

## Direct Service - Environment

### Instructions

**PLEASE READ ALL OF THE INSTRUCTIONS IN THIS APPLICATION. THEY HAVE BEEN UPDATED FOR 2016.**

Alcoa Foundation is sensitive to data protection and privacy concerns. The questions in the Grant Concept Paper, Grantee Organization Questionnaire, Grant Application, and attachments have been tailored to request only information that is relevant to Alcoa Foundation's efforts to comply with applicable laws and regulations, including, but not limited to the Internal Revenue Code, the USA PATRIOT Act, and the Foreign Corrupt Practices Act. By submitting this information, including, but not limited to any personal information about your organization and/or your employees and directors (whose consent you will have obtained as necessary) to Alcoa Foundation, you consent to the collection, processing, storage, use and transfer of that information to/by Alcoa Foundation, Alcoa Inc. and all of their controlled entities in the United States of America and elsewhere and their authorized third-party contractors or agents ("Alcoa") for the purpose of confirming the accuracy of the information provided on the Grant Concept Paper, Grantee Organization Questionnaire, Grant Application and any attachments and to perform a due diligence background check ("Purpose"). Alcoa shall use the information supplied solely for the "Purpose" and shall store the data for as long as is strictly necessary to be able to complete the "Purpose." You confirm that you are fully informed of the reasons for processing and transfer of this data and that you are aware of all your rights regarding such data and all applicable laws. If at any time hereafter you decide that you want to withdraw your consent given above, you shall contact Carol Greco at [carol.greco@alcoa.com](mailto:carol.greco@alcoa.com) to inform Alcoa of this decision. You also have the right to have any incorrect information which is stored by Alcoa rectified.

### Alcoa Foundation Nonprofit Non-Discrimination Agreement

*Alcoa Foundation is committed to creating an environment of inclusivity and supporting organizations that reflect our values and embrace diversity. To that end, as a condition of financial support, we ask our nonprofit partners to sign the following non-discrimination agreement.*

The organization named below does not discriminate based on race, color, religion, national origin, disability, sexual orientation, gender identity / expression, veteran status, genetic information, sex or age (within statutory limits) or on any other legally prohibited basis.

#### Organization Name

*Enter the organization name and, if one is assigned, the affiliate, chapter or council name.*

#### Electronic Signature and job title/position of Authorized Official

*Type the name and job title/position (e.g., President, Vice President, Director of Development) of the person attesting to the above non-discrimination statement.*

Date

- The submission of an on-line application to Alcoa Foundation does not guarantee a charitable grant from Alcoa Inc. or Alcoa Foundation.
- This application must be completed in English.
- Answer each question in the space provided; **do not type "See Attached" as an answer to any question.**

- This application may be saved for completion at a later time using the **Save & Finish Later** button at the bottom of any page.
- You cannot attach documents while in Review mode for this application. To exit from Review mode, save the application to your account and re-open it from your account home page. Return to the **Attachments** page (use the link at the top of this page) to attach, remove or replace any documents.
- You may use the **Printer Friendly Version** link above to print a copy of your application before submitting it to Alcoa Foundation. A copy of the completed application will also be sent to the e-mail address for this account once it has been successfully submitted to Alcoa Foundation.
- **After 30 minutes of inactivity this application will time-out and unsaved information will be lost.**
- **After 90 days of inactivity, this grant application will be deleted from our system if it has not been completed and formally submitted to Alcoa Foundation.**

## START A NEW APPLICATION

Before beginning this application:

1. Review [Alcoa Foundation's Grant Themes](#).
2. Review Alcoa Foundation's [Grant Application Package](#).
3. Review the [Technical Application Help Guide](#).
4. **Prepare all Required Documents.** Required Documents must be attached on the **Attachments** page (use the link at the top of this page) of this application before it can be submitted. Your application is not complete and will not be reviewed unless the Required Documents are correctly completed and electronically attached to this application.

## RETURN TO AN UNFINISHED APPLICATION

To return to an unfinished application, [log in to the account](#) in which the application was saved. While on the **Applications** page, a drop-down filter box will be available on the right side of the screen to filter the list by "In Progress" or "Submitted" Applications. Click on the link for the "In Progress" application that you wish to finish.

