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## Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

- Do not enter Social Security numbers on this form as it may be made public.  
Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

2013

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

A For the 2013 calendar year, or tax year beginning 7/01, 2013, and ending 6/30, 2014

## B Check if applicable

- ☐ Address change  
☐ Name change  
☐ Initial return  
☐ Terminated  
☐ Amended return  
☐ Application pending

C  
SOUTHWEST NEIGHBORHOODS, INC  
7688 SW CAPITOL HWY  
PORTLAND, OR 97219

## D Employer Identification Number

93-0717013

## E Telephone number

503-823-4592

G Gross receipts \$ 383,743.

## F Name and address of principal officer

SAME AS C ABOVE

H(a) Is this a group return for subordinates? Yes ☐ No ☒H(b) Are all subordinates included? Yes ☐ No ☐  
If 'No,' attach a list (see instructions)I Tax-exempt status ☒ 501(c)(3) ☐ 501(c) ( ) (insert no ) ☐ 4947(a)(1) or ☐ 527

J Website: WWW.SWNI.ORG

H(c) Group exemption number

K Form of organization ☒ Corporation ☐ Trust ☐ Association ☐ Other ☐ L Year of formation M State of legal domicile

## Part I Summary

Activities & Governance	1	Briefly describe the organization's mission or most significant activities	EDUCATION AND CITIZEN PARTICIPATION.		
	2	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets.			
	3	Number of voting members of the governing body (Part VI, line 1a)	3	25	
	4	Number of independent voting members of the governing body (Part VI, line 1b)	4	25	
	5	Total number of individuals employed in calendar year 2013 (Part V, line 2a)	5	6	
	6	Total number of volunteers (estimate if necessary)	6	625	
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	7a	0.	
	7b	Net unrelated business taxable income from Form 990-T, line 34	7b	0.	
Revenue	8	Contributions and grants (Part VIII, line 1h)	Prior Year	Current Year	
	9	Program service revenue (Part VIII, line 2g)	379,090.	378,827.	
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)	21.	18.	
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)	4,368.	4,898.	
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	383,479.	383,743.	
	Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)		
		14	Benefits paid to or for members (Part IX, column (A), line 4)		
		15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	243,646.	243,130.
		16a	Professional fundraising fees (Part IX, column (A), line 11e)		
		b	Total fundraising expenses (Part IX, column (D), line 25)		
17		Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	132,565.	134,608.	
18		Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25)	376,211.	377,738.	
19	Revenue less expenses Subtract line 18 from line 12	7,268.	6,005.		
Net Assets or Fund Balances	20	Total assets (Part X, line 16)	Beginning of Current Year	End of Year	
	21	Total liabilities (Part X, line 26)	137,694.	170,709.	
	22	Net assets or fund balances Subtract line 21 from line 20	68,411.	95,421.	

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer	Date	11-17-2014
	SAM PEARSON Type or print name and title	PRESIDENT	
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date
	LESLIE CLARK	LESLIE CLARK	11-16-14
	Firm's name	Firm's EIN	PTIN
	SMYTH & CLARK PC	93-1120756	P00361506
	Firm's address	Phone no	
	827 NE OREGON ST STE 240 PORTLAND, OR 97232-2172	(503) 234-8874	

May the IRS discuss this return with the preparer shown above? (see instructions) Yes ☒ No ☐

BAA For Paperwork Reduction Act Notice, see the separate instructions.

TEEA0113L 11/08/13

Form 990 (2013)

**Part III** Statement of Program Service Accomplishments

Check if Schedule O contains a response or note to any line in this Part III

☒ X

1 Briefly describe the organization's mission:

EDUCATION AND CITIZEN PARTICIPATION.

2 Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ?

☐ Yes ☒ No

If 'Yes,' describe these new services on Schedule O

3 Did the organization cease conducting, or make significant changes in how it conducts, any program services?

☐ Yes ☒ No

If 'Yes,' describe these changes on Schedule O

4 Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations and section 4947(a)(1) trusts are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported.

4 a (Code ) (Expenses \$ 289,477. including grants of \$ 268,139.) (Revenue \$ )

SEE SCHEDULE O

4 b (Code ) (Expenses \$ 80,111. including grants of \$ 89,997.) (Revenue \$ )

CITY OF PORTLAND BUREAU OF ENVIRONMENTAL SERVICES GRANT (BES)

WE PROVIDE EDUCATION, OUTREACH AND COMMUNITY INVOLVEMENT FOR WATERSHED PROJECTS IN THE FANNO, TRYON, AND WILLAMETTE WATERSHEDS. WE PUBLISH EDUCATIONAL ARTICLES ON WAYS RESIDENTS CAN IMPROVE THE HEALTH OF OUR WATERSHED, LIST OPPORTUNITIES FOR VOLUNTEERS TO PARTICIPATE IN MONTHLY RESTORATION WORK PARTIES IN LOCAL PARKS, AND ATTEND OPEN HOUSES FOR PROJECTS THE BUREAU OF ENVIRONMENTAL SERVICES HAS PLANNED IN OUR AREA. WE ALSO PROVIDE STAFF FOR THE SOUTHWEST WATERSHED RESOURCE CENTER AND GIVE SUPPORT TO APPROXIMATELY 14 NEIGHBORHOOD STEWARDSHIP GROUPS.

4 c (Code: ) (Expenses \$ 6,078. including grants of \$ 7,811.) (Revenue \$ )

CITY OF PORTLAND BUREAU OF PLANNING AND SUSTAINABILITY

UNDER THIS MULTI-YEAR AGREEMENT, THE CITY PROVIDES SWNI WITH A BASE AMOUNT OF GRANT FUNDS FOR RECYCLING AND REUSE EFFORTS, FOR THE COST OF TWO CLEANUPS. GENERALLY HELD IN THE SPRING AND THE FALL, CLEANUP EVENTS CONSIST OF WEEKEND DEPOTS WHERE RESIDENTS CAN BRING HOUSEHOLD BULKY WASTE ITEMS FOR PROPER DISPOSAL AND RECYCLING. SWNI ORGANIZES EXTRA VOLUNTEERS TO ASSIST SENIORS AND DISABLED RESIDENTS WITH COLLECTION AND DISPOSAL OF MATERIAL. WE ALSO CLEANUP ILLEGAL DUMPING AREAS AND ORGANIZE LITTER PATROLS.

EXPENSES ALSO INCLUDE FUNDS HELD IN RESTRICTED ACCOUNTS.

4 d Other program services (Describe in Schedule O) SEE SCHEDULE O

(Expenses \$ including grants of \$ ) (Revenue \$ )

4 e Total program service expenses ► 375,666.

**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If 'Yes,' complete Schedule A	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)?		X
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If 'Yes,' complete Schedule C, Part I		X
4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If 'Yes,' complete Schedule C, Part II		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If 'Yes,' complete Schedule C, Part III		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If 'Yes,' complete Schedule D, Part I		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If 'Yes,' complete Schedule D, Part II		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If 'Yes,' complete Schedule D, Part III		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If 'Yes,' complete Schedule D, Part IV		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If 'Yes,' complete Schedule D, Part V		X
11 If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings and equipment in Part X, line 10? If 'Yes,' complete Schedule D, Part VI	X	
b Did the organization report an amount for investments – other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VII		X
c Did the organization report an amount for investments – program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VIII		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part IX		X
e Did the organization report an amount for other liabilities in Part X, line 25? If 'Yes,' complete Schedule D, Part X	X	
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If 'Yes,' complete Schedule D, Part X		X
12a Did the organization obtain separate, independent audited financial statements for the tax year? If 'Yes,' complete Schedule D, Parts XI, and XII		X
b Was the organization included in consolidated, independent audited financial statements for the tax year? If 'Yes,' and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI and XII is optional		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If 'Yes,' complete Schedule E		X
14a Did the organization maintain an office, employees, or agents outside of the United States?		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If 'Yes,' complete Schedule F, Parts I and IV		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If 'Yes,' complete Schedule F, Parts II and IV		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If 'Yes,' complete Schedule F, Parts III and IV		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If 'Yes,' complete Schedule G, Part I (see instructions)		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If 'Yes,' complete Schedule G, Part II		X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If 'Yes,' complete Schedule G, Part III		X
20 a Did the organization operate one or more hospital facilities? If 'Yes,' complete Schedule H		X
b If 'Yes' to line 20a, did the organization attach a copy of its audited financial statements to this return?		

