

# Caterpillar Foundation Matching Gifts Program

## FAQs

### 1. What is the Matching Gifts Program?

The Caterpillar Foundation provides a one-to-one (1:1) year-round matching gifts program for personal charitable donations made by global Caterpillar employees, U.S. retirees and board of directors. For example, if an employee donates USD \$25 (or local currency equivalent) to an eligible charity, the Caterpillar Foundation then provides that charity with an additional USD \$25.



### 2. What matching gifts program changes have occurred in the year 2021?

The Caterpillar Foundation is proud to offer a year-round Matching Gifts Program to support our employees, U.S. retirees, and board of directors in their contributions to worthy causes. In response to employee and retiree feedback and to engage our global workforce, on May 17, 2021 we expanded this program to include our international employees. These recent program expansions will enable the Foundation to substantially increase its investment to charities in global communities where our employees and retirees live and work. Additionally, we made the following program adjustments:

#### QUESTIONS



[Matching\\_Gifts@cat.com](mailto:Matching_Gifts@cat.com)



[caterpillar.com/matching-gifts](https://caterpillar.com/matching-gifts)

**For gifts made on January 1, 2021 and beyond, the following changes will also be implemented to the program:**



#### **Gift Minimum: \$25**

The gift minimum to qualify for a match is lowering from \$50 to \$25.



#### **Annual Cap: \$10,000**

The annual combined total maximum match per participant is increasing from \$2,000 in each calendar year to \$10,000 in each calendar year.



#### **Inclusion of Private Schools**

In addition to most 501(c)(3) nonprofits and accredited public preK-12 schools or school districts being eligible (excluding noted 'Ineligible Nonprofit Organizations & Gifts' in the guidelines), accredited NCES-coded private schools will also be eligible.



#### **Quarterly Payout**

Match requests will be paid to nonprofits on a quarterly basis, as opposed to an annual basis, to ensure nonprofits are receiving the funds sooner.



#### **International Expansion**

The program will expand to include employees outside the U.S. starting May 17, 2021.

## MATCHING GIFTS PROCESS

### 3. What is the matching gifts process?



**DONATE:** The Caterpillar participant donates USD \$25+ (or local currency equivalent) directly to an eligible charity per the program eligibility guidelines.

- The matching gifts system is for matching gift registration only, not for making donations. Donations must be made directly to the charity prior to submitting the match request.



**SUBMIT MATCH REQUEST:** The Caterpillar participant visits [caterpillar.com/matching-gifts](https://caterpillar.com/matching-gifts) to submit a match request and notifies the charity via email or mail with the system generated matching gift receipt.

- If your donation was made for a specific purpose (such as a specific program, department, etc.) you may indicate that when you register for matching. Please note, however, that the Caterpillar Foundation's matching payments are unrestricted. To inquire or ensure how the match is used, you may follow up directly with the charity.



**CHARITY CONFIRMS:** The charity receives the matching gift receipt notification via email or mail and verifies the tax-deductible gift amount at [caterpillar.com/matching-gifts](https://caterpillar.com/matching-gifts).



**FOUNDATION REVIEW & PAYMENT:** The Caterpillar Foundation reviews the submitted request and processes the matching gift payment to the eligible charity on a quarterly basis.

- All Caterpillar Foundation matching gift payments are made through ACH. We no longer process paper checks. International payments are processed and managed by our administrative partner, Charities Aid Foundation (CAF).

## CATERPILLAR PARTICIPANT ELIGIBILITY

### 4. Who is eligible?

Eligible Caterpillar participants are limited to global active, full and part-time Caterpillar and Solar employees on Caterpillar payroll, U.S. Progress Rail employees on Caterpillar payroll, U.S. Caterpillar retirees, and Caterpillar Board of Directors. *Caterpillar employees in China; Russia & Kazakhstan and international Progress Rail employees may be eligible in a future phase of the program's development.*

### 5. Who is not eligible?

Ineligible participants include Caterpillar employees in China, Russia and Kazakhstan, international Progress Rail employees, contract/agency employees, surviving spouses of Caterpillar employees and retirees.

### 6. If I leave Caterpillar (and I'm not a retiree), will my donation still be matched?

Your gift is still eligible to be matched if the gift to the charity was made while you were an active Caterpillar employee. The match request must be submitted by January 31 of the year following the donation.

