

**AMY WELLNESS FOUNDATION
POLICY FOR MAKING GRANTS
ADOPTED ON MAY 12, 2020**

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This policy describes the key guidelines followed by the AMY Wellness Foundation in evaluating and making grants. The aim is to ensure a standard approach to each grant request and adherence to practices that safeguard the integrity of the process, as well as to ensure appropriate compliance by grant recipients. This policy will be reviewed and amended from time to time to reflect new requirements and best practices and feedback from grantee’s and grant applicants.

The Foundation

The purpose of the Foundation is to improve the health and well-being of the people in Western North Carolina, with particular emphasis on those living in Avery, Mitchell and Yancey counties. In doing so, the Foundation will make grants to eligible organizations that work to improve the health and well-being of the people in those areas.

The Foundation is governed by a Board of Directors (“Board”). The Board acts in accordance to the Foundation’s articles of incorporation, bylaws, and other policies and procedures. Further information about the Board and the Foundation shall be made available on the Foundation’s website.

The offices of the Foundation and its telephone number are: 31 Cross Street, Suite 266
Spruce Pine, NC 28777
828-592-4082

Strategic Priorities for Awarding Grants

All grants made by the Foundation will be aligned with its purpose and strategic priorities as defined by the Board. The Foundation's current strategic priorities include capacity building, family resilience, and collaboration and planning, as defined more fully below, and other strategic priorities as may be defined by the Board from time to time and incorporated into this policy through revisions or addendums. The Foundation developed its strategic priorities based on the community needs identified through extensive research and information obtained from community listening engagements. The strategic priorities are Board-approved and communicated to the public through media, email, mail, community organization online links and the website.

No organization is eligible to receive more than \$75,000 semi-annually in funding from the Foundation. However, an organization may receive an additional maximum of \$75,000 per year in the capacity of a fiscal agent for a collaborative ask. The Board of Directors shall review the maximum fund amounts for each strategic priority area in the fourth quarter of each fiscal year. At that time the Board may make any changes to the maximum fund amounts for a single organization and/or each strategic priority area for the following fiscal year that it deems necessary and prudent to carry out the Foundation's strategic priorities and meet community needs.

Capacity Building

The Foundation is committed to empowering organizations by providing tools necessary to work sustainably and at high capacity. Capacity building grants may include funds for (1) operational support, including staff support, capital funding, and/or program sustainability; (2) training support, such as grant writing trainings, financial workshops, and/or results-based accountability trainings, among others; and (3) other similar capacity-building needs.

The Foundation shall grant a maximum of \$500,000 annually in capacity building grants. A single organization shall not receive more than \$75,000 semi-annually in capacity building grants.

Family Resilience

The Foundation aims to strengthen overall family systems as the building blocks of healthy communities by emphasizing positive outcomes and building resiliency for lasting impact. To do so, the Foundation prioritizes grants that, for example, provide education and counseling services, mental health services, substance abuse services, safe housing, family and interpersonal violence protections and programs, child assessments, assistance with housing and judicial systems, and other similar family resilience programs.

The Foundation shall grant a maximum of \$500,000 annually in family resilience grants. A single organization shall not receive more than \$75,000 semi-annually in family resilience grants.

Collaboration and Planning

The Foundation promotes community-wide collaboration to move the needle towards transforming its region. Rural mountain communities face unique challenges in affordable and safe housing, mental health, and access to healthy affordable food. The Foundation seeks to support collaborative, up-stream and innovative projects and ideas to help address and transform these three health needs. The Foundation prioritizes grants that research and study opportunities or develop coalitions to address large-scale community results in housing, mental health, food security, and other similar community areas. The Foundation also prioritizes grants that support collaborative cross-disciplinary partnerships between organizations focused around technology, expansion of services, programs and projects, and other similar initiatives.

The Foundation shall grant a maximum of \$300,000 annually in collaboration and planning grants. A single organization shall not receive more than \$75,000 semi-annually in collaboration and planning grants.

Funding Eligibility Requirements

The Foundation will consider applications for grants to the following types of organizations:

1. Grants may be made to public charities described in section 501(c)(3) and 509(a)(1,2 or 3) of the Internal Revenue Code, and to private operating foundations.
2. Grants may be made to units of government for public purposes. This includes Native American tribal governments.
3. Grants may be made to other types of nonprofit organizations or businesses so long as the grant furthers the Foundation's charitable purpose. Using expenditure responsibility as a guideline, the Foundation will carefully supervise any such grants and document that the funds granted were used solely for charitable purposes.
4. Consideration will be given to accepting common grant applications or collaborative applications available through regional associations, affinity groups, existing collaboratives, and the like.
5. Verification of the organization's charitable status will be requested from the organization. In situations in which charitable status is not clear, the Foundation will perform independent diligence to confirm the charitable status of the organization and consult with legal counsel as needed.
6. The following applicants fall outside the Foundation's scope of support: individuals; organizations with a political purpose, including lobbying; out-of-area projects; and grants prohibited by tax laws and regulations.

