

Progress Rail/EMD/Caterpillar Employees United Way Appeal (CEUWA) Frequently Asked Questions – 2013-2014

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GENERAL QUESTIONS

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1. What is the Caterpillar Employees United Way Appeal (CEUWA)?

It is a workplace campaign that raises funds on behalf of community United Ways. All U.S. Caterpillar employee campaigns are considered CEUWA no matter where they are located or how the campaign runs.

2. Why is Caterpillar requiring Progress Rail/EMD to move to their online pledging system rather than the previous model?

Since Progress Rail/EMD became a subsidiary of Caterpillar, we have been a part of the Caterpillar Employee United Way appeal (CEUWA). There is no difference between the Progress Rail/EMD campaign and the CEUWA we are now consistent in processes and reporting.

3. Why are automatic rollovers being implemented?

a. What happens if I don't do anything?

We are now using the Caterpillar online pledging system, and rollovers are a part of the process. It makes it easier for employees to give year-over-year, but it is not required for you to give each year. You have the option to confirm, change or cancel your pledge each year.

After this year if you don't do anything, your pledge will roll-over year-over-year. However, designations to specific United Way agencies don't roll-over. If you take no action and you designated last year, your pledge rolls over, and your donation defaults to your home zip code United Way. Exception: one-time gifts do not roll-over (see below).

4. Why does Caterpillar have a corporate campaign?

The corporation and its employees are supportive of United Way, but Caterpillar realized that the various campaigns held by each agency were starting to overwhelm employees at work. In the early 1950s, Caterpillar created a corporate campaign that would be conducted internally for employees through the United Way, rather than invite each of the hundreds of agencies to solicit the employees individually. In

addition, Caterpillar recognized the value local United Ways provide to communities and believe in the strength of their process as the best investment of employee and company dollars.

5. Who pays the administrative cost for Caterpillar to coordinate the CEUWA?

Caterpillar pays 100% of all expenses associated with CEUWA (supplies, administrative costs, etc.). Every penny of employee contributions goes to the participating United Ways. This means there are no administrative expenses on employee dollars when they are directed to local United Ways and/or designated United Way agencies.

6. How much of the total employee contribution to CEUWA go to the local United Ways?

100% of all employee contributions to CEUWA go directly to the employees local United Ways or designated United Way agency.

7. Who determines which United Ways are part of the CEUWA?

The online pledging system allows all United Way in the U.S. to participate in the campaign. However, it is the local United Way's responsibility to update their system with the appropriate funded programs and impact areas to allow donors the ability to designate to a particular agency. If their system is not updated at the time of our campaign employees will not be able to locate funded United Way agencies in their area.

8. Who decides how much of the money raised by facility campaigns goes to their local United Way?

All employee contributions go back to the local United Way(s) or agencies based on the employees home zip code or otherwise specified location if you chose. CEUWA's role in the campaign is to raise funds for the local United Way(s). It is the responsibility of the United Way(s) receiving the funds to allocate the monetary contributions based on the community needs in that area.

9. Are employees expected to contribute to the CEUWA?

Caterpillar realizes not all employees will participate in CEUWA and employees are not required to contribute to CEUWA. However, employees are encouraged to contribute to the United Way or agency of their choice. CEUWA serves as a vehicle to support many agencies with one contribution. In addition, funds raised by employees are eligible to be matched by the Caterpillar Foundation dollar for dollar with no maximum limit.

10. Is there a corporate policy written about the CEUWA?

There is a corporate policy that specifically deals with "solicitations" and it states that internal solicitations are NOT allowed. However, CEUWA is an exception to that policy. Caterpillar is able to solicit each employee on company time with company resources using a Caterpillar Employee online pledging process. The CEUWA campaign is strictly solicited through an online form during the annual internal campaign. For more information on the Corporate Solicitation Policy, please see your local HR representative or HR Manager.

ABOUT PLEDGES/CONTRIBUTIONS

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11. How do I pledge online?