## REQUIRED DOCUMENTS

**PLEASE READ ALL OF THE FOLLOWING INSTRUCTIONS. DOCUMENT REQUIREMENTS AND INSTRUCTIONS CAN CHANGE AT ANY TIME. FAILURE TO PROVIDE THE REQUIRED DOCUMENTS AS DESCRIBED BELOW MAY RESULT IN THE REJECTION OF THIS GRANT APPLICATION.**

It is strongly recommended that all required documents be prepared and saved to your computer before beginning this on-line application.

1. Click on a link below to open a blank document template.
2. Save the blank document to your computer in a place you will remember. Do this for each of the documents you are required to complete.
3. Save this unfinished application to an existing on-line account or a new on-line account using the **Save & Close** or **Save** button at the bottom of this page.
4. Complete the required documents that are saved on your computer. **DO NOT SUBMIT SCANNED VERSIONS OF DOCUMENTS PREVIOUSLY SIGNED AND SUBMITTED WITH GRANT APPLICATIONS FROM PRIOR YEARS. YOU MUST COMPLETE AND SIGN THE CURRENT VERSION OF EVERY DOCUMENT WITH EACH GRANT APPLICATION. FAILURE TO DO SO MAY RESULT IN THE REJECTION OF THIS GRANT APPLICATION.**
5. Return to this application to answer all of the required questions.
6. Attach all Required Documents on the **Attachments** page (use the link at the top of this page) of this application.

### All Organizations

- [Project Budget](#) - complete and submit the current version of this form; do not update and submit a previously submitted version of this form; this document must be submitted using this template only; no other format will be accepted
- [USA Patriot Act Compliance Form](#) - complete and submit the current version of this form; do not update and submit a previously submitted version of this form
- [USA Patriot Act List of Officers and Directors](#) - complete and submit the current version of this form; do not update and submit a previously submitted version of this form; this document must be submitted using this template only; no other format will be accepted

- [Sarbanes-Oxley certificate](#) for grants of USD 250,000 or more - complete and submit the current version of this form; do not update and submit a previously submitted version of this form
- Audited Financial Statements, two most recent years, for grants of USD 250,000 or more

### **U.S. Organizations**

501(c)(3) Public Charities which are covered by a group exemption letter must attach proof of their inclusion in the group exemption. This must include either a) a letter signed by an appropriate official of the parent organization and on the parent organization's official letterhead which certifies that the affiliate or chapter requesting the grant is included in the group exemption, or b) a copy of the most recent listing provided to the IRS by the parent organization of included affiliates or chapters.

### **Non-U.S. Organizations**

Non-U.S. organizations are required to complete the Equivalency Determination (ED) process as required under United States Internal Revenue Service (IRS) Revenue Procedure 92-94. This procedure defines the process for evaluating whether a non-U.S. organization is the equivalent of a U.S. public charity, government entity or public educational institution. The non-U.S. organization must provide detailed information in English about its operations and finances. Alcoa Foundation has enlisted a qualified and independent U.S.-based company to oversee the ED process on its behalf using an online tool. Upon receipt by Alcoa Foundation of a complete and accurate grant application, the individual identified in the grant application as the primary contact will receive an email invitation containing instructions for logging in to the online ED system. The ED process can take up to six (6) weeks. Grant applications will not be considered by Alcoa Foundation until the ED process is complete. All email requests related to the ED process must be responded to promptly. [Click here](#) for additional information.

### **SAVE OR SUBMIT**

At the bottom of every page is the option to save this application to be completed at a later time. On the final page you also have the option of saving the application or submitting it to Alcoa Foundation. Either way, you must save the application to an on-line account -- either create a new account or use an existing one you created previously. The finished application will not be submitted unless it is saved to an on-line account. You will receive a confirming e-mail with instructions on how to return to your account to view submitted applications or to complete unfinished applications. YOU MUST SAVE THE URL ADDRESS PROVIDED IN THIS E-MAIL SO YOU CAN ACCESS YOUR SAVED APPLICATIONS LATER.