Grant Cycles

The Foundation accepts applications on a rolling basis and reviews applications monthly. Applications received prior to the last day of the month are reviewed at the first of the following month. Applicants are notified at the end of the following month.

In certain specific cases and upon recommendation and approval of the Board, the Foundation may support unexpected needs or special funding opportunities that align with the strategic priorities of the Foundation outside of established grant reviews.

Grant Application

1. The online grant application form, grant guidelines, grant-making cycles, timelines, and frequently asked questions are provided on the Foundation website. In addition, grant workshops may be provided for further clarification of the grant application process.
2. Grant applications must be submitted electronically.
3. Grant applications must contain measurable outcomes that will reliably represent the intended results of the proposed use of the grant funds.

Grant Review

1. Overview: Grant proposals are reviewed and evaluated by each Board member individually. Each Board member sends his or her recommendations to staff following evaluation of each grant proposal. Staff compiles the reviews of each Board member and shares the collective recommendations with the full Board. The Board considers the collective recommendations through email or a monthly meeting (in-person or virtual) and selects each month's grantees pursuant to a vote in accordance with the Foundation's bylaws.
2. In accordance with the Foundation's conflict of interest policy and other policies and procedures, any member of the Board who has a significant connection to or interest in an organization applying for a grant may not participate in the process of evaluating the grant request of that organization.
3. All grant application materials are confidential. Grant application materials will not be shared with third parties without written permission from the applicant-organization and only following a vote by the Board.
4. Each submitted grant application will be promptly acknowledged.
5. The status of each submitted grant application will be tracked using best practice methods.
6. Prior to sending any grant proposals to the Board, the Executive Director and supervised staff will be responsible for initial review of all applications and elimination of ineligible applications or applications that need substantial revision (see Appendix A). This includes due diligence to assess the applicant's fiscal viability and that the request will be used for charitable purposes as well as confirmation that the proposal does not duplicate services or programs already available. Any grant application eliminated during this initial process will be reported to the Board. The Executive Director and supervised staff will summarize each application, including the requested amount and provide this as a cover page to the application for Board review.
7. The Executive Director and supervised staff will provide electronic copies of all applications and summaries to each member of the Board for review.
8. Applications will be scored and discussed by the Board. The attached scoresheet will be used to assist the review by Board members and to prevent biased or subjective review.
9. The Board will evaluate the applications based on the strategic priorities of the Foundation using both quantitative scoring information and qualitative discussion of the application.
10. The Board will consider grant requests in a non-discriminatory manner and without regard to race, gender, disability, religion, ethnicity, age, national origin, sexual orientation, political affiliation, or any other protected status of the applicant or applicant representatives. The Foundation will not knowingly award grants to organizations that discriminate in their hiring, those they accept as volunteers, or the clients or communities they serve.

11. The Board may authorize Foundation staff to conduct grant applicant site visits and/or request follow up documents or information and conduct further due diligence as warranted.
12. The Board will make final determinations on each grant, as well as award amounts in accordance with the Foundation's purpose, financial policies, and grant making policies and procedures.
13. Applicants should understand that it will likely be impossible to fund every commendable request due to limited funds.

Grant Awards

- 1) The Foundation will notify in writing each applicant that receives a grant to their organization. Every grant approval is subject to the execution of a formal written grant agreement.
- 2) The Foundation will develop the grant agreements with assistance of legal counsel outlining the specifics of each grant award. The grant agreement must be signed by a duly authorized representative of the grantee prior to announcement of the award and prior to any disbursement of funds.
- 3) The Foundation will pay grant installments pursuant to the schedule and requirements set forth in the grant agreement.
- 4) Award announcements will be approved by both parties as specified in the grant agreement.
- 5) The Foundation will notify each applicant who is denied and provide in writing basic reasons for declining to fund its request.
- 6) The Foundation will notify in writing each applicant that applied but did not receive a grant and provide a short explanation regarding the Foundation's decision. Foundation staff will follow-up by phone call to discuss the denied application. At the Foundation's discretion such applicants may be invited to apply in a later grant cycle for the same project after incorporating any suggestions and revisions proposed by the Foundation. Otherwise, the applicant may apply for a different project after six months.

Grant Reporting

- 1) Following approval of any award, the applicant will assign a liaison to the Foundation who will be responsible for reporting to the Foundation on the following:
 - a) Implementation of the project in accordance with the budget, schedule and purpose for which grant funds were requested and approved.
 - b) Submission of required expenditure and progress reports pursuant to a schedule set forth by the grant agreement; for example, monthly, quarterly, semi-annually and/or final reports.
 - c) Evaluation of project outcomes through tracking progress towards objectives and measurers to be accomplished as stated in grant application and in the grant agreement.
 - d) Anticipated budget, schedule, or program variances. Extensive changes to budget, schedule, or program objectives may violate the grant agreement and jeopardize disbursements and future grant applications, so should be avoided.