## ORGANIZATION ELIGIBILITY

### 7. Which charities qualify and are eligible to participate?

The Caterpillar Foundation Matching Gifts Program includes thousands of global charities. Eligible charities are sourced from a variety of global databases to provide a broad list of eligible entities. There are many choices, including health and human service, civic and community, education, environmental, arts and cultural, and more. To search the system for eligible charitable organizations, you first must log in. Once logged in, use the search tool to find eligible charities. Charities can be selected if they meet some basic tax status criteria. Please note, all organizations and gifts are reviewed on an ongoing basis to determine compliance with guidelines and eligibility for matching. Inclusion in the system is not necessarily a guarantee of eligibility. All organizations must confirm compliance with program criteria to access the Matching Gifts system and participate in the program. Reference question 8 and 9 for more information.

## 8. U.S. payroll employees and U.S.-based retirees: Which charities are eligible?

Eligible charities must be recognized by and registered with the United States I.R.S. as a current 501(c)(3) nonprofit organization (<https://apps.irs.gov/app/eos/>); or accredited public/private preK-12 schools or school districts (<https://nces.ed.gov/globallocator/>). Excluding noted “Ineligible Nonprofit Organizations & Gifts” in the full matching gifts guidelines located at [caterpillar.com/matching-gifts](http://caterpillar.com/matching-gifts).

## 9. Employees on non-U.S. payroll: Which charities are eligible?

**Australia** – Eligible charities must be recognized by and registered with the Australian Business Register as a DGR Item 1 charity:

- <https://www.acnc.gov.au/charity>

**Canada** – Eligible charities must be recognized by and registered with the Charities Directorate:

- [https://apps.cra-arc.gc.ca/ebci/hacc/srch/pub/dsplyBscSrch?request\\_locale=en](https://apps.cra-arc.gc.ca/ebci/hacc/srch/pub/dsplyBscSrch?request_locale=en)

**United Kingdom** – Eligible charities must be recognized by and registered with the UK Charity Commission:

- <https://www.gov.uk/find-charity-information>
- *If you do not see your charity listed, you may suggest that the charity contact the countries registering entity to be reviewed and included in their directory. Please keep in mind that these charities will still need to comply with Caterpillar Foundation guidelines, so inclusion in the list is not a guarantee of eligibility for our program.*

**United States** – Eligible charities must be recognized by and registered with the United States I.R.S. as a current 501(c)(3) nonprofit organization or accredited public/private preK-12 schools or school districts.

- <https://apps.irs.gov/app/eos/>
- <https://nces.ed.gov/globallocator/>

**Other Countries** – Eligible charities must be recognized by and registered with the Charities Aid Foundation (CAF)

- *If you do not see your charity listed in the Caterpillar Cares portal search, you may suggest that the charity contact CAF directly to be reviewed. The charity should email [info@cafamerica.org](mailto:info@cafamerica.org). Please note that the charity may need to pay a validation fee to be reviewed. Once CAF reviews and approves the charity, it will soon be available for selection on our Matching Gifts site. Please keep in mind that these charities will still need to comply with Caterpillar Foundation guidelines, so inclusion in the list is not a guarantee of eligibility for our program.*

Please reference “Ineligible Nonprofit Organizations & Gifts” in the full matching gifts guidelines located at [caterpillar.com/matching-gifts](http://caterpillar.com/matching-gifts).

## 10. Which nonprofit organizations are not eligible?

For the full list of restrictions, please review the guidelines at [caterpillar.com/matching-gifts](http://caterpillar.com/matching-gifts).

## 11. For gifts made to the Red Cross, should I submit the match request through this program or through the separate Caterpillar Foundation American Red Cross Disaster Matching Program?

If you donate directly to a program at your local Red Cross chapter, you can submit your match request through this program. However, if you would like to designate to a particular natural disaster, please [click here](#) visit to make your donation through the separate Caterpillar Foundation American Red Cross Disaster Matching Program which is open to global employee, retiree, and dealer employee contributions, up to a total of \$200K per year. Donations made through the American Red Cross Disaster portal are automatically matched and does not count toward your USD \$10,000 annual cap associated with this program.