## **Organization Information**

### **1. Tax ID Number**

U.S. Organization - enter your Employer Identification Number  
(xx-xxxxxxx)  
Non-U.S. Organization - enter your Charitable Organization  
Registration  
Number, if one exists; otherwise, enter "Not Applicable"

### **2. Tax Status**

### **3. Street Address**

### **4. City**

### **5. State or Province**

### **6. Postal Code**

### **7. Country**

U.S. and Canadian applicants -  
Select state or province abbreviation  
from list below  
Applicants from all other countries -  
Leave this field blank, but include

<Select One>

this information in the City field  
to the left.

<None>

**8. Phone Number**

Enter numbers only; do not enter spaces, dashes, periods or parentheses.

Ex.: 4125559999

**9. Organization's General E-Mail Address**

**10. Website Address**

**11. Organization Type**

**12. What is your organization's mission?**

[Click here](#) for guidance and a sample answer for this question.

**13. Organization's Total Annual Operating Revenue**

Enter in U.S. dollars only.

Total Annual Operating Revenue is revenue received that is used for the daily operation of the organization, including the charitable activities that are carried out. It includes donations from individuals and corporations, support from government agencies, income from activities related to the organization's mission, and income from fundraising activities, membership dues, etc.

**14. In what month does your fiscal year end?**

**PRIMARY CONTACT**

Alcoa Foundation will direct all correspondence regarding this application to the Primary Contact identified below. **This information is required** and must be the accurate mailing address specifically for this Primary Contact. This address may be different from the organization's address entered above.

**15. Prefix**

<Select One>

**16. First Name**

**17. Middle Initial**

**18. Last Name**

**19. Suffix**

<None>

**20. Title**

Example: President, Executive Director, Manager

**21. Street Address**

22. City	23. State or Province <u>U.S. and Canadian applicants -</u> Select state or province abbreviation from list below <u>Applicants from all other countries -</u> Leave this field blank, but include this information in the City field to the left.  <None>	24. Postal Code	25. Country <Select One>
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26. Phone Number  
Enter numbers only; do not enter spaces, dashes, periods or parentheses.  
Ex.: 4125559999

27. E-mail address for the Primary Contact named above

#### **REQUIRED ACH (U.S.) OR WIRE TRANSFER (NON-U.S.) INSTRUCTIONS**

Alcoa Foundation makes all grant payments via Electronic Funds Transfer directly into the bank account of the recipient organization. Grant funds will only be transmitted electronically via ACH (U.S.) OR Wire Transfer (non-U.S.) directly to the financial institution identified below.

**Please obtain this information directly from your financial institution. Incorrect instructions will likely cause a significant delay in your organization's receipt of grant funds. Grant funds transmitted to an incorrect account may result in the grant amount being reduced as a result of bank fees or, if the funds are unrecoverable, in the grant being canceled.**

**All wire transfer payments to non-U.S. bank accounts are paid in local currency except in Brazil, Iceland and Suriname, where all payments are paid in USD.**

**You must provide instructions for an account which can accept the correct currency or the electronic deposit will be rejected by your bank.**

28. Full Bank Name	29. ACH Bank Routing Number (U.S.) or Swift Number (non-U.S.) <i>ACH Bank Routing Number for U.S. payments must have 9 digits</i>
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30. Full Bank Address  
Include full street address, city, state, country and postal code; use commas to separate parts of the address; do not use the Enter key to begin a new line.

**All wire transfer payments to non-U.S. bank accounts are paid in local currency except in Brazil, Iceland**

**and Suriname, where all payments are transmitted in USD.**

**You must provide details below for an account which can accept the correct currency or the electronic deposit will be rejected by your bank.**

31. Name on the Account to be Credited  
Official name under which the account is registered  
(do not enter "checking", "savings", or any other generic

32. **CHECKING** Account Number to be Credited  
Please provide the account number for a valid  
**CHECKING** account.

descriptive name). In many countries, the account name sent with the electronic deposit instructions must match exactly the name registered to the account in the bank's records or the deposit will be rejected.

If this transaction requires the use of an intermediary bank, enter the intermediary bank instructions in the **Intermediary Bank Instructions** field below.

If this transaction requires the use of an intermediary bank, enter the intermediary bank instructions in the **Intermediary Bank Instructions** field below.