**Part IV Checklist of Required Schedules (continued)**

	Yes	No
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organizations or government on Part IX, column (A), line 1? If 'Yes,' complete Schedule I, Parts I and II		X
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to individuals in the United States on Part IX, column (A), line 2? If 'Yes,' complete Schedule I, Parts I and III		X
<b>23</b> Did the organization answer 'Yes' to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If 'Yes,' complete Schedule J		X
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If 'Yes,' answer lines 24b through 24d and complete Schedule K. If 'No,' go to line 25a		X
<b>24b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception?		
<b>24c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds?		
<b>24d</b> Did the organization act as an 'on behalf of' issuer for bonds outstanding at any time during the year?		
<b>25a</b> <b>Section 501(c)(3) and 501(c)(4) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If 'Yes,' complete Schedule L, Part I		X
<b>25b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If 'Yes,' complete Schedule L, Part I		X
<b>26</b> Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If so, complete Schedule L, Part II		X
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If 'Yes,' complete Schedule L, Part III		X
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)		
<b>28a</b> A current or former officer, director, trustee, or key employee? If 'Yes,' complete Schedule L, Part IV		X
<b>28b</b> A family member of a current or former officer, director, trustee, or key employee? If 'Yes,' complete Schedule L, Part IV		X
<b>28c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If 'Yes,' complete Schedule L, Part IV		X
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? If 'Yes,' complete Schedule M		X
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If 'Yes,' complete Schedule M		X
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? If 'Yes,' complete Schedule N, Part I		X
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If 'Yes,' complete Schedule N, Part II		X
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If 'Yes,' complete Schedule R, Part I		X
<b>34</b> Was the organization related to any tax-exempt or taxable entity? If 'Yes,' complete Schedule R, Parts II, III, IV, and V, line 1		X
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)?		X
<b>35b</b> If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' complete Schedule R, Part V, line 2		
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If 'Yes,' complete Schedule R, Part V, line 2		X
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If 'Yes,' complete Schedule R, Part VI		X
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O	X	

BAA

Form 990 (2013)

**Part V Statements Regarding Other IRS Filings and Tax Compliance**

Check if Schedule O contains a response or note to any line in this Part V

☒

		Yes	No
<b>1 a</b>	Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.	6	
<b>1 b</b>	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.	0	
<b>1 c</b>	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	X	
<b>2 a</b>	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return.	6	
<b>2 b</b>	If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	X	
<b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions).			
<b>3 a</b>	Did the organization have unrelated business gross income of \$1,000 or more during the year?	X	
<b>3 b</b>	If 'Yes,' has it filed a Form 990-T for this year? If 'No,' to line 3b, provide an explanation in Schedule O.		X
SEE SCHEDULE O			
<b>4 a</b>	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?		X
<b>4 b</b>	If 'Yes,' enter the name of the foreign country.		
See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.			
<b>5 a</b>	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?		X
<b>5 b</b>	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?		X
<b>5 c</b>	If 'Yes,' to line 5a or 5b, did the organization file Form 8886-T?		
<b>6 a</b>	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?		X
<b>6 b</b>	If 'Yes,' did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?		
<b>7</b>	<b>Organizations that may receive deductible contributions under section 170(c).</b>		
<b>7 a</b>	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?		X
<b>7 b</b>	If 'Yes,' did the organization notify the donor of the value of the goods or services provided?		
<b>7 c</b>	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?		X
<b>7 d</b>	If 'Yes,' indicate the number of Forms 8282 filed during the year.		
<b>7 e</b>	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?		X
<b>7 f</b>	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?		X
<b>7 g</b>	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?		
<b>7 h</b>	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?		
<b>8</b>	<b>Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations.</b> Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year?		
<b>9</b>	<b>Sponsoring organizations maintaining donor advised funds.</b>		
<b>9 a</b>	Did the organization make any taxable distributions under section 4966?		
<b>9 b</b>	Did the organization make a distribution to a donor, donor advisor, or related person?		
<b>10</b>	<b>Section 501(c)(7) organizations.</b> Enter:		
<b>10 a</b>	Initiation fees and capital contributions included on Part VIII, line 12.		
<b>10 b</b>	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.		
<b>11</b>	<b>Section 501(c)(12) organizations.</b> Enter:		
<b>11 a</b>	Gross income from members or shareholders.		
<b>11 b</b>	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them).		
<b>12 a</b>	<b>Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?		
<b>12 b</b>	If 'Yes,' enter the amount of tax-exempt interest received or accrued during the year.		
<b>13</b>	<b>Section 501(c)(29) qualified nonprofit health insurance issuers.</b>		
<b>13 a</b>	Is the organization licensed to issue qualified health plans in more than one state?		
<b>Note.</b> See the instructions for additional information the organization must report on Schedule O.			
<b>13 b</b>	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.		
<b>13 c</b>	Enter the amount of reserves on hand.		
<b>14 a</b>	Did the organization receive any payments for indoor tanning services during the tax year?		X
<b>14 b</b>	If 'Yes,' has it filed a Form 720 to report these payments? If 'No,' provide an explanation in Schedule O.		

**Part VI Governance, Management and Disclosure** For each 'Yes' response to lines 2 through 7b below, and for a 'No' response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI

☒**Section A. Governing Body and Management**

- 1 a** Enter the number of voting members of the governing body at the end of the tax year. If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O
- 1 b** Enter the number of voting members included in line 1a, above, who are independent
- 2** Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee or key employee?
- 3** Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors or trustees, or key employees to a management company or other person?
- 4** Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? SEE SCH O
- 5** Did the organization become aware during the year of a significant diversion of the organization's assets?
- 6** Did the organization have members or stockholders? SEE SCHEDULE O
- 7 a** Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? SEE SCHEDULE O
- b** Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or other persons other than the governing body?
- 8** Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:
- a** The governing body?
- b** Each committee with authority to act on behalf of the governing body?
- 9** Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If 'Yes,' provide the names and addresses in Schedule O

	Yes	No
<b>1 a</b>		25
<b>1 b</b>		25
<b>2</b>		X
<b>3</b>		X
<b>4</b>	X	
<b>5</b>		X
<b>6</b>	X	
<b>7 a</b>	X	
<b>7 b</b>		X
<b>8 a</b>	X	
<b>8 b</b>	X	
<b>9</b>		X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

- 10 a** Did the organization have local chapters, branches, or affiliates?
- b** If 'Yes,' did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes?
- 11 a** Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form?
- b** Describe in Schedule O the process, if any, used by the organization to review this Form 990 SEE SCHEDULE O
- 12 a** Did the organization have a written conflict of interest policy? If 'No,' go to line 13
- b** Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts?
- c** Did the organization regularly and consistently monitor and enforce compliance with the policy? If 'Yes,' describe in Schedule O how this was done
- 13** Did the organization have a written whistleblower policy?
- 14** Did the organization have a written document retention and destruction policy?
- 15** Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?
- a** The organization's CEO, Executive Director, or top management official SEE SCHEDULE O
- b** Other officers or key employees of the organization SEE SCHEDULE O
- If 'Yes' to line 15a or 15b, describe the process in Schedule O (See instructions)
- 16 a** Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year?
- b** If 'Yes,' did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and taken steps to safeguard the organization's exempt status with respect to such arrangements?

	Yes	No
<b>10 a</b>		X
<b>10 b</b>		
<b>11 a</b>	X	
<b>12 a</b>	X	
<b>12 b</b>	X	
<b>12 c</b>	X	
<b>13</b>	X	
<b>14</b>	X	
<b>15 a</b>	X	
<b>15 b</b>	X	
<b>16 a</b>		X
<b>16 b</b>		

**Section C. Disclosure**

- 17** List the states with which a copy of this Form 990 is required to be filed OR
- 18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (501(c)(3)s only) available for public inspection. Indicate how you make these available. Check all that apply
- ☒ Own website ☐ Another's website ☐ Upon request ☐ Other (explain in Schedule O)
- 19** Describe in Schedule O whether (and if so, how) the organization makes its governing documents, conflict of interest policy, and financial statements available to the public during the tax year SEE SCHEDULE O
- 20** State the name, physical address, and telephone number of the person who possesses the books and records of the organization:

SOUTHWEST NEIGHBORHOODS INC 7688 SW CAPITOL HWY PORTLAND OR 97219-2457 503-823-4592

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1 a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of 'key employee.'
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☒ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) SEE ATTACHED LIST SEE ATTACHED	0 0							0.	0.	0.
(2)										
(3)										
(4)										
(5)										
(6)										
(7)										
(8)										
(9)										
(10)										
(11)										
(12)										
(13)										
(14)										



**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)					(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee			
(15) _____									
(16) _____									
(17) _____									
(18) _____									
(19) _____									
(20) _____									
(21) _____									
(22) _____									
(23) _____									
(24) _____									
(25) _____									
<b>1 b Sub-total</b>							0.	0.	0.
<b>c Total from continuation sheets to Part VII, Section A</b>							0.	0.	0.
<b>d Total (add lines 1b and 1c)</b>							0.	0.	0.

2 Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization **0**

3 Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? If 'Yes,' complete Schedule J for such individual

	Yes	No
3		X
4		X
5		X

4 For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If 'Yes' complete Schedule J for such individual

5 Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If 'Yes,' complete Schedule J for such person

**Section B. Independent Contractors**

1 Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year.

(A) Name and business address	(B) Description of services	(C) Compensation

2 Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization **0**

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
<b>CONTRIBUTIONS, GIFTS, GRANTS AND OTHER SIMILAR AMOUNTS</b>	1 a Federated campaigns	1 a				
	b Membership dues	1 b				
	c Fundraising events	1 c				
	d Related organizations	1 d				
	e Government grants (contributions)	1 e	365,947.			
	f All other contributions, gifts, grants, and similar amounts not included above	1 f	12,880.			
	g Noncash contributions included in lines 1a-1f \$					
	h Total. Add lines 1a-1f		378,827.			
<b>PROGRAM SERVICE REVENUE</b>	Business Code					
	2 a					
	b					
	c					
	d					
	e					
	f All other program service revenue					
	g Total. Add lines 2a-2f					
<b>OTHER REVENUE</b>	3 Investment income (including dividends, interest and other similar amounts)		18.	18.		
	4 Income from investment of tax-exempt bond proceeds					
	5 Royalties					
	6 a Gross rents	(i) Real (ii) Personal				
	b Less: rental expenses					
	c Rental income or (loss)					
	d Net rental income or (loss)					
	7 a Gross amount from sales of assets other than inventory	(i) Securities (ii) Other				
	b Less: cost or other basis and sales expenses					
	c Gain or (loss)					
	d Net gain or (loss)					
	8 a Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18	a				
	b Less: direct expenses	b				
	c Net income or (loss) from fundraising events					
	9 a Gross income from gaming activities. See Part IV, line 19	a				
	b Less: direct expenses	b				
	c Net income or (loss) from gaming activities					
	10 a Gross sales of inventory, less returns and allowances	a				
	b Less: cost of goods sold	b				
	c Net income or (loss) from sales of inventory					
Miscellaneous Revenue Business Code						
11 a ADVERTISING SALES		4,455.	4,455.			
b RESTITUTION INCOME		293.	293.			
c SWNI SALES	900099	150.	150.			
d All other revenue						
e Total. Add lines 11a-11d		4,898.				
12 Total revenue. See instructions		383,743.	4,916.	0.	0.	

