



CORE ACCEPTANCE CRITERIA

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3400, 3500, C27, C32 AND C175 ENGINES

The following criteria define each sales level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Must pass rotation test requirement

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Does not pass rotation test requirement
4. Cylinder block visibly cracked, broken, ventilated, or welded
5. Broken crankshaft

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

C18 AND SMALLER ENGINES

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Cylinder block not visibly cracked, broken or welded.
2. Non-failed, running engine core. See Inspection Process (5)
3. Must be returned on Finning supplied engine stand.
4. Fully assembled and complete.
5. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire or torch damage)
6. Must be a CAT 3116, 3126, 3126B, 3176, 3196, 3208, 3306, 3406, 3456, C7, C9, C10, C11, C12, C13, C15, C16 or C18 Engine.

B. After Failure (AF) – Partial Core Refund

1. Cylinder block visibly cracked, broken, or welded.
2. Failed, non-running engine core. See Inspection Process (5)
3. Evidence of bearing, piston, connecting rod, valve, gear train or other internal failure.

C. No Core Refund

1. Scavenged cores (see Note below on Add Charges).
2. Disassembled cores.
3. Non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
4. Yellowmark™ Parts

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

FINAL DRIVES & WHEEL GROUP

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Must pass rotation test requirement (except OHT final drives)

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Does not pass rotation test requirement (except OHT final drives)
4. Broken or damaged gears or teeth
5. Spalled gears
6. Cracks in the casting
7. Broken hubs or hubs with cracks or welding
8. Sprocket, carrier, wheel or spindle visibly cracked, broken or welded

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting
5. Yellowmark Parts

D. Add Charges

1. Missing or damaged parts or components
 - a) Missing Sun Gear (if supplied)
 - b) Missing Ring Gear (if supplied)
 - c) Cracked sprocket hub mounting flange
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

TRANSMISSIONS & TORQUE CONVERTERS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Case, housing, splines, and shafts not visibly cracked, broken, or welded.
2. Non-failed, running core. See rotation requirements under Inspection Process (5)
3. No non-operational damage (mishandling, excessive rust, corrosion, pitting, or fire damage).
4. Fully assembled and complete. Refer to the “Add Charge” option.
5. Must be returned on Finning supplied shipping stand.
6. Acceptable part number

B. After Failure (AF) – Partial Core Refund

1. Case, housing, splines, and shafts visibly cracked, broken, or welded.
2. Failed, non-running core. See rotation requirements under Inspection Process (5)
3. Evidence of bearing, carrier, gear, or other internal failure.
4. Non-operational damage (mishandling, excessive rust, corrosion, pitting).
5. Fully assembled and complete. Refer to the “Add Charge” option.
6. Must be returned on Finning supplied shipping stand.
7. Acceptable part number
8. Fire damage.

C. No Core Refund

1. Unacceptable part number
2. Unsuccessful attempt to salvage or rebuild
3. Scavenged cores (see note on “Add Charges”).
4. Disassembled.
5. Yellowmark™ Parts.

D. Add Charges

1. Missing, disassembled, cracked, broken or welded components (such as: yokes, valves, filter housing, pumps and electronic controls)
2. Scavenged parts or components
3. Non-genuine CAT parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

DIFFERENTIALS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Must pass rotation test requirement

B. After Failure (AF) – Damaged Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Does not pass rotation test requirement
4. Housings visibly cracked, broken, or welded
5. Crown Gear chipped, cracked, or broken

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

HYDRAULIC CYLINDERS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Light operational scratching or scraping
8. Seal leaking but *no* damage to rod or cylinder
9. No impact damage to the eye/rod or cap/cylinder from broken or sheared bolts
10. Cylinder (Tube/barrel) not visibly ruptured, cracked, broken, bent, or welded
11. Rod not visibly cracked, bent, or broken
12. Front Strut Housing with visible cracked webs that do not extend into the body of the cylinder

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Rod scored with gouges and/or grooves
4. Rod visibly cracked, broken, or bent
5. Cylinder (tube/barrel) visibly ruptured, cracked, or broken
6. Impact Damage to the eye/rod or cap/cylinder from broken or sheared bolts
7. Cylinder trunnion, end cap, flange castings visibly cracked, broken, or welded on
8. Front Strut Housing with visible cracked webs that extend into the body of the cylinder

