating, FLS/FTS, and Injector Trim Codes/files (if applicable) ☒ Yes
- Validate overhaul was performed to Caterpillar factory specifications and arrangement is applicable for covered engine+++ ☒ Yes
- Completed Overhaul worksheet uploaded to Quote Plus or SIMS ☒ Yes

VERIFY REQUIRED REPLACEMENT COMPONENTS

- Thermostat ☒ Yes
- Spacer Plate Gasket ☐ Yes
- Rod, Main & Thrust Bearings ☒ Yes
- Valve Cover Gasket ☒ Yes
- Oil Filter, Fuel Filters, and Cooling System Conditioner ☒ Yes
- Cylinder Packs (Required If Available) ☐ Yes
- Piston Group Wrist Pin, Retainer Clip & Rings (Where Applicable) ☒ Yes
- Piston Body Assembly (Where Applicable) ☒ Yes
- Exhaust Manifold Studs / Gasket / Sleeves ☒ Yes
- Cylinder Head Assembly / Head Gasket / Injector Sleeves ☒ Yes
- Injector Sleeve Seal O-rings ☒ Yes
- Connecting Rod Assembly (Where Applicable) ☒ Yes
- Fuel Nozzles (Where Applicable) ☐ Yes
- Cam Follower Spring Guides (Where Applicable) ☐ Yes
- O Ring Seals (Between Spacer Block & Cylinder Head) (3176 Only) ☐ Yes
- Cylinder Head Bolts on (C-10, C11, C-12, C13, 3400 (All), C-15, C15, & C-16) ☒ Yes
- Variable Valve Actuators (VVAs) Mounting Studs (Where applicable and NOT the latest design)(If latest design check Yes) ☐ Yes

OPTIONAL REPLACEMENT COMPONENTS

*Replaced **Exception

- Front Cover Gasket ☒ * ☐ **
- Turbocharger(s)*** / Seals / Gaskets ☒ * ☐ **
- Water Pump / Seals / Gaskets ☒ * ☐ **
- Unit Injectors**** ☒ * ☐ **
- Air Compressor ☐ * ☒ **
- Variable Valve Actuators (VVAs) Assembly**** ☐ * ☐ **

ADDITIONAL COMPONENTS

INSPECTED Replaced **Exception

- Pre-Cooler (turbocharger) + ☐ ☐ ☐
- Coolant Diverter Valve or assembly(must be replaced if Pre-Cooler replaced) ☐ ☐ ☐
- Pre-Cooler mounting bracket (turbocharger) ++ ☐ ☐ ☐
- Engine Oil Rail (EOR) Valve (VVA engines only) ☐ ☐ ☐

ENGINE BLOCK AND ECM SERIAL NUMBER VALIDATION

Does engine block and ECM serial number match? ☒ Yes ☐ No

If No is marked - serial numbers do not match or block serial number cannot be determined, the dealer will validate all engine components are consistent with the engine arrangement and serial number being registered. ☐ Validated ☐ No ECM

Block serial number (if does not match ECM) or NA: _____

NOTES:

*Optional Replacement Components are covered only if replaced with genuine Caterpillar new or remanufactured components at time of the overhaul.
 **If Exception is marked the component will not be covered under OPT
 *** If the engine has two turbocharger(s), both must be replaced to qualify for optional replacement component coverage under OPT.
 **** Unit Injectors and Variable Valve Actuators (VVAs) must be replaced as a set to qualify for optional replacement component coverage under OPT.
 + Pre-Cooler is covered only if inspected or replaced, and the Pre-Cooler Mounting Bracket is of the latest design at the time of the overhaul.
 ++ This component must be of the latest design to qualify for coverage. Dealers must confirm the latest design or replace this component at the time of the overhaul to receive coverage under OPT.
 +++ Modifications made to the overhauled engine may lead to claim denial and/or cancellation of coverage. End user review of REHS3809 - Customer Communication Regarding Unauthorized Modifications - is required.

Overhaul Certification Worksheet (cont'd)

INSPECTED COMPONENTS

Components listed in this section are covered only if they pass inspection and are repaired or replaced during the overhaul. Parts not replaced must be within the specifications set forth in the applicable service guide or applicable Caterpillar defined guideline for reusable parts. If a component fails the inspection and is not repaired or replaced it will not be covered under this program. In this case the exception box should be marked. One time use components as identified by the applicable service guide must be replaced. If the component is replaced, all parts of the component must be replaced. If all parts of the component are not replaced, it should be marked as an exception and will not be covered under this program.

	INSPECTED	Replaced	Exception		INSPECTED	Repaired	Replaced	Exception
Thermostat Housing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Cylinder Head Bolts (Mid Range Only)	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Spacer Plate / Spacer Block	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Exhaust Manifold	<input checked="" type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Camshaft	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Valve Cover & Base	<input checked="" type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
***Camshaft Bearings		<input checked="" type="checkbox"/>	<input type="checkbox"/>	Water Pump Housing	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
*Camshaft Follower / Lifter	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Flywheel Housing	<input checked="" type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Vibration Damper	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Front Housing	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Crankshaft	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	**Cylinder Block / Deck / Counter Bore	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Oil Pump	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Piston Cooling Spray Jets	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Front Covers and Plate	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Oil Pan	<input checked="" type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
Oil Cooler Housing	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Freeze Plugs	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Rocker Arm Assembly	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Main Bearing Cap Bolts	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Intake Manifold	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>					
Intake Manifold	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>					

*At the time of the overhaul, if the camshaft is replaced, any lifters/rollers/followers that are in direct contact with the camshaft must also be replaced. If the lifters/rollers/followers are not replaced, the camshaft should be marked as an exception and will not be covered under this program.

**At the time of the overhaul, if the cylinder block is cracked or is or has been welded / repaired, the block must be replaced or marked as an exception and is not covered under the program.

***At the time of the overhaul, camshaft bearings must all be replaced to be covered or marked as an exception and are not covered under the program.

The dealer has explained this Overhaul Certification Worksheet to me. Known problems, as identified during this overhaul, by this inspection, have been corrected.

I hereby certify that the appropriate Overhaul Certification procedure as specified above has been completed and the engine is eligible for Overhaul Protection. Only genuine Caterpillar new or remanufactured components were utilized on the repairs or replacements listed above. A copy of the Dealer Work Order is attached.

Customer Signature

Date

Dealer Service Manager Signature

Date

Customer Name (Printed)

Dealer Service Manager Name (Printed)