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX

☒ X

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States. See Part IV, line 21.				
2 Grants and other assistance to individuals in the United States. See Part IV, line 22.				
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16.				
4 Benefits paid to or for members.				
5 Compensation of current officers, directors, trustees, and key employees.	0.	0.	0.	0.
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B).	0.	0.	0.	0.
7 Other salaries and wages.	212,981.	212,981.		
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions).	4,270.	4,270.		
9 Other employee benefits.	6,242.	6,242.		
10 Payroll taxes.	19,637.	19,637.		
11 Fees for services (non-employees):				
a Management				
b Legal				
c Accounting	1,125.	1,069.	56.	
d Lobbying				
e Professional fundraising services. See Part IV, line 17.				
f Investment management fees.				
g Other. (If line 11g amt exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)	3,233.	3,111.	122.	
12 Advertising and promotion.				
13 Office expenses.				
14 Information technology.				
15 Royalties.				
16 Occupancy.	12,001.	11,401.	600.	
17 Travel.	398.	378.	20.	
18 Payments of travel or entertainment expenses for any federal, state, or local public officials.				
19 Conferences, conventions, and meetings.				
20 Interest.				
21 Payments to affiliates.				
22 Depreciation, depletion, and amortization.	778.	739.	39.	
23 Insurance.	10,473.	9,949.	524.	
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a POSTAGE AND SHIPPING	33,414.	33,414.		
b NEWSLETTER	22,144.	22,144.		
c PROGRAM MANAGEMENT	7,000.	7,000.		
d SPECIAL PROJECTS EXPENSE	6,078.	6,078.		
e All other expenses. SEE SCH. O	37,964.	37,253.	711.	
25 Total functional expenses. Add lines 1 through 24e.	377,738.	375,666.	2,072.	0.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>ASSETS</b>	1 Cash — non-interest-bearing	115,131.	1	141,317.
	2 Savings and temporary cash investments		2	
	3 Pledges and grants receivable, net		3	
	4 Accounts receivable, net	19,735.	4	26,424.
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) Complete Part II of Schedule L		6	
	7 Notes and loans receivable, net		7	
	8 Inventories for sale or use		8	
	9 Prepaid expenses and deferred charges		9	918.
	10a Land, buildings, and equipment cost or other basis Complete Part VI of Schedule D	10a 3,990.		
	b Less: accumulated depreciation	10b 1,940.	10c 2,828.	2,050.
	11 Investments — publicly traded securities		11	
	12 Investments — other securities See Part IV, line 11		12	
	13 Investments — program-related See Part IV, line 11		13	
	14 Intangible assets		14	
	15 Other assets. See Part IV, line 11		15	
16 <b>Total assets.</b> Add lines 1 through 15 (must equal line 34)	137,694.	16	170,709.	
<b>LIABILITIES</b>	17 Accounts payable and accrued expenses	8,841.	17	13,266.
	18 Grants payable		18	
	19 Deferred revenue	58,574.	19	80,094.
	20 Tax-exempt bond liabilities		20	
	21 Escrow or custodial account liability Complete Part IV of Schedule D		21	
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L		22	
	23 Secured mortgages and notes payable to unrelated third parties		23	
	24 Unsecured notes and loans payable to unrelated third parties		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D	996.	25	2,061.
	26 <b>Total liabilities.</b> Add lines 17 through 25	68,411.	26	95,421.
<b>NET ASSETS OR FUND BALANCES</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here</b> <input type="checkbox"/> <b>and complete lines 27 through 29, and lines 33 and 34.</b>			
	27 Unrestricted net assets		27	
	28 Temporarily restricted net assets		28	
	29 Permanently restricted net assets		29	
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here</b> <input checked="" type="checkbox"/> <b>and complete lines 30 through 34.</b>			
	30 Capital stock or trust principal, or current funds		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund		31	
	32 Retained earnings, endowment, accumulated income, or other funds	69,283.	32	75,288.
33 <b>Total net assets or fund balances</b>	69,283.	33	75,288.	
34 <b>Total liabilities and net assets/fund balances</b>	137,694.	34	170,709.	

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Form 990 (2013)

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	383,743.
2	Total expenses (must equal Part IX, column (A), line 25)	2	377,738.
3	Revenue less expenses Subtract line 2 from line 1	3	6,005.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	69,283.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	0.
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	75,288.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

- 1 Accounting method used to prepare the Form 990:
- ☐
- Cash
- ☒
- Accrual
- ☐
- Other \_\_\_\_\_

If the organization changed its method of accounting from a prior year or checked 'Other,' explain in Schedule O.

- 2 a Were the organization's financial statements compiled or reviewed by an independent accountant?

If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both

☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis

- b Were the organization's financial statements audited by an independent accountant?

If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both

☐ Separate basis ☐ Consolidated basis ☐ Both consolidated and separate basis

- c If 'Yes' to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?

If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O

- 3 a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?

- b If 'Yes,' did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits

	Yes	No
2 a		X
2 b		X
2 c		
3 a		X
3 b		

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Form 990 (2013)

**SCHEDULE A**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

► Attach to Form 990 or Form 990-EZ.

► Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Open to Public Inspection

Name of the organization

SOUTHWEST NEIGHBORHOODS, INC

Employer identification number

93-0717013

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 ☐ A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E.)
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9 ☐ An organization that normally receives: (1) more than 33-1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions – subject to certain exceptions, and (2) no more than 33-1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box that describes the type of supporting organization and complete lines 11e through 11h.
  - a ☐ Type I
  - b ☐ Type II
  - c ☐ Type III – Functionally integrated
  - d ☐ Type III – Non-functionally integrated
- e ☐ By checking this box, I certify that the organization is not controlled directly or indirectly by one or more disqualified persons other than foundation managers and other than one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**.
- f ☐ If the organization received a written determination from the IRS that is a Type I, Type II or Type III supporting organization, check this box.
- g ☐ Since August 17, 2006, has the organization accepted any gift or contribution from any of the following persons?

- (i) A person who directly or indirectly controls, either alone or together with persons described in (ii) and (iii) below, the governing body of the supported organization?
- (ii) A family member of a person described in (i) above?
- (iii) A 35% controlled entity of a person described in (i) or (ii) above?

	Yes	No
11 g (i)		
11 g (ii)		
11 g (iii)		

h Provide the following information about the supported organization(s)

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization in column (i) listed in your governing document?		(v) Did you notify the organization in column (i) of your support?		(vi) Is the organization in column (i) organized in the U.S.?		(vii) Amount of monetary support
			Yes	No	Yes	No	Yes	No	
(A)									
(B)									
(C)									
(D)									
(E)									
Total									

BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule A (Form 990 or 990-EZ) 2013

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any 'unusual grants'.)	456,948.	372,754.	380,320.	379,090.	378,827.	1,967,939.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						0.
3 The value of services or facilities furnished by a governmental unit to the organization without charge						0.
4 <b>Total.</b> Add lines 1 through 3	456,948.	372,754.	380,320.	379,090.	378,827.	1,967,939.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f).						0.
6 <b>Public support.</b> Subtract line 5 from line 4						1,967,939.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
7 Amounts from line 4	456,948.	372,754.	380,320.	379,090.	378,827.	1,967,939.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources	113.	93.	55.	21.	18.	300.
9 Net income from unrelated business activities, whether or not the business is regularly carried on	580.					580.
10 Other income. Do not include gain or loss from the sale of capital assets. (Explain in Part IV.) SEE PART IV	71.	19,925.	5,246.	143.	443.	25,828.
11 <b>Total support.</b> Add lines 7 through 10						1,994,647.
12 Gross receipts from related activities, etc. (see instructions)					12	13,889.
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2013 (line 6, column (f) divided by line 11, column (f))	14	98.66 %
15 Public support percentage from 2012 Schedule A, Part II, line 14	15	98.68 %
16a <b>33-1/3% support test – 2013.</b> If the organization did not check the box on line 13, and the line 14 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization ▶ <input checked="" type="checkbox"/>		
b <b>33-1/3% support test – 2012.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
17a <b>10%-facts-and-circumstances test – 2013.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part IV how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
b <b>10%-facts-and-circumstances test – 2012.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part IV how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization ▶ <input type="checkbox"/>		
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions ▶ <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal yr beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
1 Gifts, grants, contributions and membership fees received (Do not include any 'unusual grants'.)						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
5 The value of services or facilities furnished by a governmental unit to the organization without charge						
6 Total. Add lines 1 through 5						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
c Add lines 7a and 7b						
8 Public support (Subtract line 7c from line 6.)						