You will receive your cue to pledge online through a series of communications and a direct e-mail. If you are part of U.S. Progress Rail/EMD payroll and have an active email address, you will be receiving an e-mail on August 19, 2013 that tells you how to pledge online or you can visit

<http://www.caterpillar.com/foundation> (Select United Way) for a link to access the pledging site.

12. When are contributions effective?

All contributions made to CEUWA are effective as of the employees first pay period in the 2014 calendar year (pay period 1)(e.g. In August 2012, Jim pledges \$500 each month. Actual deductions from Jim's pay check will not be taken out until January 2013). **If it is incorrect or a change needs to be made – please go to Question 14 and 15.** Please note: If you have chosen to participate with a one-time-only contribution, it will be set-up for the first pay period and will be taken the first pay period of the 2014 year. **In addition, beginning this year pledges will continue to roll over year after year unless cancelled by the employee.**

13. Is there a minimum payroll contribution?

There is a minimum payroll contribution of \$1.00 directed to a United Way. If you have chosen to participate with a one-time-only contribution, the minimum contribution amount is \$1.00. Also, if you've chosen to designate to a particular organization the minimum contribution is \$25.00 per organization. Please note this \$25 designation minimum is a typical amount however, United Ways and their partner agencies have the ability to set this amount higher.

14. Tell me more about payroll contribution.

The payroll contribution is "*per paid period*," therefore; you will not need to specify the annual amount, rather just the amount that will be contributed *each pay period*.

15. How do I correct, change or cancel (stop) my payroll contribution if I pledged online?

If you pledge online, you are able to make changes using the online pledging site until the campaign closes. If you have any changes after the close of the campaign and prior to December 1, 2013 please email the CEUWA_cat@cat.com inbox with the changes needed. Employees should watch their first pay stub in January to make sure the deduction is correct. If the wrong amount was entered or there is a change needed after December 1, 2013, employees should contact Progress Rail/EMD payroll team.

16. How do I make a designation change?

Once the campaign closes you are only able to make a payroll contribution change; you are not able to make a specific designation change. If you would like to make a designation change during the

campaign, please log in to the online pledging site www.caterpillar.com/foundation (select United Way) and make your designation change.

17. I did not receive an e-mail or message allowing me to pledge online. What should I do?

The pledge email will come from the CEUWA_Cat@cat.com email address. If you did not receive your initial pledge email or reminder emails please contact your [local United Way coordinator](#). Your email security setting may have blocked the pledging communication however, you can also visit the <http://www.caterpillar.com/foundation> and click on United Way to access the online pledging system.

18. If I pledge online and am pulled away from my desk, will the system “time out” or log me out?

Yes, the site will time out and you will need to log back in if this happens. If the site sits idle for 5 minutes it will time out due to amount of personal information on the site. You may need to reopen the page using the link in your email with the directions on how to pledge or you may access the pledging link by visiting <http://www.caterpillar.com/foundation> and click on United Way.

19. My Leave of Absence coincided with my United Way Campaign, how could I still pledge?

You can access the pledging details at www.caterpillar.com/foundation and select the United Way section; however pledging will only be accessible during the campaign timeframe. If you are unable to make your pledge via the pledging site during the campaign you will not be able to participate in the program. You are welcome to still contribute to the United Way via cash/check etc. but it will not be eligible to be included in the company's overall results and receive the Foundation match.

20. Can I withhold funds or make my contributions exempt from a specific agency?

CEUWA raises funds on behalf of the local United Way(s). The local United Way(s) determines how much total money goes to each agency. We feel the United Ways know what is best and most important to be funded in the communities. Withholding of funds is contingent on each local United Way. An employee does have the right to exempt agencies from their pledge in the negative designation section of the online pledging site.

