



## Frequently Asked Questions – 2020-2021

Updated 07/21/2020

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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 2020 campaign timeframe?

The 2020-2021 Caterpillar Employee United Way Appeal (CEUWA) will begin on Monday, August 17, 2020 and end on Friday, October 2, 2020. The campaign historically has been four weeks, but we have extended it to be seven weeks this year to accommodate COVID-19 social distancing restrictions within production facilities.

#### 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, Solar and Progress Rail employees and retirees are welcome to participate in the United Way Campaign. International Service Employees (ISE's) on U.S. payroll also eligible.

ISEs on a non-U.S. payroll system that are currently working in the U.S. will be able to register by emailing [CEUWA\\_CAT@cat.com](mailto:CEUWA_CAT@cat.com) to have an account created for them. The only payment option for employees in these three groups is credit card.

Contract/agency employees are not eligible to participate in the pledge campaign since they are not covered under Caterpillar's solicitation policy.

#### 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, especially given the unique year due to COVID-19. We encourage employees to first take care of their families and loved ones and if they also have the means to support the community, 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 can 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.

**11. Tell me more about data privacy. How is my data used and stored within this online pledging site?**

Information provided to Caterpillar is processed consistent with Caterpillar's Data Privacy Policy. This information will be used to process the gift and may be used to contact you in the future regarding Caterpillar Foundation United Way Program updates and surveys. If you select to be acknowledged by Caterpillar and/or United Way while enrolling, any personal information you share will be provided to the United Way and/or partner agency you pledge to.

Notwithstanding the above disclosure, we will provide personal information when required or permitted by law or for purposes relevant to Corporate Policies. By providing this information you agree to the above uses of your information. Please also see the Privacy Policy for the Caterpillar Foundation's third-party vendor, CyberGrants, to view information on how your personal information is used, as well as how cookies are being set on your device:

[CyberGrants Privacy Policy](#)

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### 12. How do I pledge online?

**Caterpillar Management/Support Employees:** 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 17, 2020 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).

**ISEs on a non-U.S. payroll system currently working in the U.S.:** Please email [CEUWA\\_Cat@cat.com](mailto:CEUWA_Cat@cat.com) to have an account created if you would like to pledge through credit card.

### 13. 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.

### 14. 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*.

### 15. Where do I get my CWS password?

If you do not have your password, please contact your local help desk.

### 16. 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).

### 17. What are my pledging options for payment methods?

Employees can pledge through payroll deduction (one time, per pay period deductions or both), which will start your first paycheck in January 2021. Employees also have the option to pledge through stock/donor-advised fund and credit/debit card. Employees can submit pledges through multiple forms of payment (ex: a one-time credit card donation, as well as a per pay period payroll deduction).

### 18. 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*. If you select to pledge a percentage of your annual paycheck, it will calculate your per pay period gift based on your base pay as of the date you pledge. Contributions are derived from base pay and do not include vacation pay, night bonus or overtime.

## 19. 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 and their focus areas. 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 can set this amount higher.

## 20. Tell me more about the credit/debit card payment option.

Employees can pledge through credit and debit card in the online pledging site, in addition to the payroll deduction and stock options. The system accepts Visa, MasterCard, American Express and Discover. Credit/debit card donations will deduct immediately from your credit card.

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.

## 21. When are contributions effective?

All contributions made to the CEUWA are effective as of the employees first pay period in the 2021 calendar year (pay period 1). For example—during the August 2020 pledge campaign, Jim pledges \$10 per pay period. Actual deductions from Jim's paycheck will not be taken out until January 2021. 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 2021 year.

If you have chosen to donate a percentage of your salary, your donation will be based on your salary as of the date you pledge and will not fluctuate throughout the year even if your base salary changes. 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 2021 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 31 and 32.**

## 22. 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, stock/donor-advised fund or credit/debit card, 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, stock/donor-advised fund, or credit/debit card contributions submitted through the online system.**

## 23. 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 United Way contribution from 2019. Since this is our first year using a new vendor, only one year of pledge data has been converted to the new system. If you need historical information for 2018 and earlier, please email [CEUWA\\_cat@cat.com](mailto:CEUWA_cat@cat.com). You may also view your United Way deductions from the previous year by accessing your pay stub at Cat @work.