**Section B. Total Support**

Calendar year (or fiscal yr beginning in) ▶	(a) 2009	(b) 2010	(c) 2011	(d) 2012	(e) 2013	(f) Total
9 Amounts from line 6						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
c Add lines 10a and 10b						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.)						
13 Total Support. (Add lines 9, 10c, 11 and 12.)						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

15 Public support percentage for 2013 (line 8, column (f) divided by line 13, column (f))	15	%
16 Public support percentage from 2012 Schedule A, Part III, line 15	16	%

**Section D. Computation of Investment Income Percentage**

17 Investment income percentage for 2013 (line 10c, column (f) divided by line 13, column (f))	17	%
18 Investment income percentage from 2012 Schedule A, Part III, line 17	18	%

- 19a **33-1/3% support tests — 2013.** If the organization did not check the box on line 14, and line 15 is more than 33-1/3%, and line 17 is not more than 33-1/3%, check this box and stop here. The organization qualifies as a publicly supported organization. ▶ ☐
- b **33-1/3% support tests — 2012.** If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33-1/3%, and line 18 is not more than 33-1/3%, check this box and stop here. The organization qualifies as a publicly supported organization. ▶ ☐
- 20 **Private foundation.** If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions. ▶ ☐



Part IV<sup>r</sup>

**Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information.  
(See instructions).

This image shows a full page of white paper with horizontal dashed lines. The lines are evenly spaced and run across the entire width of the page, providing a guide for handwriting practice. There are no margins, text, or other markings on the paper.

**SCHEDULE D  
(Form 990)**

Department of the Treasury  
Internal Revenue Service

Name of the organization

**Supplemental Financial Statements**

► Complete if the organization answered 'Yes,' to Form 990,  
Part IV, lines 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.  
► Attach to Form 990.

► Information about Schedule D (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Open to Public  
Inspection

Employer identification number

SOUTHWEST NEIGHBORHOODS, INC

93-0717013

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.**

Complete if the organization answered 'Yes' to Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year		
2 Aggregate contributions to (during year)		
3 Aggregate grants from (during year)		
4 Aggregate value at end of year		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Part II Conservation Easements.**

Complete if the organization answered 'Yes' to Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply)

<input type="checkbox"/> Preservation of land for public use (e g , recreation or education)	<input type="checkbox"/> Preservation of an historically important land area
<input type="checkbox"/> Protection of natural habitat	<input type="checkbox"/> Preservation of a certified historic structure
<input type="checkbox"/> Preservation of open space	

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

	Held at the End of the Tax Year
a Total number of conservation easements	2 a
b Total acreage restricted by conservation easements	2 b
c Number of conservation easements on a certified historic structure included in (a)	2 c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register	2 d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ►

4 Number of states where property subject to conservation easement is located ►

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, and enforcing conservation easements during the year ►

7 Amount of expenses incurred in monitoring, inspecting, and enforcing conservation easements during the year ► \$

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.**

Complete if the organization answered 'Yes' to Form 990, Part IV, line 8.

1 a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenues included in Form 990, Part VIII, line 1 ► \$

(ii) Assets included in Form 990, Part X ► \$

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items

a Revenues included in Form 990, Part VIII, line 1 ► \$

b Assets included in Form 990, Part X ► \$

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply):

a ☐ Public exhibition

d ☐ Loan or exchange programs

b ☐ Scholarly research

e ☐ Other \_\_\_\_\_

c ☐ Preservation for future generations

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1 a Is the organization an agent, trustee, custodian, or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If 'Yes,' explain the arrangement in Part XIII and complete the following table

	Amount
1 c	
1 d	
1 e	
1 f	

c Beginning balance

d Additions during the year

e Distributions during the year

f Ending balance

2 a Did the organization include an amount on Form 990, Part X, line 21? ☐ Yes ☐ No

b If 'Yes,' explain the arrangement in Part XIII. Check here if the explanation has been provided in Part XIII ☐

**Part V Endowment Funds.** Complete if the organization answered 'Yes' to Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1 a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as:

a Board designated or quasi-endowment ☐ %

b Permanent endowment ☐ %

c Temporarily restricted endowment ☐ %

The percentages in lines 2a, 2b, and 2c should equal 100%.

3 a Are there endowment funds not in the possession of the organization that are held and administered for the organization by:

(i) unrelated organizations

(ii) related organizations

b If 'Yes' to 3a(ii), are the related organizations listed as required on Schedule R?

	Yes	No
3a(i)		
3a(ii)		
3b		

4 Describe in Part XIII the intended uses of the organization's endowment funds

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1 a Land				
b Buildings				
c Leasehold improvements				
d Equipment				
e Other		3,990.	1,940.	2,050.
<b>Total.</b> Add lines 1a through 1e (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				2,050.

BAA

Schedule D (Form 990) 2013

**Part VII Investments – Other Securities.**

N/A

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1) Financial derivatives		
(2) Closely-held equity interests		
(3) Other		
(A) -----		
(B) -----		
(C) -----		
(D) -----		
(E) -----		
(F) -----		
(G) -----		
(H) -----		
(I) -----		
Total. (Column (b) must equal Form 990, Part X, column (B) line 12.)		

**Part VIII Investments – Program Related.**

N/A

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment type	(b) Book value	(c) Method of valuation: Cost or end-of-year market value
(1)		
(2)		
(3)		
(4)		
(5)		
(6)		
(7)		
(8)		
(9)		
(10)		
Total. (Column (b) must equal Form 990, Part X, column (B) line 13.)		

**Part IX Other Assets.**

N/A

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1)	
(2)	
(3)	
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
Total. (Column (b) must equal Form 990, Part X, column (B), line 15.)	

**Part X Other Liabilities.**

Complete if the organization answered 'Yes' to Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25

(a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) CREDIT CARD PAYABLE	2,059.
(3) ROUNDING	2.
(4)	
(5)	
(6)	
(7)	
(8)	
(9)	
(10)	
(11)	
Total. (Column (b) must equal Form 990, Part X, column (B) line 25.)	2,061.

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII ☐

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.** N/A

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total revenue, gains, and other support per audited financial statements		1	
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:			
a	Net unrealized gains on investments	2 a		
b	Donated services and use of facilities	2 b		
c	Recoveries of prior year grants	2 c		
d	Other (Describe in Part XIII )	2 d		
e	Add lines 2a through 2d		2 e	
3	Subtract line 2e from line 1.		3	
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1.			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4 a		
b	Other (Describe in Part XIII )	4 b		
c	Add lines 4a and 4b		4 c	
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)		5	

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.** N/A

Complete if the organization answered 'Yes' to Form 990, Part IV, line 12a.

1	Total expenses and losses per audited financial statements		1	
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:			
a	Donated services and use of facilities	2 a		
b	Prior year adjustments	2 b		
c	Other losses	2 c		
d	Other (Describe in Part XIII )	2 d		
e	Add lines 2a through 2d		2 e	
3	Subtract line 2e from line 1		3	
4	Amounts included on Form 990, Part IX, line 25, but not on line 1			
a	Investment expenses not included on Form 990, Part VIII, line 7b	4 a		
b	Other (Describe in Part XIII.)	4 b		
c	Add lines 4a and 4b		4 c	
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)		5	

**Part XIII Supplemental Information.**

Provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, lines 2d and 4b; and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

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**SCHEDULE O**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

Name of the organization

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

▶ Attach to Form 990 or 990-EZ.

▶ Information about Schedule O (Form 990 or 990-EZ) and its instructions is  
at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2013**

Open to Public  
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Employer identification number

SOUTHWEST NEIGHBORHOODS, INC

93-0717013

**FORM 990, PART III, LINE 4A - PROGRAM SERVICE ACCOMPLISHMENTS**

CITY OF PORTLAND OFFICE OF NEIGHBORHOOD INVOLVEMENT GRANT (ONI)

WE PROVIDE CITIZEN PARTICIPATION SERVICES TO 17 MEMBER NEIGHBORHOOD ASSOCIATIONS

(NA'S), AND TO SOUTHWEST PORTLAND RESIDENTS, SO RESIDENTS MAY EFFECTIVELY PARTICIPATE

IN CIVIC AFFAIRS AND WORK TO IMPROVE THE LIVABILITY AND CHARACTER OF THEIR

NEIGHBORHOODS AND THE CITY. OUR GOAL IS TO ENCOURAGE AND FACILITATE COMMUNICATION

AMONGST COMMUNITY MEMBERS, NEIGHBORHOOD ASSOCIATIONS, AND PUBLIC AND PRIVATE AGENCIES

AND GROUPS.

DURING THE PAST YEAR OUR ORGANIZATION SPONSORED SEVERAL LEADERSHIP TRAININGS. WE

ORGANIZED FREE COMMUNITY EVENTS INCLUDING: MOVIES AND CONCERTS IN THE PARKS;

NEIGHBORHOOD PICNICS; QUARTERLY RECYCLING COLLECTIONS; BOARD ORIENTATION TRAININGS;

MULTNOMAH DAYS STREET FESTIVAL; AND A HALLOWEEN TRICK OR TREAT EVENT. IN ADDITION,

VOLUNTEERS PARTICIPATED ON SEVERAL CITY OF PORTLAND BUDGET ADVISORY COMMITTEES; PARK

MASTER PLANNING EFFORTS, THE BARBUR CONCEPT PLAN, SOUTHWEST CORRIDOR PLAN, AND THE

COMPREHENSIVE PLAN FOR PORTLAND. THE COALITION AND NEIGHBORHOOD ASSOCIATIONS MADE A

SPECIAL EFFORT TO REACH OUT TO EVERY HOUSEHOLD IN OUR AREA WITH MAILINGS OF OUR

MONTHLY NEWSPAPER AND SPECIAL POSTCARD INVITATIONS TO SPECIAL EVENTS.