21. Am I able to designate my contributions to specific agencies?

Designation will be available to all employees and will *default to the home zip code you live in*. If you wish to designate to another United Way or it's agencies other than your local United Way or agency you can do so by searching and selecting other agencies or United Ways using the online pledging. Eligible agency must be funded United Way member agencies to be available for designation. We do not allow other 501(c)3 nonprofit organization to be eligible for the United Way campaign.

22. Can I contribute by check or cash?

CEUWA does not accept checks or cash. The only form of contribution to CEUWA is through Payroll Deduction or stock. If an employee wants to write a check, the employee must write it directly to the charity

of his/her choice and mail it separately from the campaign (like any other personal contribution). However, the Caterpillar Foundation will only match payroll deduction contributions.

23. Will my supervisor, boss or leader be able to know if I contributed or how much I contributed?

No, the only person with access to United Way pledging detail is the manager of the online pledging system. Caterpillar management does not have access to online pledging and any personal information including whether or not an employee contributed and how much. Employee names are only provided to local coordinators and United Ways at the end of the campaign if the employee chooses to be recognized for their contribution. By selecting to remain anonymous in the online pledging site, your information will not be shared internally or externally.

24. The United Way is asking for my personal information, what will they do with that information?

The United Way may use this information as a recognition tool and a way to keep in contact with their donors. Providing your personal information is optional. If you wish to remain anonymous internally and externally, please select the anonymous option in the online pledging system.

25. Are contributions tax-deductible? If so, how will employee know how much they gave?

Donations are tax-deductible. Contributions are made via payroll deduction. CEUWA does not issue receipts and cannot look up the amount at the end of the year as changes can be made through the HR service center at anytime during the year. Please refer to your last paystub of the year for tax purposes.

26. Who do I contact if I am having problems with the online pledging system?

Please contact your local coordinator first. If they cannot provide you the answer you may email the CEUWA_CAT@cat.com inbox for assistance.

27. I am a new employee and do not have access to the online pledging system? How do I make my pledge?

New employees hired after the August 2nd data load of the current campaign year will not have the ability to pledge. Because the system receives information from PeopleSoft we try to load this information as close to the campaign as possible. Next year, the employee's data will be in the system and they will have the opportunity to pledge online. New employees are welcome to give directly to their United Way if they choose however; it will not be included in the Caterpillar overall results and will not be eligible for the Foundation match.

ABOUT DESIGNATIONS

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28. How many designations can I make?

United Way pledging system limits employees to four agencies with a minimum contribution of \$25 per agency.

29. Can I designate funds to a specific organization that is not listed in the online pledging system?

Many worthwhile organizations are not part of the United Way. You may only designate to a United Way or a United Way funded agency through the Caterpillar Employees United Way Appeal (CEUWA). Other charitable organizations may qualify for funds through the Caterpillar Matching Gifts Program. Please contact Kylene Anthony at Anthony_Kylene_M@cat.com or (309) 675-1475 in the Caterpillar Foundation for questions regarding the Matching Gifts Program.

30. Can I indicate what agency I do not want to contribute to?

CEUWA raises funds on behalf of the local United Way(s). The local United Way(s) determines how much total money goes to each agency. We feel the United Ways know what is best and most important to be funded in the communities. Withholding of funds is contingent on each local United Way. An employee does have the right to exempt agencies from their pledge by indicating this in the negative designation field in the online pledging system.

31. I have a 501 (c) 3 organization I would like to designate to, but I do not see it on the list?

"Write-in" options are not allowed. Many worthwhile organizations are not part of the United Way. You may only designate to a United Way or a United Way agency through the Caterpillar Employees United Way Appeal (CEUWA). Other charitable organizations may qualify for funds through the Caterpillar Matching Gifts Program. Please contact Kylene Anthony at Anthony_Kylene_M@cat.com or (309) 675-1475 in the Caterpillar Foundation for questions regarding the Matching Gifts Program.

32. What happens if I do not designate to a specific agency or I only designate a part of my contribution?

If you do not specify a designation, the entire contribution or the remainder of your contribution will be distributed with the overall CEUWA contributions to your local home zip code United Way, ensuring all of the worthy organizations receive assistance.