Accounting and Finance

- 1) The Foundation adheres to best practices in financial, accounting and investment matters as guided by Foundation policies and procedures.

- 2) The stewardship principles and accompanying practices below embody the key processes the Foundation follows in its grant making activities.
 - a) The Foundation has taken steps to ensure compliance with federal, state and local law, fiduciary duties, internal compliance policies and procedures, and sound financial management and generally accepted accounting principles (GAAP standards).
 - b) The Foundation approves an annual budget for its operations and grant awards prior to issuing requests for applications and requires staff to report at regular intervals to the full board on the Foundation's financial performance relative to the approved budget.
 - c) The Foundation requires that its treasurer approve annual financial statements, federal tax returns and reports to state authorities to ensure that they fairly present the financial position and financial activities of the Foundation and comply with the Foundation's governing documents.

Covered Grants and Conflicts of Interest

- 1) The fact that current Foundation officers, directors, committee members, advisory committee members, and employees (collectively, "Covered Persons") may simultaneously serve as a director, officer, or employee of a proposed grantee may give rise to an actual or apparent conflict of interest (a "Covered Grant"). To minimize the possibility of actual or perceived conflicts of interest occurring in the making of grants, any proposed Covered Grant shall be reviewed pursuant to this Section and in accordance with Foundation's policies and procedures.
- 2) Covered Grants include, but are not limited to, proposed or existing grants to any of the following organizations (each individually, a "Covered Organization"):
 - a) Any organization that employs, intends to employ or, within the prior twelve months, has employed a Covered Person or a family member;
 - b) Any organization on whose governance board, committee, or advisory board a Covered Person or a family member sits, has been elected, nominated, or appointed to sit, or, within the prior twelve months, has sat;
 - c) Any organization for which a Covered Person, a family member, or any entity in which a Covered Person has a substantial voting, ownership, or beneficial interest volunteers, or provides services without compensation for, more than one hour per month and/or donates more than \$1,000 per year; and
 - d) Any organization with which the Covered Person or a family member has a material financial interest, as defined in the Foundation's policies and procedures
- 3) All Covered Grants shall be reviewed and resolved pursuant to the Foundation's Conflict of Interest Policy.
- 4) In accordance with the Foundation's policies and procedures, the Foundation shall regularly and consistently monitor compliance with this conflict of interest policy by placing the issue of conflict of interest on the agenda at each grant application review meeting and reminding covered persons of their duty to disclose conflicts of interest that may have arisen during the previous year.

Nondiscrimination Policy for Grant Applicants

It is the policy of the Foundation to support organizations, projects, and programs that do not discriminate on the basis of race, color, religion, national origin, sex, gender identity, sexual orientation, age,

disability, or any other protected characteristics. The Foundation does not knowingly award grants to organizations that discriminate in their hiring, those they accept as volunteers, or the clients they serve

COVID-19 RAPID RESPONSE

**ADDENDUM
TO THE AMY WELLNESS FOUNDATION
POLICY FOR MAKING GRANTS
EFFECTIVE BEGINNING MAY ___, 2020
AND UNTIL AMENDED OR TERMINATED
BY THE BOARD OF DIRECTORS**

The Foundation is committed to supporting those affected by the COVID-19 pandemic by funding strategic partnerships and programs meeting the needs of the Foundation’s community (“COVID-19 Response Grants”). The Foundation welcomes applications on a rolling basis for strategic partnerships and nonprofits working to respond to COVID-19 and has designated \$150,000 annually to COVID-19 Response Grants. The Board will review applications from organizations for COVID-19 Response Grants and vote on the organization’s application as quickly as practicable. The Board may review and vote on applications for COVID-19 Response Grants in a regular or special meeting or by email; however, all email votes must be unanimous in accordance with the Foundation’s bylaws. The Board strives to notify applicants for COVID-19 Response Grants as soon as practicable and within two weeks of receipt of the organization’s application.

The Foundation shall grant a maximum of \$150,000 annually in COVID-19 Response Grants. A single organization shall not receive more than \$30,000 per year in COVID-19 Response Grants. COVID-19 Response Grants are not included in determining whether an organization has reached the \$75,000 maximum semi-annual grant amount from the Foundation. Put another way, one organization may receive \$75,000 annually in grant funding in any of the Foundation’s strategic priority areas and may in addition receive a maximum of \$30,000 per year in COVID-19 Response Grants.

An organization may only receive one COVID-19 Response Grant. The Foundation may invite an organization to apply for a second COVID-19 Response Grant in certain specific cases for unexpected needs or special funding opportunities that align with the strategic priorities of the Foundation or to meet particular and important community needs.

To the extent they do not conflict with this addendum, the Foundation’s grants policies and procedures shall apply to the administration, selection, and funding of COVID-19 Response Grants.