



Austin Animal Alliance Development Plan

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August 3, 2018

FYC6421: Nonprofit Organizations
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Section 1: Rationale for Starting the New Nonprofit

Issue Statement

In the field of animal welfare and sheltering, a shelter or community is termed “no kill” when greater than 90% of the animals entering the shelter come out alive through adoption, transfer, or are returned to their owners. In most communities throughout the United States, it is the unfortunate reality that many animals are euthanized in the shelter; some of these animals may have medical or behavioral conditions, or they may be euthanized simply for lack of space to house them. Austin, Texas has been a no kill city since 2011; Austin Animal Center (AAC) is the largest municipal animal shelter that has obtained no kill status in the United States (Austin Animal Center, 2016). In order to maintain this no kill status, the shelter often provides advanced medical care to the majority of the animals in need that are relinquished. Just a few years ago, Austin was no different than most communities, and it was not uncommon for those relinquished animals to be euthanized, if their condition required advanced care; even some completely healthy animals were euthanized because there simply was no space. However, while the past several years have been an extraordinary accomplishment for AAC and the Austin community, there is much room for improvement.

The goal of Austin Animal Alliance would be to prevent some of those injured or sick animals from being relinquished to the shelter in the first place by providing an option for affordable veterinary care to the Austin community. Austin Animal Alliance would operate a low cost veterinary hospital where owners would be able to afford to treat their pets and therefore would not have to consider shelter surrender. This would help to remove some burden from AAC and other local sheltering groups, allowing them to provide even better care

for those animals that are relinquished for non-medical reasons, as well as help to keep Austin families together. Austin Animal Alliance could also help to remove some of the direct medical expense burden from AAC by providing an alternative option for care for those animals residing at the shelter.

The Needs Assessment

Statistics show that approximately 20% of the animals previously euthanized in Austin (prior to the city reach no-kill status) were animals with minor medical conditions. Another 20% were critically ill or injured animals; these are animals with more serious medical conditions (Jefferson, 2012). Through the collaboration between various Austin nonprofit organizations and the city shelter, Austin Animal Center has improved the situation so that many of these animals are saved (primarily through additional treatment at AAC or through transfer to Austin Pets Alive!, a nonprofit shelter) rather than euthanized, there still remains the reality that many of these animals are being relinquished to the shelter in the first place because of their medical conditions, rather than remaining in their homes. Considerable expense by the city and by outside organizations is incurred through the treatment of these animals. Limited resources must be stretched to address a wide range of medical and behavioral problems for all the animals that end up at the shelter.

It is an unfortunate reality that the low-income community in Austin simply cannot afford the average cost of private practice veterinary services. Even preventive care is out of reach for many pet owners in Austin and the United States; annually, over 20% of dog owners and nearly 45% of cat owners do not take their animal to see a vet, even for routine care

(Burns, 2013). When it comes to animals that are sick or injured, the costs are even higher. If a family is unable to afford emergency care, their options are limited to relinquishment to the shelter or to simply elect private euthanasia with their private veterinarian. When studies evaluate the reasons that people relinquish or rehome their pets, low-income pet owners are more likely to surrender their pets due to reasons associated with the cost of ownership, including the cost of veterinary care, and low cost veterinary care was selected by 40% of people surveyed as an option that would have helped avoid rehoming or relinquishment to the shelter (Weiss, 2015).

Intake diversion is the term used in shelter medicine for strategies that are designed to keep animals from being surrendered to the shelter and try to find ways to keep them in their homes (or rehome them through alternative paths). Austin's No Kill Implementation Plan was written to provide recommendations to help the city reach no-kill status. One area of these recommendations is regarding reducing the euthanasia of owned animals; to accomplish this, one method recommended is to provide alternative solutions to owners considering surrender (City of Austin Animal Advisory Commission, 2009). If Austin Animal Alliance becomes a reality, rather than simply providing verbal advice, shelter staff would be able to provide a referral to an actual brick-and-mortar clinic where owners might go to receive veterinary care. This report also recommends that the city consider outsourcing options that could be provided at a substantially reduced cost; Austin Animal Alliance could assist in this area, as well.

