



## Progress Rail/Caterpillar Employee United Way Appeal (CEUWA) Frequently Asked Questions – 2018-2019

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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 (CEUWA)** is a 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 2018 campaign timeframe?

The 2018-2019 Caterpillar Employee United Way Appeal (CEUWA) will begin on August 6, 2018 and end on August 31, 2018.

#### 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 U.S. active, full and part time Progress Rail employees are welcome to participate in the United Way 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. Progress Rail payroll and have an active email address, you will receive an e-mail on August 6, 2018 that tells you how to pledge online.

You can also visit [www.caterpillar.com/unitedway](http://www.caterpillar.com/unitedway) for a link to access the Progress Rail pledging site.

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

**14. 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 2019. Employees also have the option to pledge through stock and credit/debit card (new for 2018). Employees can submit pledges through two forms of payment (ex: a one-time credit card donation, as well as a per pay period payroll deduction).

**15. 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.

**16. 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.

**17. Tell me more about the new credit/debit card payment option.**

Starting this year, employees will have the opportunity to pledge through credit and debit card in the online pledging site, in addition to the standard payroll deduction and stock options. The system accepts Visa, MasterCard, American Express and Discover. Temporary pre-paid cards, as well as gift cards (ex: Visa gift card) are acceptable forms of payment. If using a pre-paid card, when prompted to enter the “Name On Card”, please enter your first and last name.

Credit/debit card donations can be set up with varying frequencies (one-time, monthly, quarterly, semi-annual) starting on a set date indicated by the employee. The start date can be set for any date in the 2018 or 2019 calendar year.

Employees can submit pledges through two forms of payment (ex: a one-time credit card donation, as well as a per pay period payroll deduction). For credit/debit card payments, there is a 2.9% credit card processing transaction fee that is deducted from the pledge.

If you have a credit/debit card on file that is set to expire before your pledge is fulfilled, please send an email to [donorsupport@frontstream.com](mailto:donorsupport@frontstream.com) that states your credit card is set to expire or has expired. Also, please provide your email address and phone number so that a representative can contact you to obtain updated payment information.

**18. When are contributions effective?**

All contributions made to CEUWA are effective as of the employee’s first pay period in the 2019 calendar year (pay period 1). For example—during the campaign in August 2018, Jim pledges \$10 per paycheck. Actual deductions from Jim’s pay check will not be taken out until January 2019. Please note: If you have chosen to participate with a one-time-only contribution, it will also be set-up to be taken the first pay period of the 2019 year. **Additionally, pledges (with the exception of one-time-only contributions) will continue to roll over year after year unless cancelled by the employee.** Please check your first pay stub in January 2019 to make sure your contribution is correct. If it is incorrect or a change needs to be made—please go to Question 27.

**19. 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, credit card 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, credit card or stock contributions submitted through the online system.**

**20. 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/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/check etc., but it will not be eligible to be included in the company's overall results and 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.

**21. 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.

**22. 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 44). 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.**

**23. 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.

**24. What if I do not take action in the online system during the campaign?**

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.

**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 Progress Rail HR service center at any time during the year. Please refer to your last paystub of the year for tax purposes.

**26. 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.

**27. 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, 2018**, 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 December 1, 2018**, employees should contact the Progress Rail payroll team.

**28. 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) 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. 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.

**29. 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 20, 2018** will not have the ability to pledge. Employees who were not included on the July 20 data file will be unable to login and pledge since a profile has not been created for the employee to successfully process payroll deductions. New employees are welcome to participate by donating 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.

**30. 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.

**ABOUT DESIGNATIONS**

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**31. 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.

### **32. 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.

### **33. 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.

### **34. 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.

### **35. 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.

### **36. 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.

### **37. 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.

### **38. 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 \$5.6 million, the Foundation will match \$5.6 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.

### 39. I have more questions, whom do I contact?

Contact your local United Way coordinator.

## COORDINATOR QUESTIONS

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### 40. 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 2018, the data file will be pulled on July 20.

### 41. I have a new employee and do not have access to the online pledging system. How do they make their pledge?

New employees hired **after July 20, 2018** will not have the ability to pledge. Employees who were not included on the July 20 data file will be unable to login and pledge since a profile has not been created for the employee to successfully process payroll deductions. New employees are welcome to participate by donating 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.

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

Contact your Progress Rail Corporate 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 (**participation rate**)
- **Pledged:** Dollars pledged within that facility or Business Unit

### 43. When will the final employee campaign totals be communicated?

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

#### 44. 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.