**FORM 990, PART III, LINE 4D - OTHER PROGRAM SERVICES DESCRIPTION**

OTHER GRANTS AND PROJECTS

SWNI RECEIVED A SPECIAL GRANT OF \$9,500, FOR OUR COMMUNICATIONS COMMITTEE FROM THE

MT HOOD REGULATORY COMMISSION, TO CONTINUE OUR COMMUNICATION EFFORTS TO PRODUCE

OUTREACH VIDEOS FOR OUR WEBSITE. THE FUNDS WILL BE USED IN FY 2014-2015 TO PURCHASE

NEW VIDEO EQUIPMENT.

Name of the organization

SOUTHWEST NEIGHBORHOODS, INC

Employer identification number

93-0717013

**FORM 990, PART III, LINE 4D - OTHER PROGRAM SERVICES DESCRIPTION****BOARDWALK PROJECT- APRIL HILL PARK**

SWNI CONDUCTED SEVERAL FUND RAISING EVENTS IN 2013 TO RAISE FUNDS, AND SECURE A MATCHING GRANT FROM THE METRO COUNCIL (PORTLAND, OREGON), FOR THE COST OF CONSTRUCTING A BOARDWALK, TWO BRIDGES AND A WILDLIFE OBSERVATION PLATFORM IN THE WETLAND AREA OF APRIL HILL PARK. NO MORE THAN \$2,500 WAS RAISED AT ANY SINGLE FUND RAISING EVENT. A MATCHING GRANT WILL BE RECEIVED IN FUTURE YEARS PROVIDED THAT TOTAL FUND RAISING GOALS ARE MET.

**FORM 990, PART V, LINE 3B - REASON FOR NOT FILING FORM 990-T**

SWNI'S NEWSPAPER IS A FREE PUBLICATION WITH A SMALL INCOME FROM ADVERTISING. COST OF PROVIDING OUR FREE MONTHLY NEWSPAPER HAS EXCEEDED ADVERTISING INCOME IN EACH OF THE LAST FIVE YEARS.

**FORM 990, PART VI, LINE 4 - SIGNIFICANT CHANGES TO ORGANIZATIONAL DOCUMENTS**

BOTH THE SWNI BYLAWS AND STANDING COMMITTEE RULES WERE AMENDED TO ELIMINATE PROVISIONS THAT ALLOW STANDING COMMITTEES TO TAKE AUTONOMOUS ACTION. STATE LAW AND INSURANCE COVERAGE REQUIRE THAT DECISIONMAKING AUTHORITY RESIDE WITH THE ELECTED BOARD. PROVISIONS HAVE BEEN ADDED TO ALLOW THE EXECUTIVE COMMITTEE TO TAKE ACTION ON A COMMITTEE RECOMMENDATION IF IT IS NEEDED PRIOR TO THE NEXT BOARD MEETING.

COPIES ATTACHED.

**FORM 990, PART VI, LINE 6 - EXPLANATION OF CLASSES OF MEMBERS OR SHAREHOLDER**

SOUTHWEST NEIGHBORHOODS, INC (SWNI) BOARD OF DIRECTORS CONSISTS OF ONE AUTHORIZED REPRESENTATIVE DELEGATE OR ALTERNATIVE FROM EACH CITY OF PORTLAND RECOGNIZED NEIGHBORHOOD ASSOCIATION, WITHIN THE BOUNDARIES OF SWNI. EACH SWNI MEMBER

Name of the organization

Employer identification number

SOUTHWEST NEIGHBORHOODS, INC

93-0717013

**FORM 990, PART VI, LINE 6 - EXPLANATION OF CLASSES OF MEMBERS OR SHAREHOLDER (CONTINUED)**

NEIGHBORHOOD ASSOCIATION'S BYLAWS STIPULATE HOW THEIR DELEGATE TO THE BOARD WILL BE ELECTED. REPRESENTITIVES ACT AS A LINK BETWEEN THE NEIGHBORHOOD ASSOCIATION AND THE BOARD. IN ADDITION, THE BOARD INCLUDES STANDING COMMITTEE CHAIRS AND FIVE ELECTED EXECUTIVE COMMITTEE OFFICERS.

**FORM 990, PART VI, LINE 7A - HOW MEMBERS OR SHAREHOLDERS ELECT GOVERNING BODY**

NEIGHBORHOOD REPRESENTATIVES:

MEMBER NEIGHBORHOOD ASSOCIATIONS ELECT THEIR BOARD REPRESENTATIVES, AND THE EXISTING BOARD ELECTS NEW OFFICERS, AND THE PRESIDENT APPOINTS STANDING COMMITTEE CHAIRS WITH APPROVAL OF THE BOARD.

TAKE ACCURATE NOTES AND REPORT BACK TO THE NEIGHBORHOOD ASSOCIATION ISSUES AND ACQUIRE FEEDBACK;

ARE RESPONSIBLE FOR THE CORPORATE AFFAIRS OF THE DISTRICT COALITION;

SET POLICY, HIRE STAFF, APPROVE AN ANNUAL BUDGET, AND MONITOR WORK PLANS AND CONTRACTS WITH THE CITY TO ENSURE THAT THE PROGRAM IS ACCOUNTABLE TO THE MEMBER NEIGHBORHOODS SERVED.

THE COALITION BOARD TAKES ACTION ON AREA-WIDE OR CITY-WIDE ISSUES AND ASSISTS OR SUPPORTS THE NEIGHBORHOOD ASSOCIATIONS IN THEIR DISTRICT.

KNOW THE NEIGHBORHOOD'S AND SWNI'S BYLAWS, PLUS OFFICE OF NEIGHBORHOOD INVOLVEMENT STANDARDS AND GUIDELINES.



Name of the organization

SOUTHWEST NEIGHBORHOODS, INC

Employer identification number

93-0717013

**FORM 990, PART VI, LINE 11B - FORM 990 REVIEW PROCESS**

THE FORM 990 IS REVIEWED BY OUR FULL BOARD IN OCTOBER, AND FINAL APPROVAL IS GRANTED BY OUR FINANCE AND EXECUTIVE COMMITTEES IN NOVEMBER (BOARD MEMBERS ARE ROUTINELY INVITED TO PARTICIPATE AT THESE MEETINGS). FINAL COPIES OF THE REPORT ARE THEN POSTED ON THE WEBSITE FOR THE FULL BOARD AND PUBLIC TO VIEW.

**FORM 990, PART VI, LINE 15A - COMPENSATION REVIEW & APPROVAL PROCESS - CEO, TOP MANAGEMENT**

THE SWNI PERSONNEL COMMITTEE MEETS ANNUALLY TO DISCUSS STAFF PERFORMANCE EVALUATIONS, REVIEW POLICIES AND SALARIES AS PART OF OUR BUDGET PROCESS IN APRIL. AFTER A REVIEW OF SALARIES OF OTHER SIMILAR STAFF POSITIONS IN NEIGHBORHOOD COALITION OFFICES AND CITY OF PORTLAND PERSONNEL, THE BOARD VOTED TO GIVE EMPLOYEES A 1.8% COST OF LIVING INCREASE FOR FISCAL 2013-2014.

**FORM 990, PART VI, LINE 15B - COMPENSATION REVIEW & APPROVAL PROCESS - OFFICERS & KEY EMPLOYEES**

THE PROCESS FOR PART VI LINE 15B IS THE SAME AS PART VI LINE 15A. IN ADDITION, THE ORGANIZATION OBTAINED A COPY OF THE MBL GROUP LLC 2011 NONPROFIT SALARY AND BENEFITS SURVEY, WHICH SHOWED OUR EXECUTIVE DIRECTOR (OUR ONLY KEY EMPLOYEE) SALARY FALLS IN THE LOW RANGE OF SALARIES.

**FORM 990, PART VI, LINE 19 - OTHER ORGANIZATION DOCUMENTS PUBLICLY AVAILABLE**

SWNI ORGANIZATIONAL CHART, BYLAWS, ARTICLES OF INCORPORATION (AMENDED APRIL 2013), POLICIES, FINANCIAL STATEMENTS, AND ACTION PLANS ARE AVAILABLE ON THE WEBSITE AT [WWW.SWNI.ORG](http://WWW.SWNI.ORG).