## 12. Can I receive a match for a donation to my church?

Houses of worship are not eligible if they are specifically classified by the IRS or other internationally recognized entity as a church. However, other faith-based community service organizations or schools may be considered if they are open to all individuals in the community regardless of religious belief, serve a secular purpose (such as a food pantry, homeless shelter, or education), and does not use the individual donation or resulting match for religious purposes. **If the U.S. nonprofit is classified by the IRS as a church with the specific classification of 170(b)(1)(a)(i), it is not eligible for the program.**

## 13. I have had previous donations matched, but now the charity isn't eligible. How is that possible?

Sometimes an organization may lose its eligibility status due to a penalty, an oversight, or an error on the IRS or International electronic database. Until it is resolved between the charity and the recognized entity, the Caterpillar Foundation is unable to match to the charity. Please note that the Caterpillar Foundation also reviews each gift and charity prior to making a matching payment so it is possible the charity is no longer compliant with the program guidelines.

## 14. I made a gift to my local United Way and was told Caterpillar would match it; however, my gift has been rejected in the system. Why?

The United Way Appeal is a separate matching program for employees in U.S., Canada, Mexico and Panama. United Way is excluded from this program because employee and retiree donations are already automatically matched with no cap by the Caterpillar Foundation if pledged through the annual appeal (typically in the month of August). Please visit [caterpillar.com/unitedway](http://caterpillar.com/unitedway) to learn more about the United Way Appeal.

## GIFT ELIGIBILITY

### 15. Is there a minimum or maximum donation amount?

Yes, a donation must be an annual minimum of USD \$25 (or local currency equivalent) per eligible charity. Each Caterpillar participant has an annual matching maximum of USD \$10,000 (or local currency equivalent) in each calendar year through this program.

### 16. Are all currencies eligible for matching?

Donations must be made directly to the charity using any currency accepted by the charity. When registering for a match to a non-US charity on the Matching Gifts website, you can indicate what currency was used, and the system will convert the amount to U.S. dollars for matching purposes based on the date the gift was made.

### 17. If I am a U.S. payroll employee and I give more than \$10,000 per year to multiple charities that qualify for the Foundation match through this program. Am I able to have a portion of each of my gifts matched so they all benefit from the program?

Yes, in the online system you can decide the match amount you would like allocated to each of your registered gifts. It is up to each eligible Caterpillar participant to decide which of their charitable contributions they would like to have matched each year.

For example, if you gave \$5,000 to St. Jude Children's Hospital and \$6,000 to the American Heart Association, you can request that \$5,000 of your St. Jude Children's Hospital gift is matched and \$5,000 is matched to the American Heart Association to stay within your \$10,000 annual combined cap.

### 18. What happens if Caterpillar participants collectively submit more than \$10 million in match requests in a calendar year?

If more than \$10 million in match requests are registered for the year the Caterpillar Foundation will review a program increased with its board of directors.

### **19. I'm a U.S. payroll employee and I pledged/donated through the United Way Appeal. Do I need to submit a match request through this program?**

No, pledges submitted through the United Way Appeal are matched automatically through the separate program. No action is needed to ensure your United Way pledge is matched.

### **20. I'm a U.S. payroll employee and I pledged/donated through the United Way Appeal. Does this count toward my \$10,000 annual cap per year?**

No, pledges submitted through the United Way Appeal are matched automatically, dollar-for-dollar with no cap, through the separate program. Donations made through the United Way Appeal do not count toward your \$10,000 annual cap associated with this program.

### **21. Can I collect money from others and register it for matching?**

No, you may only register donations you personally made using your own funds. You may not collect money from others and register it as your own. Other Caterpillar employees are welcome to register their own donations for matching as well. For example, if you run in a race for a charity and have collected donations, you may only register your own donation for matching, not those collected from others.

### **22. Is my auction payment, attendance fee, or other similar fees eligible?**

If your donation was required to participate or enter then it is not eligible. Also, if you made a donation and received something in return, the value of that item is not eligible. The charity will have the opportunity to indicate the charitable amount of the donations when it confirms receipt of your match request. Examples: Auction: If you paid \$500 for an item worth \$300, only the difference (\$200) is considered charitable and eligible for matching. College Athletics: If you donated \$1,000 to your college or university for athletics and receive benefits (such as tickets) you must declare the value of the benefit or item when registering for matching, because that portion is not eligible. Usually the tax receipt provided by the charitable organization will outline the difference for you. If you have any questions, please contact the charity or your tax advisor.