33. Can I include my spouse's gift to be recognized at a leadership level?

Yes, select the option under *Leadership Recognition* on the donor information page for the online pledging. Once you select the option to include your spouse's gift you will need to enter their name, company, and dollar amount.

34. How am I to fill out my online form if I choose to contribute on my own?

If you make a contribution to a United Way or a United Way agency on your own, you should select \$0 or "No, thanks. I do not want to contribute at this time." The Caterpillar Foundation will only match employee dollars made through payroll deduction.

35. Will the Caterpillar Foundation match my United Way contribution?

Yes, the Foundation will match employee contributions dollar for dollar. For example, if Caterpillar employee donations total \$5.5M, and the Foundation will match \$5.5M. The Foundation match follows employee donations to the local UW, not to the designated agency. For example if an employee gave \$100 to their local Red Cross, the Foundation match is given to the United Way aligned to that local Red Cross. This is because Caterpillar recognizes the value local United Ways provide to communities and believe in the strength of their process, which determines the greatest need in that area and the best investment of company dollars.

The Caterpillar Foundation supports many Community and Worldwide Efforts such as Disaster Relief, United Way, Local Charitable Functions and Individual Employee Contributions to Qualified Organizations. The Caterpillar Foundation does not support groups or projects that discriminate or restrict services based on factors of race, color, sex (including pregnancy), age, disability, veteran status, religion, national origin, ancestry, sexual orientation, gender identity, marital status, domestic partner status, genetic information or citizenship status. The Caterpillar Foundation will negatively designate our match when it is matching designations to organizations that discriminate or for projects that do not reflect the general principles of Caterpillar's Code of Conduct and Our Values In Action. "Negatively designate" means that the local United Way cannot use Foundation dollars to allocate to the organization that discriminates.

36. I have more questions, whom do I contact?

Contact your local United Way coordinator.

COORDINATOR QUESTIONS

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37. How do I know what my facility or business unit's participation percentage is during the campaign?

Contact your Progress Rail/EMD communications team and they will be able to provide you with the most recent information.

Population: Number of employees tied to that facility or Business Unit

Respondents: Number of employee who took some sort of action in the system. For example: chose not to pledge or chose to make a contribution

Non-Respondents: Number of employee who have not taken action in the system.

Donors: Number of employees who made a donation **(This is your participation rate)**

Pledged: Dollars pledged within that facility of Business Unit

38. When will the final employee campaign totals be communicated?

Employee campaign totals will be available and communicated in early October by the Progress Rail/EMD communications team.

39. When is employee data loaded into the online pledging system?

Data is loaded into the online pledging system as close to the campaign as possible, generally 1-2 weeks prior to campaign kickoff. If an employee's data changed (reporting structure) after the data load it will not be reflected in the system and will not be able to be changed on an individual basis.

40. I have a new employee who does not have access to the online pledging system? How do they make their pledge?

New employees hired after the August 2nd data load will not have the ability to pledge. Because the system receives information from PeopleSoft we try to load this information as close to the campaign as possible. Next year, the employee's data will be in the system and they will have the opportunity to pledge online. New employees are welcome to give directly to their United Way if they chose however; it will not be included in the Caterpillar overall results and will not be eligible for the Foundation match.

41. What are the Leadership Levels and Builders Circle?

In most communities, donors giving \$1000 or more are considered Leadership Givers. Please check with your local United Way about Leadership Giving in your community. **Caterpillar Builders Circle Program** recognizes employee donors, who give \$1000 or more or 1% of their salary, as Leadership Givers within their Business Unit and choose not to remain anonymous. The United Way Tocqueville Society recognizes individuals making gifts of \$10,000 and more annually to their local United Way. This giving level was founded 25 years ago in order to deepen the understanding, commitment and support of United Way's most generous and community minded investors. If you wish to not be recognized internally and externally you must select to remain anonymous in the online pledging system.