Additional Rationale

Existing organizations in Austin are working on this specific problem and on the bigger issue of animal welfare in various ways. Emancipet has several clinics in the Austin and surrounding areas that focus on affordable preventive care (vaccines, heartworm prevention, deworming). In 2016, Emancipet merged with Animal Trustees of Austin, a nonprofit which provided various additional services for sick or injured pets; after the merger, however, these additional services were drastically reduced. The ATA clinic became Emancipet's Central Austin Branch, and this clinic now primarily focuses on public heartworm treatments and only a limited number of surgical cases (typically one per day), whereas the previous clinic under ATA was seeing an average of 10-20 additional cases per week. This has left a gap in care for the low income community in Austin. Pet owners that cannot afford care are faced with limited options – they might be lucky enough to find an open appointment at the Emancipet clinic, or they are left with the previously discussed options of relinquishment or euthanasia with their primary care veterinarian.

Austin Animal Alliance can also directly help to extend AAC's resources through voucher programs. AAC often outsources care of animals found on a stray basis or relinquished in poor condition to a local emergency clinic. In 2016, AAC provided care for over 2000 emergency or specialty surgery cases (Austin Animal Services, 2017). Emergency or specialty care at private clinics is expensive; if AAC were to allow those animals to remain in their owner's care by providing a voucher for care at Austin Animal Alliance for even a small portion of those 2000 animals, AAC's limited resources could be extended. For example, the average cost of an emergency surgery for a foreign body causing intestinal obstruction at an Austin emergency clinic

is about \$5,000. At the previous Animal Trustees of Austin clinic, this surgery and aftercare totaled about \$1500 (Davis, 2017). Even if AAC provided a voucher for the full cost of this surgery to the owner, their overall expense would be significantly less, and the animal would remain with its family. Not only is this a much happier ending for the pets and their owners, it also allows AAC to further extend its limited resources and leaves that kennel available for another animal in need. As the population of Austin is growing every day, a quicker turnover of kennel space is going to be needed in order to maintain a high save rate at AAC's current facility.

Long term cases or animals with multiple problems at AAC are often transferred to Austin Pets Alive! (APA) for ongoing care, as part of APA's mission is to focus on those animals that are most difficult to adopt; these animals were traditionally the first to be euthanized in Austin's shelter. It is a great success that the Austin animal welfare community, through collaboration and creative programming, has found the resources to be able to treat these animals rather than euthanize them; it has not been able to address the initial underlying problem, however, that they are being relinquished in the first place because of the lack of accessible and affordable veterinary care. In addition to medical problems, many of these animals are relinquished for behavior problems, despite intensive intake diversion counseling and resources at AAC. Large breed dogs with behavior problems are considered the most difficult group by APA in terms of time and resources, and the challenge remains of being able to save this group. Saving this group of dogs would bring Austin's save rate to over 95% (Jefferson, 2012). If successful in its programs, Austin Animal Alliance has the potential to reduce the number of animals relinquished for medical problems to AAC; this in turn would

reduce the number transferred to APA, therefore allowing them to devote more time and resources to this traditionally difficult group of dogs. The result is not only more pets staying in their homes, but a greater save rate for all of Austin.

If the low-income community's veterinary needs are not addressed, families will continue to relinquish their beloved pets to AAC for care and Austin's save rate will stagnate. Innovative groups and programs have helped Austin to achieve a dramatically improved status in the world of animal welfare, but new approaches are needed to continue this trend of positive change.