2013

## SCHEDULE A, PART IV - SUPPLEMENTAL INFORMATION PAGE 5

CLIENT 93071701

SOUTHWEST NEIGHBORHOODS, INC

93-0717013

11/16/14

10 13AM

## PART II, LINE 10 - OTHER INCOME

NATURE AND SOURCE	2013	2012	2011	2010	2009
SWNI SALES	\$ 150.	\$ 143.	\$ 248.	\$ 560.	\$ 71.
OTHER INCOME			30.		
INS CLAIM-THEFT LOSS RECOVERY				19,365.	
CASH TO ACCRUAL SECTION 481 ADJUSTMENT			4,968.		
THEFT RESTITUTION	293.				
TOTAL	<u>\$ 443.</u>	<u>\$ 143.</u>	<u>\$ 5,246.</u>	<u>\$ 19,925.</u>	<u>\$ 71.</u>

CLIENT 93071701

SOUTHWEST NEIGHBORHOODS, INC

93-0717013

11/16/14

11:07AM

FORM 990, PART IX, LINE 24E  
OTHER EXPENSES

	(A) TOTAL	(B) PROGRAM SERVICES	(C) MANAGEMENT & GENERAL	(D) FUNDRAISING
BAD DEBTS	360.	342.	18.	
BANK CHARGES	45.	43.	2.	
CORPORATE TAXES & FILING FEES	1,127.	1,071.	56.	
EDUCATION & TRAINING	145.	138.	7.	
EQUIPMENT RENTAL	5,307.	5,041.	266.	
FOOD & ENTERTAINMENT	1,206.	1,146.	60.	
MISCELLANEOUS EXPENSE	100.	95.	5.	
OFFICE SUPPLIES				
PAYROLL SERVICE	1,260.	1,260.		
PRINTING AND PUBLICATIONS	4,416.	4,416.		
PRINTING-NEIGHBORHOOD	3,898.	3,898.		
PROGRAM ADMINISTRATION	5,000.	5,000.		
SMALL EQUIPMENT/SOFTWARE	785.	746.	39.	
SPACE RENTAL				
STAFF SUPERVISION	5,000.	5,000.		
STORAGE-SWNI EQUIPMENT	1,368.	1,299.	69.	
SUBSCRIPTIONS/MEMBERSHIPS	280.	266.	14.	
SUPPLIES	4,108.	4,003.	105.	
TELEPHONE & INTERNET EXPENSE	3,559.	3,489.	70.	
TOTAL	\$ 37,964.	\$ 37,253.	\$ 711.	\$ 0.

## SW NEIGHBORHOODS INC BOARD FY 13-14

Page 1

July 2013 to June 2014

[illegible]



## Southwest Neighborhoods, Inc.

7688 SW Capitol Highway, Portland, OR 97219 (503) 823-4592

[www.swni.org](http://www.swni.org)

### **SWNI Committee Standing Rules** Approved by Board, September 25, 2013

The SWNI Bylaws create standing committees and allow for the SWNI Board to establish special committees as it deems necessary. The committees shall be responsible for the coordination of activities, implementing their adopted action plans, for research and review of issues and proposals, and for recommending actions to be taken by the Board.

#### **Committee Structure**

1. Each neighborhood and business association shall have one authorized representative (committee member) with the right to vote on each standing or special committee. Qualifications for committee members shall be determined by the neighborhood and business associations. Committee members must be members of the neighborhood or business associations they represent. Chairs of committees shall not count as representatives of their neighborhood or business associations.
2. Members of SWNI neighborhood or business associations may serve on committees but without the right to vote unless they are authorized representatives of their neighborhood or business associations.
3. Powers of the committees shall include conducting meetings, facilitating discussion and decision-making, preparing agendas, and ensuring rules and procedures are followed. Chairs serve one year from July 1 to June 30, but may be removed by the SWNI President or Board at any time. Chairs will submit resignations by May 30 of the year of their terms. The names of prospective chairs may be submitted to the SWNI Board for approval in June.
4. A vice-chairman and secretary may be elected by the committee or appointed by the chair.
5. Standing committees have the authority to establish working groups for special purposes, such as research. They must report back to the standing committees on their findings. They do not have decision-making authority. Additional staff and dollar resources for working groups must have Board approval.

#### **Meetings**

1. Committees shall meet at least quarterly and at the call of their chairs or the President.
2. Minutes shall be taken at each meeting and printed copies shall be on file at the SWNI office.
3. Committees shall conduct their business in public according to Robert's Rules of Order.

Empowering citizen action to improve and maintain the livability of Southwest neighborhoods.

4. Three committee members shall constitute a quorum.
5. Committees shall provide that minority reports be heard as requested by committee members.

#### **Committee responsibilities**

1. By May 15 of each year, committees shall develop action plans with short and long term goals each year as part of the SWNI contract/grant, and must make due effort to see that it is fully implemented.
2. Committees are encouraged to maintain a supportive and cooperative stance in relation to the activities, projects, and proposals of other committees. Committee chairs are encouraged to coordinate activities with each other and resolve any differences together to their mutual satisfaction.

#### **Autonomous action**

~~Committees may take autonomous action if the following criteria are met:~~

- ~~1. The action falls within the Board approved action plans for the committee.~~
- ~~2. Nine or more committee members are present for the vote approving the action.~~
- ~~3. The Committee Chair shall notify the SWNI President of the need for the Executive Committee to authorize the Committee's autonomous action. The Executive Committee authorizes the action and so informs the SWNI Board or presents it to the SWNI Board for action.~~

#### **Revisions**

Revisions may be made to these Standing Rules at any SWNI Board meeting provided there has been advance written notice of the proposed revisions.

**REVISED BYLAWS  
SOUTHWEST NEIGHBORHOODS, INC.  
(Approved April 25, 2012)**

**ARTICLE I: NAME**

- Section 1**      The name shall be SOUTHWEST NEIGHBORHOODS, INC. (SWNI). This nonprofit public benefit corporation is organized under Articles of Incorporation adopted by the residents of Southwest Portland.

**ARTICLE II: PURPOSE**

- Section 1**      To encourage, support and coordinate citizen participation in matters affecting the livability of Southwest Portland by providing educational resources and maintaining communication between citizens, neighborhood associations, public agencies and private organizations.
- Section 2**      To encourage and support activity of neighborhood associations in Southwest Portland.
- Section 3**      To provide assistance for activities and projects of neighborhood associations in Southwest Portland upon request.
- Section 4**      To represent the membership of SWNI in matters affecting the livability of Southwest Portland.
- Section 5**      To provide personnel and resources necessary to accomplish the above purposes.

**ARTICLE III: MEMBERSHIP**

- Section 1**      Neighborhood associations formally recognized by the Office of Neighborhood Involvement shall be eligible for membership.

A SWNI member neighborhood association shall hold membership in no other area coalition of neighborhoods.

Applications shall be submitted to and approved by a 2/3 vote of the SWNI Board of Directors present. Such neighborhood associations shall be considered active as long as they continue to provide at least one representative on a regular basis to Board meetings, but in no case will an association be dropped from SWNI without a two-thirds (2/3) vote of the Board.

- Section 2** SWNI does not discriminate against individuals or groups on the basis of race, religion, color, sex, sexual orientation, gender identity, age, disability, legal citizenship, national origin, income, or political affiliation in any of its policies, recommendations, or actions.
- Section 3** SWNI shall not charge dues or membership fees, but may accept voluntary contributions and engage in fundraising.

#### **ARTICLE IV: BOARD OF DIRECTORS**

**Section 1** Corporate Powers

- a. The corporate powers of SWNI shall be exercised by or under the authority of the Board of Directors, and the affairs of the corporation shall be managed under the direction of the Board of Directors. Any right or power of SWNI not specifically delegated to an officer or committee by these bylaws, the Articles of Incorporation, or law is retained by the Board of Directors.
- b. Contracts, grants, obligations, expenditures, solicitations of funds, standing rules, and policies shall be subject to approval of the Board of Directors. The Board shall have authority to buy, sell or encumber real and personal property over and above the approved budget.
- c. The Board shall have the power to create and eliminate paid staff positions by 2/3 vote. Employment or termination shall be approved by 2/3 vote of the board.
- d. The Board shall monitor the membership and progress of all committees.

**Section 2** The Board of Directors shall consist of:

- a. One authorized representative delegate or alternate from each ONI recognized neighborhood association within the boundaries of SWNI;
- b. The chairs of Standing Committees;
- c. The elected officers;
- d. One authorized representative delegate from each ~~B~~business ~~A~~association organized for the purposes of considering and acting upon matters affecting the business community of Southwest Portland. Business association positions on the SWNI Board of Directors shall



not exceed ¼ of the total representative delegates of the neighborhood associations. Applications shall be submitted to and approved by a 2/3 vote of the SWNI Board of Directors present. These directorships shall be reviewed annually by the Executive Committee with a recommendation presented in March to the SWNI Board of Directors.

**Section 3** The term of officers shall be for one year beginning June 1.

**Section 4** Directors shall serve at the pleasure of their respective constituents; ~~except three consecutive unexcused absences shall constitute resignation.~~ An excused absence is an absence with prior notice to the secretary or executive director. The secretary shall notify the neighborhood association president and the delegate in writing after ~~two~~three consecutive unexcused absences.

**Section 5** Board of Director Meetings

- a. The Board of Directors shall meet monthly at a location within the geographic boundaries of SWNI at a time and place to be determined by the Board. The Board shall meet on the fourth Wednesday of the month, unless otherwise ordered by the Board.
- b. Special meetings may be called by the president or by petition of nine members of the Board. Only those matters set forth in the notice may be considered at a special meeting.
- c. Meetings of the Board are subject to the open meeting provisions of the ONI Standards. Board decisions shall be made by the vote of a simple majority of those members voting, except when a 2/3 majority is provided for herein. Abstentions are not counted in calculating any majority. Each Board member is entitled to one vote and nine Board Members shall constitute a quorum. Neither proxies nor absentee voting shall be permitted.
- d. Emergency meetings may be held with 24-hours' notice to the general public and direct notice as timely as practicable to members of the Board and to individuals and news media that have requested notice. The emergency must be described in the minutes and state why the meeting could not be delayed.