### **23. Will the Caterpillar Foundation matching gift follow to my original designation within the charity?**

If your donation was made for a specific purpose (such as a specific program, department, project, and so on) you may indicate that when you register for matching. However, please note that the Caterpillar Foundation's matching payments are **unrestricted**. To inquire on how the match is used, you may follow up directly with the charity.

## **SUBMISSION PROCESS AND DEADLINES**

### **24. When should I submit my match request in the system?**

It is recommended you submit your match request as soon as possible after making the donation directly to the charity. This enables the charity to confirm the donation and receive funds sooner. The Caterpillar Foundation processes matching gifts payments on a quarterly basis.

With the recent global expansion this year International employees can submit match requests to eligible charities with gift dates as early as January 1, 2021 even through the International expansion opened in 2<sup>nd</sup> quarter.

### **25. If I make weekly, monthly, quarterly, etc. contributions to an organization throughout the year, how do I enter my match request?**

To submit a match request for recurring payments, you must wait until the actual payment has been made to the charity before entering the request in the online system. You cannot apply for a match for money that will be paid to the charity later in the year.

You are welcome to submit individual match requests for each donation or one lump sum match requests for multiple gifts that have been paid during a particular time frame (i.e. weekly, monthly, quarterly, etc.). If submitting a lump sum match request, please use the last payment date as the gift date when submitting the match request.

## 26. Is there a deadline to submit my match request?

Yes, the deadline for Caterpillar participants to submit match requests is **January 31 of the year following the donation**. For example, if your gift is made in June 2021, you have until January 31, 2022 to submit your match request in the online system.

## 27. Is there a deadline for the charity to confirm my match request?

Yes, the deadline for charities to confirm your match request is **February 15 of the year following the donation**. For example, if your gift is made in June 2021, the charity has until February 15, 2022 to confirm your match request in the online system.

## 28. When will the charity receive the matching payment from the Caterpillar Foundation?

The charity first must confirm receipt of a donation in the Caterpillar Foundation Matching Gifts system by February 15 of the year following the donation before it can be matched. If the charity does not confirm your gift by February 15 of the year following the donation, the match request will be rejected.

Starting in 2021, Caterpillar Foundation processes matching gifts payments **on a quarterly basis per the matching payout calendar below:**

2021 PAYOUT CALENDAR		
IF ENTERED BY DONOR BY:	& CONFIRMED BY CHARITY BY:	THEN MATCH PAID:
3/31/21	3/31/21	APR 2021
6/30/21	6/30/21	JULY 2021
9/30/21	9/30/21	OCT 2021
1/31/22	2/15/22	MAR 2022

## ACCESSING SYSTEM / LOGIN

### 29. I am getting an error when I try to login. Why can't I access the Matching Gifts System?

**Current global Caterpillar/Solar employees** should use the Single Sign On link (gray box hyperlink) on the login page to access the site using your CWS ID/Password.

**All Retirees and Progress Rail employees** should use the Standard Log In section to log in as single sign on is not available for this group. If you have never accessed the site, please use the "First Timer User? Create your password" link. *Your Employee ID Number is your Caterpillar/Solar HR ID (formerly known as PeopleSoft ID) or Progress Rail ID.*

**Caterpillar employees in China, Russia & Kazakhstan** and international Progress Rail employees are not eligible at this time. The Foundation is exploring eligibility in a future phase of the program's development.

## DATA PRIVACY

### 30. What sort of data privacy does the Caterpillar Foundation provide with this program?

Information provided to the Caterpillar Foundation 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 Matching Gifts Program notifications and updates. Notwithstanding the above disclosure, we will provide personal information when required or permitted by law or for purposes relevant to Corporate Policies. By providing information you agree to the above uses of your personal information. Caterpillar does not provide nonprofit organizations with employee contact information. Please also see the Privacy Policy for the Caterpillar Foundation's third-party vendor, CyberGrants: <https://impact.cybergrants.com/privacy-policy/>

## ADDITIONAL SUPPORT

### 31. Who do I contact if I still have questions?

Please email [Matching\\_Gifts@cat.com](mailto:Matching_Gifts@cat.com) or call 309-675-1475.