Section 1 References

1. *Austin Animal Services 2016 Annual Report*. (2016, January). Retrieved May 21, 2017, from https://www.austintexas.gov/sites/default/files/files/Animal_Services/Monthly_Reports/17-Jan-AAC-2016-AnnualReport-11x8.5.pdf
2. Burns, K. (2013, February). Vital statistics. Retrieved May 21, 2017, from <https://www.avma.org/News/JAVMANews/Pages/130201a.aspx>
3. Davis, Jocelyn. Personal communication. May 23, 2017.
4. Jefferson, E. (2012, March). Using Data to Make Austin a No Kill City. Retrieved May 21, 2017, from <http://www.maddiesfund.org/using-data-to-make-austin-a-no-kill-city.htm>
5. No Kill in Austin. (2016, October). Retrieved June 01, 2017, from <http://www.austintexas.gov/blog/no-kill-austin>

6. *Report to Council Regarding Recommendations*. (2009). Retrieved May 23, 2017, from 4. City of Austin Animal Advisory Commission website:
https://www.austintexas.gov/sites/default/files/files/Animal_Services/aac_report.pdf
7. Weiss, E., Gramann, S., Spain, C. V., & Slater, M. (2015). Goodbye to a Good Friend: An Exploration of the Re-Homing of Cats and Dogs in the U.S. *Open Journal of Animal Sciences*, 05(04), 435-456. doi:10.4236/ojas.2015.54046

Section 2: Organizational Concept

Mission Statement

The mission of Austin Animal Alliance is to provide affordable veterinary care options so that no animals are relinquished to the shelter or otherwise removed from their homes due to expenses or other difficulties associated with veterinary care.

Vision Statement

The vision of Austin Animal Alliance is a no kill community where healthy, well cared-for dogs and cats are a part of every family that wishes to share their home, regardless of the socioeconomic status of those families.

Core Values Statements

Austin Animal Alliance believes that the following set of core values is vital to the successful accomplishment of the organization's mission.

1. Kindness to all, both animals and humans. Austin Animal Alliance believes in treating all beings only in the way in which they wish to be treated.
2. Respect and non-judgement. Austin Animal Alliance believes that both animals and humans can fall on hard times due to factors outside their control, and it is our responsibility to help those in need without judgement, as we might never know or understand all those factors.
3. Transparency. Austin Animal Alliance believes in being honest about our programs, our relationships, expected outcomes for those we serve, and about all available options for care. In line with our second core value (respect and non-judgement), we may not fully

understand the financial or other capabilities of our clients to seek advanced care, once all options and rationale are made clear.

4. Family. Austin Animal Alliance believes that all creatures, human and animal, should be allowed to remain with their family and loved ones, without limitations imposed by economic status.

Broad Organizational Goals

Austin Animal Alliance hopes to launch the following programs over the course of the first five years:

1. Full service veterinary medical clinic open 6 days a week and fully staffed, offering services to the public, including medicine, dentistry, imaging, and surgery.
2. Low-cost medical care for minor illness or injury for low-income qualified clients.
3. Low-cost with payment arrangement options for more extensive medical care or surgery for any public client (income qualification not necessary for larger expenses).
4. Voucher program with Austin Animal Center for full or partial funding for owners attempting to surrender animals for treatable medical conditions
5. Voucher program with Austin Animal Center for heartworm treatment for all dogs that test positive on shelter intake and that are adopted prior to treatment.
6. Voucher program with Austin Animal Center for initial treatment of animals being adopted from AAC with current medical problems requiring a finite amount of care (for example, needing dental extractions or mass removal surgery).

Uniqueness of the Organization

The Austin animal welfare community has made huge progress in the past several years; in 2016, AAC's save rate was over 96% and it is the country's largest municipal shelter that has reached this goal (Austin Animal Services, 2017). This was achieved through progressive programs and partnerships with other Austin organizations, like Austin Pets Alive!. While the possibility of a live outcome for Austin animals is very high, the problem of affordable veterinary care to keep them from being relinquished to the shelter in the first place has not yet been addressed. Emancipet offers basic preventive services, but more advanced services on a larger scale are not offered by any Austin organization. AAC also spends a lot of its limited resources on either outsourcing to specialty hospitals or bringing in specialty surgeons to care for many of the cases that are simply beyond the scope of what the AAC veterinary staff are equipped to handle. An affordable option for some of this care could be provided by Austin Animal Alliance. Austin Animal Alliance could also offer a more rapid adoption option for animals with treatable conditions through voucher programs with AAC. Finally, while limited services exist for low-income families to care for their pets, a comprehensive option is not currently available. The love of animal family members does not know the boundaries of socioeconomic status, and all people, regardless of income, deserve to be able to share their home with beloved pets. They also deserve to have options to provide for them when they become ill or injured; Austin Animal Alliance not only will remove that burden of care from the city shelter, but will promote the human-animal bond and the spirit of the no-kill community by allowing those pets to stay with their families while receiving medical care.

