Grant Application Requirements

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Basic Eligibility Criteria

Organizations and programs generally must meet the following basic requirements in order to be considered for Alcoa Foundation funds:

- Programs or organizations must serve communities where Alcoa has operating plants or offices.
- U.S. organizations must be classified by the United States Internal Revenue Service as not-for-profit public charities and tax-exempt under Section 501(c)(3) of the U.S. Internal Revenue Code. Public educational institutions and government entities, while not classified as 501(c)(3) public charities, may be eligible for grant funds provided that the funds are used for charitable purposes.
- Non-U.S. organizations must operate as the equivalent of a U.S. 501(c)(3) public charity, public educational institution or government entity and must complete the required Equivalency Determination process to certify this status (see page 5).
- Programs must fall within Alcoa Foundation themes and subthemes.
- The minimum grant request is USD 15,000.

Alcoa Foundation generally does not award grants to:
- Individuals
- For-profit organizations
- Organizations whose policies or actions are inconsistent with Alcoa's non-discrimination policy.
- Organizations and programs which intend to influence legislation or elect candidates to public office
- Sectarian or religious organizations whose services are limited to members of one religious group
- Religious programs
- Social clubs or organizations
- Endowment funds; capital, equipment or development campaigns; or funds directed towards deficit reduction, operating costs/reserves
- Fundraising events or sponsorships (walk/runs, golf tournaments, sports teams, tickets, tables, benefits, raffles, souvenir programs, advertising, fundraising dinners, etc.)
- Trips, conferences, seminars, festivals, one-day events, unless part of an approved program activity
- Documentaries, videos, or research projects/programs
- Private foundations
- Trust funds

Education: Support STEM education and workforce training initiatives to help build the advanced technology workforce.

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Themes, Subthemes and Results Metrics

➢ **STEM**
Support innovative education, training programs, and teaching curriculums to support career pathways in Science, Technology, Engineering and Math (STEM).

Results we will count:
- ☑ Number of students who complete STEM-related training
- ☑ Number of teachers, guidance counselors or school administrators trained to provide STEM education or promote STEM-capable careers
- ☑ Number of schools impacted

➢ **Workforce Development**
Provide education and training opportunities that lead to employment opportunities in manufacturing or engineering careers.

Results we will count:
- ☑ Number of students who pursue training or education towards manufacturing careers (i.e., in skilled trades, maintenance, operations)
- ☑ Number of students who pursue training or education towards engineering careers
- ☑ Number of individuals who secure employment or improve their employability in manufacturing careers
- ☑ Number of individuals who secure employment or improve their employability in engineering careers

➢ **General Education**
Support general academic programs and teaching curriculums (not including STEM or Environmental Literacy).

Results we will count:
- ☑ Number of students who participate in programs designed to improve academic performance or skills

➢ **General Job Readiness**
Support programs that provide individuals with basic job readiness skills (not including engineering or manufacturing skills).

Results we will count:
- ☑ Number of individuals who complete training designed to improve their general employment status

Themes, Subthemes and Results Metrics

Environment: Drive measurable and systematic improvements in environmental sustainability through innovative solutions that incorporate the next generation of products, practices and systems.

➤ **Sustainable Design**
Advance sustainable industrial and product designs that address environmental challenges within transportation, building and construction or other Alcoa markets.

Results we will count:
- ☑ Number of solutions promoted or created for building design
- ☑ Number of solutions promoted or created for transportation
- ☑ Number of solutions promoted or created for other Alcoa markets
- ☑ Number of communities impacted

➤ **Environmental Literacy**
Develop the next generation of environmental ambassadors among students, teachers, Alcoa employees and community members.

Results we will count:
- ☑ Number of individuals trained to support environmental initiatives
- ☑ Number of teachers trained to support environmental initiatives
- ☑ Number of environmental initiatives created
- ☑ Number of communities impacted

➤ **Natural Capital**
Protect and restore natural resources and ecosystems. Reduce emissions, produce less waste, and increase recycling.

Results we will count:
- ☑ Number of acres of land preserved or restored
- ☑ Number of species (flora and fauna) protected
- ☑ Number of trees planted
- ☑ Number of bodies of water improved, restored or protected
- ☑ Reduction of CO_2 in tons
- ☑ Reduction in energy use in kwh
- ☑ Tons of aluminum recycled
- ☑ Tons of non-aluminum materials recycled
- ☑ Number of communities impacted

➤ **Standards Leadership**
Contribute to the adoption of meaningful standards supported by sound science, with a focus on comprehensive product footprints and lifecycle of high performance metals.

Results we will count:
- ☑ Number of standards developed
- ☑ Number of organizations signing on to adopt those standards
- ☑ Number of countries signing on to adopt those standards

Themes, Subthemes and Results Metrics

Community Enhancement: Support local initiatives that address unique community needs.

- ➢ **Youth Leadership**
  Support outreach efforts that encourage youth (24 years of age and under) in underserved communities to develop the life skills that enable success.

  Results we will count:
  - ☑ Number of youth using enrichment services to enable their growth and development

- ➢ **Critical Social, Health & Urgent Care Services**
  Broaden access to social, health and urgent care services in underserved communities, and improve the availability, quality and effectiveness of those services.

  Results we will count:
  - ☑ Number of individuals using critical social, health and urgent care services/supports to stabilize their lives
  - ☑ Number of individuals who receive disaster recovery assistance

- ➢ **Community Safety**
  Ensure that individuals have the knowledge, tools and services to remain safe at home, in the workplace or in the community.

