



## Frequently Asked Questions – 2017-2018

Updated 07/17/2017

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### GENERAL QUESTIONS

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

The Caterpillar Employee United Way Appeal is Caterpillar's annual workplace campaign that raises funds on behalf of local United Ways. All U.S. Caterpillar employee campaigns are considered part of the CEUWA no matter where they are located or how the campaign runs.

#### 2. What is the 2017 campaign timeframe?

The 2017-2018 Caterpillar Employee United Way Appeal (CEUWA) will begin on Monday, August 7, 2017 and end on Friday, September 1, 2017.

#### 3. Why does Caterpillar have a corporate campaign?

Caterpillar has supported United Way for more than 60 years; United Way's mission and work aligns with Our Values in Action and programs we support—health, welfare and economic stability of communities in which we work and live. Individually, employees are encouraged to actively engage in activities that contribute to the betterment of society through volunteering time and talents or investing monetary resources in worthwhile community projects and initiatives.

Caterpillar chose United Way as our only solicitation to employees for a reason—the strength of the United Way process ensures only the most efficient and effective non-profits are funded. In addition, Caterpillar recognized the value local United Ways provide to local communities and believes in the strength of their process as the best investment of employee and company dollars.

#### 4. Who can contribute to the Caterpillar Employee United Way Appeal?

All active, full and part time Caterpillar employees and retirees are welcome to participate in the United Way Campaign. International Service Employees (ISE's) on U.S. payroll also eligible. Contract/agency employees are not eligible to participate in the pledge campaign.

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

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

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

Local United Ways and United Way-funded partner agencies receive 100 percent of all employee contributions to the CEUWA.

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

The online pledging system allows all United Ways 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 funded partner 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?**

Upon login, a default United Way has been pre-selected for each employee based on their home zip code. However, employees can designate their pledge to any qualifying United Way or United Way funded partner agency in the United States. All employee contributions go back to the local United Way(s) or United Way-funded agencies based on the employee's home zip code, unless specified otherwise. The 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 the CEUWA and employees are not required to contribute to the CEUWA. However, employees are encouraged to contribute to the United Way and/or partner agencies of their choice. The 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 invitation to pledge online through a series of communications and a direct e-mail. If you are part of U.S. PeopleSoft payroll and have an active Caterpillar email address, you will receive an e-mail on Monday, August 7, 2017 with instructions on how to pledge online, or you can visit [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway) for a link to access the pledging site.

**Caterpillar Production Employees** can also utilize a separate 'Caterpillar Production' pledging link on the website that allows production employees to log in using their 7-digit **PeopleSoft ID#** (Example: 0123456) and a default password that is set to the employee's **First and Last Initial (capitalized) and home zip code** (Password example: AN61615). Upon logging into the system, the employee will be prompted to reset their temporary United Way password.

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

The pledge email will come from [CEUWA\\_cat@cat.com](mailto:CEUWA_cat@cat.com). 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 [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway) to access the online pledging system.

**13. I need my Corporate Web Security log in ID, where can I find that?**

Access [CLUES](#) and type in your name. You will find your Corporate Web Security ID under the *Identity / Access Information*.

**14. Where do I get my CWS password?**

If you do not have your password, please contact your local help desk or local United Way coordinator.

**15. 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 five 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 [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway).

**16. What are my pledging options for payment methods?**

Employees can pledge through payroll deduction (one time or per pay period deductions), which will start your first paycheck in January 2018. Employees also have the option to pledge stock.

**17. 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, *whether it is monthly, weekly or bi-weekly*. Contributions are derived from base pay and do not include vacation pay, night bonus or overtime.

**18. Is there a minimum payroll contribution?**

There is a minimum payroll contribution of \$1 directed to your local United Way or another United Way of your choosing. The minimum contribution amount of \$1 applies to both recurring and one-time-only contributions.

If you’ve chosen to designate to a United Way-funded agency, the minimum contribution is **\$25** per agency. Please note that this **\$25** designation minimum is a typical amount, and local United Way organizations and their partner agencies have the ability to set this amount higher.

**19. When are contributions effective?**

All contributions made to the CEUWA are effective as of the employees first pay period in the 2018 calendar year (pay period 1). For example—during the August 2017 pledge campaign, Jim pledges \$10 per pay period. Actual deductions from Jim’s paycheck will not be taken out until January 2018. Please note: If you have chosen to participate with a one-time-only contribution, it will be set-up to be deducted the first pay period of the 2018 year.