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting (e.g. welding, machining, etc.)
5. Both the cylinder and the rod are damaged; any combination of two defects will result in No Core Refund: Both the cylinder (including the tube, trunnion, eye, flange, and endcap) and the rod or rod eye are damaged (i.e., cylinder tube is cracked, and the rod eye is broken, or cylinder eye is bent, and the rod eye has non-operational damage, etc.)
6. Yellowmark Parts

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained
8. Pressure or nitrogen not properly released
9. Not fully assembled

STEERING CLUTCH AND BRAKE GROUPS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Housing not visibly cracked, broken, or welded
8. Hub not visibly cracked, broken, or welded

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Housing visibly cracked, broken, or welded
4. Hub visibly cracked, broken, or welded
5. Failed bearings

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

BRAKE GROUPS FOR OFF HIGHWAY TRUCKS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Not visibly cracked, welded, or broken

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Visibly cracked, broken, or welded
4. Excessive rust

C. No Core Refund

1. Non-operational damage (mishandling, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

FIXED OR OSCILLATING AXLE ASSEMBLY WITH HOUSING

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts

B. After Failure (AF) – Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Case or housing visibly cracked, broken, or welded
4. Trunnion support arms (oscillating axle only) cracked, broken, or welded

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

1. Missing parts or components
 - a. Missing trunnion support arm
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers
7. Fluids not properly drained

ROLLERS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Acceptable part number
2. Non-failed, operational core
3. No non-operational damage (mishandling, excessive rust, corrosion, pitting, firedamage, or slag)
4. Fully assembled
5. Complete component as supplied
6. No scavenging of major parts
7. Must pass rotation test requirement

B. After Failure (AF) – Partial Core Refund

Rollers are either BF or No Core Refund. There is no AF.

C. No Core Refund

1. Unacceptable part number
2. Non-operational damage (mishandling, excessive rust, corrosion, pitting, firedamage, or slag.
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting
5. Does not pass rotation test requirement
6. Shaft and collars or shaft and retainers are loose or worn.
 - a) The heads on the retainer bolts must be undamaged; such that a standard socket can be used for removal purposes and unusual tooling or extraordinary efforts are not required. It is most likely that the retainers will be worn to the point of being unusable by the time the bolts are affected.
7. Track Roller has no oil/is dry
“Cow-belled”
8. Is an old style track roller
9. Not correctly packaged

D. Add Charges

There are no add charges for rollers. They either meet the criteria listed above or they do not.

IDLERS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Acceptable part number
2. Non-failed, operational core
3. No non-operational damage (mishandling, excessive rust, corrosion, pitting, fire damage, or slag)
4. Fully assembled
5. Complete component as supplied
6. Must pass rotation test requirement
7. No visible cracking
8. Peeling that is less than 12 inches
9. Bolt heads on retainers have not been damaged and are removable
10. An old style Idler with active old part number
11. Maximum tread wear is 110% or less on D11 idlers
 - a. 112% or less on all other idlers

B. After Failure (AF) - Partial Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. Visible damage to the shaft
4. Does not pass rotation test requirement
5. Multiple cracks and the total length of all cracks is less than 12 inches (305 mm)
6. Single peel greater than 12 inches
7. Idlers not properly package for shipping (on stand or on pallet)
 - a. Note: This is also a safety issue.
 - b. An old-style Idler with new part number.
8. Loonie shape worn out shells with flat section all over the tread

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, fire damage, or slag)
2. Unacceptable part number
3. Maximum tread wear is greater than 110% on D11 idlers
 - a. greater than 112% on all other idlers
4. Single crack or multiple cracks are greater than 12 inches (305 mm)
5. Inside flange crack
6. Vertical shaft movement is greater than 3/8"
7. Yellowmark Parts

D. Add Charges

1. Missing shipping stand

SWING DRIVE GROUPS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

- A. Non-failed, operational core
- B. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
- C. Fully assembled
- D. Acceptable part number
- E. Complete component as supplied
- F. No scavenging of major parts
- G. Must pass rotation test requirement

B. After Failure (AF) – Partial Core Refund

- 1. Failed, non-operational core
- 2. Not fully assembled
- 3. Does not pass rotation test requirement
- 4. Gears visibly broken
- 5. Output pinion gear damaged
- 6. Housing visibly cracked, broken or welded
- 7. Ring gear cracked

C. No Core Refund

- 1. Non-operational damage (mishandling, excessive rust, corrosion or fire damage)
- 2. Unacceptable part number
- 3. Scavenged core (assembled from scrap / bad cores)
- 4. Cores with evidence of unsuccessful attempts to salvage major casting