## 24. 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.

**25. 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 contribute to a United Way or partner agency outside of the pledging site, you should select “No, thanks. Take Action by Opting Out.” However, please note the Caterpillar Foundation will only match employee payroll deduction, credit/debit card or stock/donor-advised fund pledges submitted through the online system.

**26. 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 donations 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.

In the privacy preferences section while pledging, if you select to release your name internally, only your name, email address and reporting structure will be posted on a weekly list that is shared with United Way planning team members for internal incentives and recognition purposes. The details of your donation (dollar amount, designations, etc.) will NOT be shared.

The only exception are employees who pledge \$1,000+ or 1% of their salary and also opt to be acknowledged by Caterpillar in the online system by clicking the applicable check box 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 planning team members for Caterpillar’s internal recognition purposes only (for more information on Builders Circle reference Question 48). 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.**

**27. 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.

**28. 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.

Recurring payroll contributions are continuous except for one-time-only contributions. Recurring 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.

**29. 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 2021. 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.

**30. Can I include my spouse’s gift to be recognized at a leadership level?**

Yes. If you and your spouse plan to give \$1,000+ between the two of you (ex: you both pledge \$500 each), you should both click the “I donated \$1,000+ or 1\$+ of my annual salary” check box while pledging so that you both qualify for the Caterpillar Builder’s Circle Leadership Giving Society.

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

If you pledge online, you can make changes using the online pledging site until the campaign closes. If you have any changes after the close of the campaign, 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. Please include the following information:

**PeopleSoft ID Number:**

**Employee Name:**

**United Way Payroll Deduction Changes or Cancellation to be made:**

**32. 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 email [CEUWA\\_Cat@cat.com](mailto:CEUWA_Cat@cat.com) and include the following information:

**PeopleSoft ID Number:**

**Employee Name:**

**United Way Payroll Deduction Changes or Cancellation to be made:**

**33. 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.

**34. What will happen to my current United Way payroll deduction if I 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 retirement payments.

**35. If I 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. If you want to participate in the current United Way campaign, we recommend using the credit card option since the deductions will process even after you retire.

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.

**36. I've elected to retire from Caterpillar, but I would still like to fulfill the pledge amount I submitted during the 2020 United Way Appeal. Since I will not be an active employee in 2021 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 2020 United Way Appeal pledge enrollment, regardless of the actual dollar amount processed from the employee's payroll deductions in 2021.

Employees who still wish to fulfill their pledge submitted during the recent 2020 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.

If you select the credit card option, it will ensure your pledge processes immediately and does not wait until 2021 to process from paychecks.

## ABOUT DESIGNATIONS

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### 37. 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.

### 38. How many designations can I make?

You can designate to as many United Ways and funded partner agencies as you would like. There is no limit. However, 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 annually.

### 39. 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.

### 40. 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.

### 41. 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.

### 42. 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.

### 43. 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.

Recurring payroll 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.

#### **44. 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.

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

Contact your local United Way coordinator.

### **COORDINATOR QUESTIONS**

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#### **46. When is employee data loaded into the online pledging system?**

Caterpillar's data feed refreshes weekly (every Friday) so that it aligns to the current employee group in the HR system.

#### **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 that is currently working in the U.S., they can pledge by emailing [CEUWA\\_Cat@cat.com](mailto:CEUWA_Cat@cat.com) to set up a pledge profile. The only payment option available to these employees is credit card. For questions, please contact Erika Kempf at [Kempf\\_Erika\\_C@cat.com](mailto:Kempf_Erika_C@cat.com).

#### **48. 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 give \$1,000 or more or 1% of their salary (the employee must also click the check box for this giving society while

pledging). 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.