If you have chosen to donate a percentage of your salary, your donation will be based on your salary as of January 2018 and may fluctuate based on your salary throughout the year. In addition, pledges will continue to roll over year after year unless cancelled by the employee. One-time contributions will not roll over.

**Please check your first pay stub in January 2018 to confirm your contribution is correct (you can access your pay stub on Cat @work). If it is incorrect or a change needs to be made—please refer to Question 29 and 30.**

**20. Can I contribute by check or cash?**

The CEUWA does not accept checks or cash. The only form of contribution to CEUWA is through payroll deduction or stock, and pledging can occur online only. 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). **Please note: The Caterpillar Foundation will only match payroll deduction or stock contributions submitted through the online system.**

**21. I am not sure what my pledge was last year and would like to see my history—where should I go?**

When you log into the online pledging system you will be able to view your current United Way contribution. You can also click the history tab to view your United Way giving history. You may also view your United Way deductions from the previous year by accessing your pay stub at Cat @work.

**22. My Leave of Absence coincides with the United Way Campaign, how can I still pledge?**

You can access pledging details at [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway); 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 or check outside of the campaign, but it will not be eligible to be included in the company's overall results or receive the Foundation match. If you currently have a United Way deduction and are not able to access the system during this time, your United Way pledge will roll over unchanged.

**23. How am I to fill out my online form if I choose to contribute on my own outside of the pledging site?**

If you choose to make a contribution to a United Way or partner agency outside of the pledging site, you should select \$0 or "No, thanks. I do not want to contribute at this time." However, please note the Caterpillar Foundation will only match employee payroll deduction or stock pledges submitted through the online system.

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

**No. The pledging site is 100 percent confidential.** The only person with access to United Way pledging details is the CEUWA Foundation process owner. Caterpillar management does not have access to online pledging or any personal information, including whether an employee contributed and how much.

The only exception are employees who pledge \$1,000+ or 1% of their salary and also opt to be acknowledged by Caterpillar and/or United Way in the online system will have their name only (no donation amount or details) included on a Builder's Circle Leadership Giving report that can be accessed by CEUWA coordinators at the close of the campaign for Caterpillar's internal recognition purposes only (for more information on Builders Circle reference Question 52). Employee names and details are only provided to local United Ways at the end of the campaign if the employee selects 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.**

**25. 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.

**26. What if I do not take action in the online system?**

We strongly recommend that you log in to the online system each year to confirm that your pledge information is accurate and verify that your previous agency designations are still available and funded by United Way. In addition, you will also continue to receive reminder emails to pledge if you do not log into the system and confirm/update/cancel your pledge.

Contributions are continuous except for one-time-only contributions. Continuous contribution means that contributions do not stop unless the employee leaves the company, retires or cancels. If you choose not to take action in the online system, your contributions to United Way and/or designations to United Way-funded agencies from the previous year will roll over. Please note that if an agency you previously designated to is no longer funded by United Way and you do not take action in the online system:

- The pledge amount will default to your home zip code United Way if you did not have additional agency designations in the previous years.
- The pledge amount will be transferred to the remaining agency or agencies if you had more than one agency designation in the previous year.

**27. Are contributions tax-deductible? If so, where can I reference how much I gave in past years?**

Donations are tax-deductible. For contributions that are made via payroll deduction, employees can access their pay stub at Cat @work to verify that the payroll contribution is correct once deductions begin in 2018. The CEUWA does not issue receipts and cannot look up the amount at the end of the year. Please refer to your last paystub of the deduction year for tax purposes.

**28. 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 in the online pledging system. Once you select the option to include your spouse's gift, you will need to enter their name, company and the dollar amount of their pledge.

**29. 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, 2017**, please email the [CEUWA\\_cat@cat.com](mailto: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 January 1, 2018**, employees must fill out the United Way Contribution Changes or Cancellation Form to be submitted to the HR Service Center located at [https://feb.cat.com/forms/anon/org/app/af850fdc-0e1d-44f8-8ec0-62aa9a6247a8/launch/index.html?form=F\\_Form1](https://feb.cat.com/forms/anon/org/app/af850fdc-0e1d-44f8-8ec0-62aa9a6247a8/launch/index.html?form=F_Form1).

**30. Who should I contact if I believe that my United Way donation was deducted incorrectly and want to request a refund?**

Refunds requested by employees can only be granted prior to March 1 of the current calendar year (It is the employee's responsibility to verify paycheck deductions are correct). To request a refund, the employee must fill out the United Way Contribution Changes or Cancellation Form to be submitted to the HR Service Center located at [https://feb.cat.com/forms/anon/org/app/af850fdc-0e1d-44f8-8ec0-62aa9a6247a8/launch/index.html?form=F\\_Form1](https://feb.cat.com/forms/anon/org/app/af850fdc-0e1d-44f8-8ec0-62aa9a6247a8/launch/index.html?form=F_Form1). HR Service Center Reps must then email the [CEUWA\\_cat@cat.com](mailto:CEUWA_cat@cat.com) inbox with the refund request, prior to entering a United Way Refund. The CEUWA will respond with the approval or denial of the refund.