D. Add Charges

- 1. Missing or damaged parts or components
- 2. Scavenged parts or components
- 3. Non-genuine Cat parts or components
- 4. Non like-for-like parts or components
- 5. Missing Finning supplied shipping stand
- 6. Missing Finning supplied shipping covers
- 7. Fluids not properly drained

PISTON PUMP & MOTOR GROUPS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Non-failed, operational core
2. No non-operational damage (mishandling, excessive rust, corrosion, pitting or fire damage)
3. Fully assembled
4. Acceptable part number
5. Complete component as supplied
6. No scavenging of major parts
7. Housing not visibly cracked, broken, or welded
8. External shaft not cracked, broken, or bent
9. Splines of external shaft not cracked, chipped, broken, or stripped

B. After Failure (AF) – Damaged Core Refund

1. Failed, non-operational core
2. Not fully assembled
3. **One** of the following conditions is present:
 - a. Housing cracked, broken, or welded
 - b. Shaft is cracked, broken or bent
 - c. Exposed shaft splines are cracked, chipped, broken or



Note: If more than one of these AF conditions is present, then the core must be evaluated as *No Core Credit*.

C. No Core Refund

1. Non-operational damage (mishandling, excessive rust, corrosion, or fire damage)
2. Unacceptable part number
3. Scavenged core (assembled from scrap / bad cores)
4. Cores with evidence of unsuccessful attempts to salvage major casting
5. **More Than One** of the following conditions:
 - a. Housing cracked, broken, or welded
 - b. External shaft is cracked, broken, or bent
 - c. External portion of exposed shaft or the splines are cracked, chipped, broken or stripped

D. Add Charges

1. Missing or damaged parts or components
2. Scavenged parts or components
3. Non-genuine Cat parts or components
4. Non like-for-like parts or components
5. Missing Finning supplied shipping stand
6. Missing Finning supplied shipping covers

CIRCLE DRAWBARS

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled
3. Non-failed, running core with no known internal damage.
4. No scavenging of major parts
5. Welded segments
6. Worn or cracked end joint
7. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).

B. After Failure (AF) – Damaged Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled
3. No known internal damage.
4. Moldboard Bracket (Tube Assembly) is cracked, broken, or missing.
5. Cores with evidence of structural alterations or attempts to repair the Drawbar in field
6. Missing segments
7. Missing components: shoes or hydraulic lines
8. Missing or damaged grease package
9. Broken or damaged end joint
10. Broken, bent or field repaired cylinder balls
11. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).

C. No Core Refund

1. Non-Caterpillar part number.
2. Not fully assembled; or not complete; or a scavenged core.
3. Known internal damage.
4. Non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).

CIRCLE DRIVE

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled c/w Motor.
3. Non-failed, running core with no known internal damage.
4. Main Housing and Cover is not visibly cracked, broken, or welded.
5. Circle Drive Pinion is not cracked, broken, or welded.
6. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).
7. Oil drained.
8. Oil drained.

B. After Failure (AF) – Damaged Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled c/w Motor
3. No known internal damage.
4. Main Housing is not visibly cracked, broken, or welded.
5. Circle Drive Pinion is cracked, broken, or welded.
6. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).
7. Oil drained.

C. No Core Refund

1. Non-Caterpillar part number.
2. Not fully assembled; or not complete; or a scavenged core.
3. Known internal damage.
4. Main Housing is visibly cracked, broken, or welded.
5. Non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).

FRONT AXLES

The following criteria define each core level for this core type.

A. Before Failure (BF) – Full Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled
3. Non-failed, running core with no known internal damage.
4. Main Housing is not visibly cracked, broken, or welded.
5. Lean Bar is not cracked, broken, or welded.
6. Cylinders are not cracked, broken or welded.
7. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).
- 8.

B. After Failure (AF) – Damaged Core Refund

1. Acceptable Caterpillar part number.
2. Fully assembled
3. No known internal damage.
4. Main Housing is cracked, broken, or missing.
5. Lean Bar is cracked, broken, or missing.
6. Cylinders are cracked, broken or missing.
7. No non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).
- 8.

C. No Core Refund

1. Non-Caterpillar part number.
2. Not complete; or a scavenged core.
3. Known internal damage.
4. Non-operational damage (mishandling, rust, corrosion, pitting or fire damage; or an unsuccessful attempt to salvage or rebuild).
- 5.