Section 2 References

1. *Austin Animal Services 2016 Annual Report*. (2016, January). Retrieved May 21, 2017, from https://www.austintexas.gov/sites/default/files/files/Animal_Services/Monthly_Reports/17-Jan-AAC-2016-AnnualReport-11x8.5.pdf
2. Burns, K. (2013, February). Vital statistics. Retrieved May 21, 2017, from <https://www.avma.org/News/JAVMANews/Pages/130201a.aspx>
3. Davis, Jocelyn. Personal communication. May 23, 2017.
4. Jefferson, E. (2012, March). Using Data to Make Austin a No Kill City. Retrieved May 21, 2017, from <http://www.maddiesfund.org/using-data-to-make-austin-a-no-kill-city.htm>
5. No Kill in Austin. (2016, October). Retrieved June 01, 2017, from <http://www.austintexas.gov/blog/no-kill-austin>
6. *Report to Council Regarding Recommendations*. (2009). Retrieved May 23, 2017, from 4. City of Austin Animal Advisory Commission website: https://www.austintexas.gov/sites/default/files/files/Animal_Services/aac_report.pdf
7. Weiss, E., Gramann, S., Spain, C. V., & Slater, M. (2015). Goodbye to a Good Friend: An Exploration of the Re-Homing of Cats and Dogs in the U.S. *Open Journal of Animal Sciences*, 05(04), 435-456. doi:10.4236/ojas.2015.54046

Section 3: Governance

Board Development

Broad Roles

It is the responsibility of the Board of Directors of Austin Animal Alliance to broadly guide the organization and ultimately ensure fulfillment of the mission. An effective core leadership is crucial to the success of the organization (Kumuran, 2014). The board will determine and oversee the overall direction and purpose of the organization. The board will also hire and oversee the Executive Director. It is the board's responsibility to ensure that all legal requirements for the organization are met. The board will also ensure a high standard of ethics and transparency in the organization and will provide financial oversight. There is also a fiduciary responsibility associated with board positions.

Characteristics of Board Members

The Board of Directors of Austin Animal Alliance should be a diverse group of individuals; ideally, this diversity includes gender, race, ethnicity, and professional background. Desired professional backgrounds include veterinary medicine, animal welfare and/or sheltering, legal, and accounting or finance. While veterinary and animal welfare leaders on the board will not have direct influence on day-to-day operations, as this will be left to the staff, it is important to have leaders that understand both the Austin animal welfare situation, as well as the national picture. Members of the board with a legal background can help guide legal decision-making and ensure that organization is meeting legal requirements. Those members with a financial background can help to ensure that Austin Animal Alliance is responsibly

financially managed. All members will share the core values that guide the organization and will have a strong belief in the organization's mission.

Duties and Responsibilities

The primary categories of duties of the board include the duty of care, the duty of loyalty, and the duty of obedience (Renz, 2010). Duty of care requires that members exercise appropriate and informed judgement when making decisions; this cannot be accomplished if they are not regularly present and active at meetings. If knowledge in an area of decision-making is lacking, it is that member's responsibility to further their education as needed. Duty of loyalty requires members to act in the best interests of Austin Animal Alliance; this means abstaining from participation in decisions that pose a conflict of interest. Duty of obedience requires members to remain obedient to the mission, by-laws, and policies set forth in the organization, as well as to comply with all laws and standards of practice that apply to the organization.

Other responsibilities of the board include determining the organization's mission and adjusting this as the organization moves forward. The board is responsible for recruiting and hiring the chief executive officer, the Executive Director. They will also regularly evaluate and provide feedback to this person, as well as maintain open communication and provide support. The board will manage the organization's overall resources, including both financial and human capital. They will monitor all programs and ensure that the organization is in compliance with applicable laws. Finally, the board will also be responsible for recruiting new members and will review the board's own performance through annual assessments.