### 33. Intermediary Bank or Other Special Wire Transfer Instructions

I understand that by typing my name below, I am legally certifying that all of the banking information provided above is that of the organization named above. This banking information is confidential and will be used only by Alcoa Foundation or its designated contractor for the purpose of awarding the requested grant.

### 34. Name of person certifying banking information above

Do not submit this grant application to Alcoa Foundation until you have completed and attached all required documents on the **Attachments** page.

**Note to community-based grant applicants in Alcoa communities:** You may not submit this grant application to Alcoa Foundation until you have e-mailed a draft of it to your local Alcoa contact for their review. Use the "E-mail draft" link at the top of this page to send the draft to your local Alcoa contact.

## Initiative Details

35. First name of your Alcoa contact for this grant

36. Last name of your Alcoa contact for this grant

37. Request Date

01/21/2016

38. Total Grant Amount Requested

Enter only numbers; do not enter a dollar sign, comma, or decimal point; enter in U.S. dollars only

39. Total Budget for this Initiative

This must equal the total of Column C in the project budget attachment. This is usually, but not always, more than the grant amount requested. Enter only numbers; do not enter a dollar sign, comma, or decimal point. Enter in U.S. dollars only.

40. No longer applicable

41. Short Title for this Initiative - 10-word maximum

[Click here](#) for guidance and a sample answer for this question.

**42. Summary of this Initiative** - 500 word maximum

[Click here](#) for guidance and a sample answer for this question.

**43. Theme/Subtheme for this Initiative**

Select the ONE Alcoa Foundation result to which the initiative for which you seek funds clearly contributes. **YOU MUST SELECT**

**THE LOWEST LEVEL CODING AVAILABLE. YOU MAY NOT, FOR EXAMPLE, SELECT ONLY EDUCATION/WORKFORCE**

**DEVELOPMENT. YOU MUST SELECT THE THIRD LEVEL RESULT STATEMENT AS YOUR ANSWER IN THIS FIELD.**

(If you are uncertain, see the [Alcoa Foundation Themes](#).)

**44. Project Start Date**

Enter the date on which you expect to begin using the grant funds and begin working towards the initiative results.

**This date should be at least 90 days from the date you submit this grant application to Alcoa Foundation.**

**45. Project End Date**

Enter the date by which the initiative results will be achieved.

Ideally, results will be achievable within a 12-month period, but longer

grant periods will be considered. All grant funds must be expended by this date.

This date must be agreed on with your Alcoa Location Contact.

## **PROPOSAL DEMOGRAPHICS**

**46. Alcoa Community to be Served**

**47. Age of Target Population**

What are the age groups that this initiative is intended to serve?

You may select up to four age groups.

Select "General Population" if all age groups will benefit from this initiative. If you select "General Population," do not select any other choices.

**48. Gender of Target Population**

Identify the **primary** gender to be served by this initiative.

**49. Ethnicity of Target Population**

U.S. Grant Applicants - Which, if any, ethnic group is this grant focused on serving? You may select up to three ethnic groups  
OR

you may select "Minorities in General" to indicate that all minorities and only minorities will be served by the initiative.

If you select "Minorities in General," do not select any other choices.

**This field should be left blank if none of these groups are the primary focus of this initiative.** Leaving this field blank will not disadvantage your grant application.

**50. Special Population Served**

Identify the **target** populations to be served by this initiative.

**This field should be left blank if none of these groups are the primary focus of this initiative.** Leaving this field blank will not disadvantage your grant application.

Applicants from all other countries - Leave this field blank

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## Initiative Narrative

51. What is the community need or issue this initiative will address during the grant period?

[Click here](#) for guidance and a sample answer for this question.

In the fields below, provide a number for each of the result metrics that you **will measure for the primary participants** that this initiative will serve. The metrics you will measure must have been agreed to during pre-application discussions with your Alcoa or Alcoa Foundation contact. You must measure **at least one** of the metrics below that corresponds to the Theme/Subtheme that you selected on the previous page, but you may enter metrics in other subthemes as well. **Your answers should reflect the results you expect to achieve by the Project End Date entered on the previous page.** In the final grant report that you submit for this initiative, you will be required to report your final results against these metrics.