  Results we will count:
  - ☑ Number of individuals trained to decrease injuries at home, in the community or in the workplace

- ➢ **Quality of Life**
  Improve the arts, culture and economic success of communities.

  Results we will count:
  - ☑ Number of individuals who access arts and culture programs
  - ☑ Number of individuals who access economic development programs

Required Document Checklist

Alcoa Foundation conducts a rigorous due diligence process to ensure that its charitable contributions meet all requirements as set forth under U.S. law. Requesting organizations must fully complete and electronically attach the following documents to applications in order to be considered for funding. Links to these document templates are provided in all on-line applications. **See Appendix A for additional details.**

The following documents must be completed and attached to the application:

- ☐ Project Budget in the required format.
- ☐ Completed and signed USA Patriot Act Compliance Form - current version required; do not update and submit a previously submitted version
- ☐ USA Patriot Act List of Officers and Directors in the <u>current</u> Alcoa Foundation format **–** this document must <u>not</u> be scanned
- ☐ FOR REQUESTS USD 250,000 AND HIGHER ONLY - Completed and signed Sarbanes-Oxley Compliance Form - current version required
- ☐ FOR REQUESTS USD 250,000 AND HIGHER ONLY – Two most recent years of Audited Financial Statements <u>in English</u>

U.S. Organizations

501(c)(3) Public Charities which are covered by a <u>group</u> 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-Governmental Organizations Registered Outside of the U.S.

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 <u>in English</u> 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. <u>Click here</u> for additional information.

Non-U.S. Grants
Expenditure Responsibility

Expenditure Responsibility is the alternative to Equivalency Determination (ED). In the event that the ED requirements prove too burdensome for an NGO or if the NGO does not meet the standard to be certified under the ED process, an Expenditure Responsibility Agreement may be executed in order to make the requested grant. This requires a special agreement signed by both Alcoa Foundation and the NGO (click here for a sample agreement). If it is determined that this agreement is necessary, it will be provided to the NGO by Alcoa Foundation after the grant application is submitted. It must be signed by both parties before a grant will be approved.

Review, Award and Reporting Requirements

Alcoa Foundation reviews applications upon receipt. Incomplete applications will not be considered. The review process generally takes between one and two weeks. The following criteria are considered in reviewing applications:
- Alignment with local challenges
- Clear and verifiable results
- Strong probability results will be achieved

Communications
Grant applicants will be notified by e-mail of grant award. The grant award e-mail will describe the award amount, payment schedule, and program purpose. Your local Alcoa Foundation Coordinator may contact you to schedule an award presentation event.

Reporting Requirements
Grant recipients are required to submit interim grant progress reports every six months from the award date. End-of-grant reports are due 30 days after the end of the grant period. These reports serve as a permanent record of your organization's achievements and as a learning tool for Alcoa Foundation. We appreciate a thoughtful review of your organization's experience. Reports must be submitted using Alcoa Foundation's on-line reporting system.

Organizations that fail to complete reporting requirements in a timely manner may not be considered for future grants from Alcoa Foundation.

Payment
Payment is made via electronic funds transfer directly to the requesting organization's bank account. This process improves the efficiency and security of grant funds disbursement. The requesting organization is required to provide complete and accurate ACH (U.S.) or Wire Transfer (non-U.S.) instructions in the on-line grant application. **Payments to non-U.S. organizations are generally made in local currency. Therefore, wire transfer instructions must be for a local currency bank account.** If the grant is approved, the organization may expect payment within 30 days of receiving the award notification e-mail, unless payment is requesed on a different schedule. If you do not receive payment on a timely basis, contact Carol Greco at carol.greco@alcoa.com.

Questions
Questions about an Alcoa Foundation grant should be directed to your Alcoa Location Grants Coordinator.

APPENDIX A: REQUIRED DOCUMENTS

1. **Project Budget**

   WHO: All grant applicants.
   PURPOSE: To describe specifically how Alcoa Foundation grant funds will be used in the context of a larger program or project .   How to complete the Project Budget

2. **USA Patriot Act Compliance Forms**
   - USA Patriot Act Questionnaire

   - USA Patriot Act Names of Officers and Directors
     (this document must be submitted using this spreadsheet template; no other format will be accepted)

   WHO: All grant applicants
   PURPOSE: In 2001 the United States Congress adopted the USA Patriot Act, designed to ensure that charitable contributions do not aid terrorists or organizations that support terrorism. By completing this form, an organization certifies that it does not knowingly employ individuals or have ties to organizations found on any terrorist list promulgated by the U.S. government, the United Nations or other international sources.

3. **Group Exemption Letter - U.S. organizations only**

   WHO: U.S. grant applicants covered by a group exemption letter
   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.

4. **Sarbanes-Oxley Act Compliance Form**

   WHO: Grant applicants requesting a grant of USD 250,000 or more
   PURPOSE: The Sarbanes-Oxley Act of 2002 sought to rebuild public trust in the wake of corporate accounting scandals. The Act seeks to reduce conflicts of interest and strengthens standards of governance, financial accounting and audit.

5. **Two most recent years of Audited Financial Statements in English**

   WHO: All grant applicants requesting a grant of USD 250,000 or more
   PURPOSE: To assess the financial health of the grant applicant organization.