**31. 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 July 19, 2017** will not have the ability to pledge. Because the system receives data from PeopleSoft, employees who were not included on the July 19 data file will be unable to login and pledge since a profile has not been created for the employee in order to successfully process payroll deductions. New employees are welcome to participate by making a donation directly to their local 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.

**32. 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](mailto:CEUWA_CAT@cat.com) inbox for assistance.

**33. What will happen to my current United Way payroll deduction if I participated in the Voluntary Retirement Enhancement Program (VREP), retire or leave the company?**

If an employee retires or leaves the company, the employee's United Way payroll deduction will automatically stop with the employee's last regular wage paycheck. No additional action is required by the employee. United Way deductions will not be taken from VREP payments.

**34. If I have elected to participate in the VREP or plan to retire from Caterpillar soon, am I still eligible to participate in future Caterpillar United Way Appeals, and will the Caterpillar Foundation match my contribution?**

Yes. Caterpillar retirees are also eligible to participate in the annual Caterpillar United Way Appeal. Online pledge contributions submitted by retirees are eligible for the Foundation match.

VREP employees who are interested in participating in the annual Retiree United Way Appeal in future years can visit [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway) during the July-August time frame each year for more information and to obtain the official campaign dates. The United Way Appeal typically runs for four weeks each year during the August to September time frame. For additional questions, employees and retirees can email the [CEUWA\\_CAT@cat.com](mailto:CEUWA_CAT@cat.com) inbox.

**35. I've elected to retire from Caterpillar, but I would still like to fulfill the pledge amount I submitted during the 2017 United Way Appeal. Since I will not be an active employee in 2018 to fulfill my pledge through payroll deductions, how should I proceed?**

The Caterpillar Foundation has committed to matching the full amount of employee pledges as they were submitted in the online system during the recent 2017 United Way Appeal pledge enrollment, regardless of the actual dollar amount processed from the employee's payroll deductions in 2018.

Employees who still wish to fulfill their pledge submitted during the recent 2017 pledge enrollment, which is set to be matched by the Foundation, are welcome to reach out to their local United Way directly to arrange for contributions to be fulfilled through an alternate form of payment (check, cash, credit/debit card, stock, community foundation etc). However, pledge fulfillment after retiring from the company is entirely voluntary and not required.

## **ABOUT DESIGNATIONS**

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**36. Am I able to designate my contributions to a specific agencies or other local United Way organizations?**

Yes, designation options are available to all employees and will initially *default to the United Way that aligns to your home zip code*. However, if you wish to designate to another United Way or United Way-funded partner agency, you can search and select to designate your pledge to any United Way or United Way-funded partner agency in the United States. Agencies must be funded United Way member agencies to be available for designation. We do not allow designations to other 501(c)3 nonprofit organizations as part of the United Way campaign.

**37. How many designations can I make?**

The United Way pledging system limits employees to a total of **four designations** to United Ways and/or United Way-funded partner agencies. The minimum contribution to a United Way general fund is \$1, and the minimum contribution to a United Way partner agency is \$25 per partner agency.

**38. Can I withhold funds or make my contributions exempt from a specific agency that is funded by my local United Way?**

The CEUWA raises funds on behalf of the local United Way(s). The local United Way(s) then determines how much total money goes to each agency. Caterpillar has confidence in United Way's dollar allocation process that ensures only efficient and effective programs are funded based on the unique needs in each community. However, an employee does have the right to exempt partner agencies from their pledge in the negative designation section of the online pledging site.

**39. I have a 501(c)3 organization I would like to designate to, but I do not see it in the pledging site. Can I designate to a nonprofit that is not listed in the online pledging system?**

"Write-in" options are not allowed. You may only designate to a United Way or a United Way-funded partner agency through the CEUWA. Other charitable organizations may qualify for matching funds through the Caterpillar Foundation Matching Gifts Program. Please visit [www.caterpillar.com/matching-gifts](http://www.caterpillar.com/matching-gifts) or contact Erika Kempf at [Matching\\_Gifts@cat.com](mailto:Matching_Gifts@cat.com) or (309) 675-1475 for questions regarding the Matching Gifts Program.