**Section 6** A director who is present at a properly called meeting shall be presumed to have assented to any action taken therein unless that director's dissent or abstention is entered in the minutes.

## **ARTICLE V: OFFICERS OF THE BOARD**

- Section 1** The officers of SWNI shall be a President, a First Vice-President, a Second Vice-President, a Recording Secretary, and a Treasurer. These officers shall be residents of, real property owners of, or representatives of a business located in, the coalition boundaries of SWNI. These officers shall perform the duties prescribed by these bylaws and by the parliamentary authority adopted by SWNI.
- Section 2** At the regular board meeting in February a Nominating Committee of three (3) members shall be elected by the SWNI Board. It shall be the duty of the committee to nominate candidates for the offices to be filled at the May SWNI Board meeting. The nominating committee shall report a list of candidates for office at the regular board meeting in April. Before the election at the regular May board meeting additional nominations from Board members shall be permitted. Newly elected officers shall serve for a term of one year beginning June 1.
- Section 3** The election shall take place under unfinished business, unless otherwise ordered by two-thirds vote (2/3) of the Board of Directors.
- Section 4** The officers shall be elected by private ballot to serve for one year, or until their successors are elected. If only one person is nominated for office he or she may be elected by acclamation.
- Section 5** In the event that no candidate receives a majority, additional ballots shall be taken as needed. Any candidate who receives fewer than 10% of the total votes cast and the candidate who receives the fewest votes shall be eliminated for successive ballots until one candidate receives a majority. In the event of a tie between two remaining candidates, the presiding officer shall vote to break the tie; provided, however, that if the presiding officer is one of the candidates in the tie, the tie shall be broken by the officer next in line to preside and who is not a candidate in the tie.
- Section 6** The Executive Committee may remove, with approval of the Board, any officer, with or without cause. Notice of the proposed removal shall be on both the Executive Committee and Board agendas without the name of the officer to be considered for removal.
- Section 7** In the event of a vacancy in an office, the executive committee shall forthwith fill such vacancy by naming one person with approval of the Board.

## **ARTICLE VI: DUTIES OF OFFICERS**

- Section 1** The President shall have the following responsibilities:

- a. Preside at all meetings of the general membership, the Board and the Executive Committee. The presiding officer shall not vote except to break a tie.
- b. Be the chief executive officer of SWNI and be responsible to the Board for the daily affairs of the organization.
- c. Have the authority, with the approval of two thirds (2/3) of the Board, ~~the authority to accept resignations of staff members or to terminate staff members for cause as set forth in the Personnel Policies adopted by the Board.~~
- d. Sign any contract or other instrument, which the Board has authorized to be executed.
- e. Appoint committee chairs with advice and consent of the Executive Committee and subject to Board approval.
- f. Create, with the approval of the Board, special committees to assist in the performance of necessary tasks and projects.
- g. Supervise, in conjunction with the SWNI Executive Committee, SWNI Personnel Committee, and SWNI Board, the duties of the executive director.
- h. To call an emergency meeting of the Board or Executive Committee when, in consultation with staff, the President determines that such a meeting is necessary.
- i. Perform such other duties as prescribed by the Board and by the parliamentary authority adopted by SWNI.

**Section 2**      The first Vice President shall have the following responsibilities:

- a. In the absence or incapacity of the President, exercise the powers and duties of that office.
- b. Serve as Planning and Evaluation coordinator, including responsibility for the SWNI Action Plan for the Office of Neighborhood Involvement.
- c. Organize the orientation and training programs, the Board retreats and other educational activities.

- d. Perform such other duties as prescribed by the Board and by the parliamentary authority adopted by SWNI.

**Section 3** The Second Vice President shall have the following responsibilities:

- a. In the absence or incapacity of the President and the First Vice President, exercise the powers and duties of that office.
- b. Serve as events coordinator for events such as the Volunteer Recognition event and other functions.
- c. Perform such other duties as prescribed by the Board and by the Parliamentary authority adopted by SWNI.

**Section 4** The Recording Secretary shall have the following responsibilities:

- a. Keep an accurate record of the meetings of the Board and of the Executive Committee. Minutes of all SWNI meetings shall be available within 10 working days. These minutes shall include the following:
  - 1. Names of members present;
  - 2. Motions, proposals and resolutions offered and their disposition;
  - 3. Results of all votes, in a manner that identifies how each person voted;
  - 4. The substance of any topic discussed.
- b. ~~Ensure that a~~All records of SWNI as defined by the ONI Standards ~~shall be~~are available for public inspection and copying during normal business hours. ~~Minutes of all SWNI meetings shall be available within 10 working days.~~
- ~~a-c.~~ Inform the respective neighborhood association and delegate when its representative delegate has had ~~two~~three consecutive unexcused absences.
- ~~b-d.~~ Perform such other duties as prescribed by the Board and by the parliamentary authority adopted by SWNI.

**Section 5** The treasurer shall have the following responsibilities:

- a. Prepare the annual budget for adoption by the Board in compliance with the Office of Neighborhood Involvement's contract or grant.

- b. Keep accounts of financial transactions of SWNI to be reported monthly to the Board.
- c. Reconcile monthly bank statements and oversee accounts and payroll as directed by the Board.
- d. Serve as chair of the finance committee.
- e. Perform such other duties as prescribed by the Board and by the parliamentary authority adopted by SWNI.

## **ARTICLE VII: EXECUTIVE COMMITTEE**

- Section 1**      There shall be an Executive Committee of the Board, which shall consist of the five officers.
- Section 2**      The Executive Committee shall schedule regular meetings each month and at other times the President may designate or by majority of the Executive Committee members. Decisions shall be by majority vote. All meetings of the Executive Committee shall be held within the geographic boundaries of SWNI. Meetings are subject to the ONI Standards. At least six days written notice shall be provided for any meeting. Neither proxies nor absentee voting shall be permitted. A quorum shall consist of three members.
- Section 3**      The Executive Committee shall:
- a. Take minutes at each meeting and all actions taken under consideration shall be reported to the Board.
  - b. Review business association memberships and report to the Board in March of each year.
  - c. Set the agenda for the meetings of the SWNI Board.
  - d. Monitor progress and membership of committees.
  - e. Maintain legal requirements to assure nonprofit status.
  - f. Assist the President with general supervision and administration of the business of SWNI. Provide advice and consent to the president in selecting committee chairs.

- g. Hold emergency meetings on the call of the President and with 24-hours' notice to the general public and direct notice as timely as practicable to members of the Board and to individuals and news media that have requested notice. The emergency must be described in the minutes and state why the meeting could not be delayed. In emergency session, the Executive Committee shall exercise all corporate powers and authority to manage the affairs of SWNI in addressing the emergency matters for which the meeting was called.

## ARTICLE VIII: STANDING AND SPECIAL COMMITTEES

- Section 1** The board may establish standing and special committees, as it deems necessary. The board shall establish Standing Rules that set forth the responsibilities and authorities of the committees. The committees shall be responsible for implementing their adopted action plan.
- Section 2** All committee recommendations and decision must be presented in a timely manner and ratified by a majority of the Board. ~~Each committee is permitted to take autonomous action if it acts in conformity with criteria previously approved by the Board.~~ If action is needed prior to the next Board meeting, the Committee Chair shall notify the SWNI President of the need for an emergency meeting of the Executive Committee to authorize the Committee's action. The Executive Committee shall authorize the action, amend the action, or reject the action, and shall so inform the SWNI Board at its next meeting.
- Section 3** All committees shall be subject to the provisions of these bylaws.
- Section 4** Any person may serve on a SWNI standing committee. However; only one authorized representative from each ONI recognized Neighborhood and Business Association within the boundaries of SWNI is eligible to have his/her vote recorded. The SWNI Board may approve additional committee voting members by request from the committee.
- Section 5** The president shall appoint, after consultation with the Executive Committee, and with approval of the Board, a chair for each committee.
- Section 6** The Executive Committee may remove, with approval of the Board, any committee chair, with or without cause.
- Section 7** Each standing committee shall meet at least quarterly and at the call of its chair or of the President. Meetings shall be open to the public and are subject to the ONI Standards.

## ARTICLE IX: ORGANIZATIONAL COMMITTEES

### Section 1 The Organizational Committees shall be:

- a. Finance Committee: The Finance Committee shall be chaired by the Treasurer of the Board. The Finance Committee shall maintain the financial accountability of SWNI, prepare the SWNI budget for Board review and approval in compliance with the Office of Neighborhood Involvement's contract or grant, perform financial audits, make reports and prepare an annual financial statement, and establish standards under which SWNI may act as a fiscal sponsor or provide fiscal administrative services.
- b. Personnel Committee: The Personnel Committee shall be chaired by a member of the Board. The Personnel Committee shall formulate and review personnel policies, job descriptions, and hiring policies for Board approval. This committee shall review the SWNI Executive Director's performance and accountability annually. They shall also establish a hiring committee when needed (subject to approval from the board); review job applications; and make recommendations to the Board.
- c. Communications Committee: The Communications Committee shall be chaired by a member of the Board. The Communications Committee shall facilitate better communications through SWNI resources and respond to the communication needs of neighborhoods.