### SUSTAINABLE DESIGN

Answer all that apply for this initiative. As a direct result of this grant, what is the:

52. Number of solutions to be promoted or created for building design

53. Number of solutions to be promoted or created for transportation

54. Number of solutions to be promoted or created for other Alcoa markets

55. Number of communities to be impacted

### ENVIRONMENTAL LITERACY

Answer all that apply for this initiative. As a direct result of this grant, what is the:

56. Number of individuals to be trained to support environmental initiatives

57. Number of teachers to be trained to support environmental initiatives

58. Number of environmental initiatives to be created

59. Number of communities to be impacted



## NATURAL CAPITAL

Answer all that apply for this initiative. As a direct result of this grant, what is the:

60. Acres of land to be restored  
*1 hectare = 2.47 acres*

61. Species (flora and fauna)  
to be protected

62. Trees to be planted

63. Bodies of  
water to be  
restored  
*Count ponds,  
streams, lakes and  
rivers*

64. Expected reduction of CO2 in tons  
*907.18 kg = 1 ton*

65. Expected reduction in energy use in kWh

66. Tons of aluminum to be recycled  
*907.18 kg = 1 ton*

67. Tons of non-aluminum materials to be recycled  
*907.18 kg = 1 ton*

68. Communities to be impacted

## STANDARDS LEADERSHIP

Answer all that apply for this initiative. As a direct result of this grant, what is the:

69. Number of standards  
to be developed

70. Number of organizations expected  
to sign on to use these standards

71. Number of countries expected  
to sign on to use these standards

72. What are the **key elements and activities of this initiative** that are critical to achieve the stated results?

[Click here](#) for guidance and a sample answer for this question.

73. How will you 'track success' during the grant period? This includes defining 3 - 5 **key milestones** you will use to manage progress, the **critical project steps** you or others will take to accomplish each milestone, and a **timeline** of when each milestone will be achieved.

[Click here](#) for guidance and a sample answer for this question.

[Click here](#) for a workbook to help you create a strong set of steps and milestones.

74. How will you know when this initiative's results have been achieved? What information or evidence will be used to **verify success**?

[Click here](#) for guidance and a sample answer for this question.

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## Visibility and Volunteers

### VISIBILITY

The first three questions in this section must be answered for all applications.

75. What is the communications strategy and objective(s) for this initiative?

76. Who is/are the target audience(s) for the communications regarding the initiative?

77. Provide three measurable communication outcomes/results in which Alcoa Foundation will be recognized during the life of this initiative.

The remaining questions in this section must be answered only for applications of US\$50,000 or more.

78. What is the main message for this initiative that you plan to communicate?

79. How should Alcoa Foundation be engaged in communications for this initiative?

80. List the **materials** that will be used to communicate Alcoa Foundation's support of this initiative.  
*Examples: press release, copy for the website, photographs, videos, posters, presentation, signage*

81. List the **channels** that will be used to communicate Alcoa Foundation's support of this initiative.  
*Examples: newspaper, magazine, tv, radio, online, social media, speaking opportunities, events*

How many of the following placements do you anticipate for this initiative?

In the final grant report for this initiative, you will be required to report your achievements against these targets.

82. Press releases      83. Newspaper articles      84. Videos      85. Radio spots      86. Television spots

87. Magazines      88. Speaking engagements      89. Events      90. Internet articles      91. Social media

92. Describe any awards or recognition, either local, national or global, for which this initiative may be submitted or nominated.

## ***VOLUNTEER OPPORTUNITIES***

**The questions in this section should be answered by all applicants, as necessary.**

93. Describe **skills-based** volunteer opportunities that may be available at your organization for Alcoa employees or retirees in areas such as safety, health & wellness, logistics, human resources, finance, legal, etc.

94. Describe **non-skills-based** volunteer opportunities that may be available at your organization for Alcoa employees, retirees, or their family members.

95. Do any Alcoa employees have **leadership roles** with your organization or is there an opportunity for an Alcoa **executive or high potential manager** to play a leadership role, such as serving on the Board of Directors? If so, please describe.

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