**40. 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 to your local home zip code United Way. Local United Ways use these dollars to fund programs based on critical needs in your local community.



#### **41. 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/unitedway](http://www.caterpillar.com/unitedway) and make your designation change.

#### **42. If my pledge from last year rolls over, do I still need to take action?**

We strongly recommend that you log in to the online system each year to confirm that your pledge information is accurate and verify your previous agency designations are still available and funded by United Way. You will continue to receive reminder emails to pledge if you do not log in to the system and confirm/update/cancel your pledge.

Contributions are continuous except for one-time-only contributions. Continuous contributions mean that contributions do not stop unless the employee leaves the company, retires or cancels. If you choose not to take action in the online system, your contributions to United Way and/or designations to United Way-funded agencies from the previous year will roll over. Please note that if an agency you previously designated to is no longer funded by United Way and you do not take action in the online system:

- The pledge amount will default to your home zip code United Way if you did not have additional agency designations in the previous years.
- The pledge amount will be transferred to the remaining agency or agencies if you had more than one agency designation in the previous year.

#### **43. Will the Caterpillar Foundation match my United Way contribution?**

Yes, the Caterpillar Foundation will match employee contributions dollar for dollar with no maximum amount (Example: If Caterpillar employee pledges total \$5.7 million, the Foundation will match \$5.7 million.). For contributions designated to United Way-funded partner agencies, the Foundation match will be sent to the local United Way that funds that partner agency, not to the designated agency. For example, if an employee gave \$100 to their local Red Cross, the Foundation match is given to the general fund of the United Way that is 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.

#### **44. I have more questions, whom do I contact?**

Contact your local United Way coordinator.

### **COORDINATOR QUESTIONS**

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#### **45. 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 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. For 2017, the data file will be pulled on July 19.

**46. 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 July 19<sup>th</sup> data load will not have the ability to pledge. Because the system receives information from PeopleSoft, Caterpillar loads this information as close to the campaign as possible and new employees cannot be added. In future years, 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 local 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.

**47. My business unit has International Service Employees (ISEs)—how do they make their pledge?**

International Service Employees (ISEs) on U.S. payroll that are currently working outside of the U.S. will follow the same online pledging process as all other U.S. employees. These employees will have the ability to pledge to United Way and/or partner agencies in the U.S. Please contact your local United Way coordinator with any questions. If you have an ISE on an international payroll system, please have them contact Erika Kempf at [Kempf Erika C@cat.com](mailto:Kempf.Erika.C@cat.com).

**48. How do I view my facility results during and after the campaign?**

Local coordinators can view overall facility results by visiting the CEUWA Connections Community <https://connections.cat.com/communities/community/CEUWA>. Facility information during the campaign includes all employees located in that facility regardless of their roll up structure. This report will be updated on a weekly basis (posted every Friday during the campaign). **However, a facility total does not mean that is the total dollars your local United Way will be receiving so please do not communicate results with your United Ways.** Keep in mind; employees have the option to designate funds to any United Way in the U.S., not just your area.

**49. How do I view my business unit results during the campaign?**

Business Unit results will be available via the dashboard in the online pledging site. To access the dashboard, log in to the online pledging site ([www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway)) and select the Dashboard tab on the left. The dashboard allows you to click on the Group President and Vice President name and view business unit details down to department head level. Due to confidentiality, more detailed information cannot be provided lower than the department head level.

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

To view your business unit participation, go to the Dashboard and look at the percentage of donors. **Do not reference the percentage of respondents.** You will also be able to view facility reports for your business unit which will be posted in your business unit's CEUWA Connections Sub-community each Friday. You will not have access to your business unit data by facility until after the campaign that includes gifts that have rolled over from the previous year until the campaign is complete. Please see reporting column descriptions below:

- **Population:** The number of employees tied to that facility or Business Unit.
- **Respondents:** The 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:** The number of employee who have not taken action in the system.
- **Donors:** The number of employees who made a donation (min. pledge of \$1). **This is your participation rate.**
- **Pledged:** The dollars pledged within that facility or Business Unit.

**51. When will the final employee campaign totals be communicated?**

Employee campaign totals will be available and communicated in October through the Connections Community.

**52. What are the Leadership Levels and Builders Circle?**

Recognition levels for donor contributions vary depending on each local United Way. In most communities, donors giving **\$1,000 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 choose to be acknowledged by Caterpillar and/or United Way and give \$1,000 or more or 1% of their salary annually. These employees are recognized as Leadership Givers within their Business Unit. 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 not to be recognized internally and externally, you must select to remain anonymous in the online pledging system.