### Section 2 Each Organizational Committee shall meet at the call of its chair or of the president. Meetings shall be open to the public and are subject to the ONI Standards, except that the Personnel Committee may meet in executive session only when necessary to preserve confidentiality of employee records. A quorum for organizational committees shall consist of the chair and two additional members.

## ARTICLE X: CONFLICTS OF INTEREST; SWNI PROPERTY

### Section 1 Conflicts of Interest

For purposes of this Article, the term "interest" shall include personal interest, interest as director, officer, member, stockholder, shareholder, partner, manager, trustee or beneficiary of any concern and having an immediate family member, such as a spouse, domestic partner, parent, child, or sibling who holds such an interest in any concern. The term

"concern" shall mean any corporation, association, trust, partnership, limited liability entity, firm, person or other entity other than SWNI.

- a. No Director, Officer, Standing or Organizational Committee Chair, or Employee of SWNI shall be disqualified from holding any office, position, or employment in or with SWNI by reason of any interest in any concern.
- b. A Director, Officer, Standing or Organizational Committee Chair, or Employee of SWNI shall not be disqualified from dealing, either as vendor, purchaser or otherwise, or contracting or entering into any other transaction with SWNI. No transaction of SWNI shall be voidable by reason of the fact that any Director, Officer, Standing or Organizational Committee Chair, or Employee of SWNI has an interest in the concern with which such transaction is entered into, provided:
  - 1. The interest of such Director, Officer, Standing or Organizational Committee Chair, or Employee is fully disclosed to the SWNI Board, in writing, prior to any decision by SWNI to enter into a transaction.
  - 2. Such transaction is duly approved by a majority of the board of directors not so interested or connected as being in the best interests of SWNI.
  - 3. Payments to an interested Director, Officer, Standing or Organizational Committee Chair, or Employee are reasonable and do not exceed fair market value.
  - 4. No interested Director, Officer, Standing or Organizational Committee Chair, or Employee may vote or lobby on the matter or be counted in determining the existence of a quorum at the meeting at which such transaction may be authorized.
  - 5. The minutes of meetings at which such votes are taken shall record such disclosure, abstention, and detailed rationale for approval.
- c. All provisions of Section 1 of Article X apply to votes taken within any Standing Committee or Organizational Committee.

## **Section 2      SWNI Property**

- a.** No SWNI funds shall be expended for the maintenance of any tangible or intangible property owned, titled, registered to or held in the name of any entity other than SWNI, including but not limited to any



Director, Officer, Standing or Organizational Committee Chair, or Employee. This does not apply to expense reimbursements made pursuant to SWNI's expense reimbursement policy.

- b. All property, tangible or intangible, including but not limited to supplies, tools, computer software, books, and other physical things of any sort or nature purchased with SWNI funds shall inure solely to the benefit of, and actual or constructive possession of SWNI, and not inure to the benefit of, or, other than temporarily, remain in the actual or constructive possession of any Director, Officer, Standing or Organizational Committee Chair, or Employee.

### **Section 3**      Acknowledgment of Conflict of Interest and SWNI Property Policy

Each Director, Officer, Standing or Organizational Committee Chair, or Employee of SWNI shall:

- a. Within thirty (30) days of becoming a Director, Officer, Standing or Organizational Committee Chair, or Employee of SWNI, sign a copy of SWNI's Acknowledgment Of Conflicts of Interest and SWNI Property Form and file it with SWNI's Executive Director, who shall maintain it in SWNI's records in accordance with SWNI's Document Management Policy.
- b. Annually, between June 1 and June 30 of each year, each Director, Officer, Standing or Organizational Committee Chair, or Employee, sign an additional copy of SWNI's Acknowledgment Of Conflicts of Interest and SWNI Property Form and file it with SWNI's Executive Director, who shall maintain same in SWNI's records. Failure to sign and file such form as set forth in subsection a. above shall operate as a resignation by the Director, Officer, Standing or Organizational Committee Chair, or Employee of that position with SWNI.

## **ARTICLE XI: GRIEVANCES AGAINST SWNI**

**Section 1**      Dialogue and mediation: Individuals and groups are encouraged to reconcile differences, whether inside or outside the scope of these grievance procedures, through one-on-one dialogue or mediation.

**Section 2**      Eligibility to Grieve: Any person or group may initiate a grievance against SWNI by submitting a grievance in writing to the Board. Grievances are limited to complaints that the grievant has been harmed by a violation of the ONI Standards or these bylaws that has directly affected the outcome of a decision of SWNI. Grievances must be submitted within 45 business days of the alleged violation.

**Section 3** If the next regularly scheduled Board meeting occurs more than fourteen days after receipt of the grievance, the President shall call forthwith a special meeting of the Board. The Board shall elect a Dispute Resolution Committee, which shall review the grievance, gather information, and make a timely recommendation to the Board. The Board shall render a final decision within 60 calendar days from the date the grievance was received. Deliberations by the Dispute Resolution Committee on a recommendation and by the Board on a decision may be held in executive session.

## **ARTICLE XII: APPEALS OF GRIEVANCES TO SWNI**

**Section 1** Dialogue and mediation: Individuals and groups are encouraged to reconcile differences, whether inside or outside the scope of these grievance procedures, through one-on-one dialogue or mediation.

**Section 2** Eligibility to Appeal: Decisions on grievances rendered by member neighborhood associations of SWNI may be appealed by the grievant to SWNI by submitting an appeal in writing to the Board. Appeals must be submitted within 14 business days of the neighborhood association decision.

**Section 3** If the next regularly scheduled Board meeting occurs more than fourteen days after receipt of the appeal, the President shall call forthwith a special meeting of the Board. The Board shall elect a Dispute Resolution Committee, which shall review the appeal, gather information, and make a timely recommendation to the Board. The Board shall render a final decision within 60 calendar days from the date the appeal was received. Deliberations by the Dispute Resolution Committee on a recommendation and by the Board on a decision may be held in executive session.

## **ARTICLE XIII: WHISTLEBLOWERS**

**Section 1** Complaints

- a. If a SWNI officer, director, employee or volunteer should discover information leading her or him to believe that a wrongdoing or illegal or unethical behavior has occurred in SWNI, he or she shall report this information to the President. If the President is not available or is implicated in the alleged wrongdoing, he or she shall report the information to another Board officer.

- b. The President or Board officer shall conduct an investigation. Reports of alleged violations will be kept confidential to the extent possible, consistent with the need to conduct an investigation. Appropriate corrective action will be taken if warranted by the results of the investigation.

## **Section 2      Retaliation**

- a. It is SWNI's policy to protect from retaliation and discrimination any person who in good faith:
  - 1. Refused to participate in any alleged civil or criminal violation of any federal or state law, or city ordinance; reported to law enforcement or other officials of federal, state or local government any information that the person believed to be evidence relating to the alleged commission of or possible commission of any civil or criminal violation; or initiated, testified or aided in proceedings related to the foregoing.
  - 2. Initiated or aided in civil and/or criminal proceedings;
  - 3. Refused to engage in a violation of a governmental administrative regulation; reported any information related to a violation of governmental administrative regulations; commenced, testified at, aided or participated in a governmental administrative proceeding;
  - 4. Refused to engage in or attempted to stop fraud against SWNI, or gross waste of SWNI's assets, or abuse of SWNI's authority; or
  - 5. Reported other information about wrongdoing, illegal or unethical behavior pursuant to this Whistleblower Policy.
- b. A SWNI officer, director, employee, or volunteer shall not, with intent to retaliate or discriminate, take any action harmful to any person described above, including interference with the lawful employment or livelihood of any person, or damage to the person's reputation.
- c. In the event that a SWNI officer, director, employee or volunteer intends, for any reason, to take any action harmful to any person who has acted as described above, the SWNI officer, director, employee, or volunteer must obtain approval from the SWNI Board prior to taking such action. Such approval must be obtained even if the officer, director, employee or volunteer believes that the person who provided information to the law enforcement authorities or other officials provided untruthful information.

**Section 3** The provisions of this Article of SWNI's Bylaws is separate from, independent of, and in addition to the Grievance provisions set forth in these bylaws.

**Section 4** Acknowledgment of Provisions

Each SWNI officer, director, employee or volunteer shall:

- a. Within thirty (30) days of becoming a SWNI officer, director, or employee, sign a copy of SWNI's Acknowledgment Of Whistleblower Policy form and return it to SWNI's Executive Director, who shall maintain it in SWNI's records.
- b. Annually, between June 1 and June 30 of each year, sign an additional copy of SWNI's Acknowledgment Of Whistleblower Policy and return it to SWNI's Executive Director, who shall maintain it in accordance with SWNI's Document Management Policy.

The failure or refusal of any SWNI officer, director, or employee to sign and file the Acknowledgment Of Whistleblower Policy Form as set forth in subsections a. and b. above shall operate as a resignation by the SWNI officer, director, or employee of that person's position with SWNI.

**ARTICLE XIV: PARLIAMENTARY AUTHORITY**

**Section 1** The rules contained in the most recent edition of Robert's Rules of Order, Newly Revised shall be the parliamentary authority in all cases not covered by these bylaws.

**ARTICLE XV: AMENDMENTS TO BYLAWS**

**Section 1** The Board may amend these bylaws in April by a two-thirds vote provided that notice of the proposed amendment has been included in the call for the meeting.

**Adopted April 25, 2012**