Recruitment and Orientation

The board will be responsible for maintaining the outlined ideal characteristics as they recruit new members. They will be expected to utilize their own personal networks of friends and colleagues, as well as stay involved in the Austin animal welfare community in order to make new contacts that might be potential members. Open positions will also be posted nonprofit websites (for example, volunteermatch.org) and on the Austin Animal Alliance website. Open positions will also be advertised in the organization's online newsletter; organization supporters can be a valuable source for potential board members.

When potential board members are identified, one current board member will establish a relationship with them and will provide information on board responsibilities and expectations. This will provide a personal touch and give insight into what a board position is like, in practice. There will also be a formal recruitment packet that outlines expectations in detail provided to potential members. Recruits that show continued interest in a future position will be required to attend a meeting and can be interviewed by the current board.

New members will be added whenever terms are completed, or when unexpected vacancies occur. The current board will vote on new members. Formal orientation will occur whenever new members are added. This orientation will include portions performed by both the current and outgoing board, as well as orientation with current staff. Topics during orientation will include organizational mission, vision, core values, current programs, organizational structure, clinic operations, important people in the Austin animal welfare community and local government, and specific individual requirements (fiduciary responsibilities, meeting attendance, etc.).

Description of the Board

The board will consist of 8 members and expertise should include backgrounds in veterinary medicine, animal welfare, community leadership, accounting, and legal. Terms will be two years and there will be a limit of three terms. Terms will be staggered so that a maximum of half of the board will change at the start of any new term. Regular meetings will be held once a month and there will be an annual board retreat to enhance board development and facilitate strategic planning, if needed in the current cycle. The president will facilitate the meetings. Each meeting will begin with a call to order and approval of the previous meeting's minutes. A quorum of 60% of members is required to vote on agenda items; if this quorum is not present, meetings will still take place, but no votes will occur. During each meeting, additional topics will always include distribution and discussion of financial reports, fundraising reports, updates on new member recruitment, and any new performance evaluations of the board or of the executive director. The executive director will present updates on current programs, clinic statistics, and any major staffing changes.

Officers will include President, Vice President, and Secretary. Officers are required to represent the organization and provide signatures for legal documents on behalf of the organization. The president will be required to facilitate meetings and so should be efficient and diplomatic at this task. The vice president may stand in for the president if absent and should also share these characteristics. The secretary will be responsible for taking meeting minutes, communicating meetings and events with all members, and will keep a current and complete collection of all required legal documents.

Standing committees will include an Executive Committee, an Audit Committee, and a Board Development Committee. The executive committee is made up of the president, vice president, secretary, and all other committee chairs. This committee is empowered to make emergency decisions if a meeting cannot be held. This committee meets in the week prior to board meetings to set the agenda, address any issues necessary prior to the meeting of the full board, and will perform the executive director evaluation. The audit committee will consist of the board president and two additional members. The Human Resources and Finance director will serve as the staff liaison to this committee. This committee will review financial documents and filings in detail and will meet just prior to the full board meetings. The board development committee will consist of the president, vice president, and at least two other members. This committee will be responsible for evaluating board performance and facilitating opportunities for board members to gain additional knowledge and skills that will increase board effectiveness and efficiency. This committee will also facilitate the annual retreat and will discuss new member recruitment. In most cases, individuals from this committee will be responsible for initial communications with potential members. Additional committees can be created as needed for specific programs, events, or as other needs arise.

Executive Director and Relationship to the Board

The executive director holds the responsibility of managing all staff and operations of the organization. This person is also the public face of the organization. The executive director must be a visionary for the organization, act as an agent for positive change, be a relationship builder between themselves, the staff, the board, and other stakeholders, act to engage new and existing stakeholders, and ensure sound financial management of the organization. The

board is responsible for recruiting and hiring the executive director. The board will also provide regular evaluations of executive director performance. The relationship between the board and the executive director should be a positive one and good communication must be present at all times. Conflicts must be resolved in a professional and respectful manner, with the organization's best interest in mind for all involved parties. The executive director will be consistent in information sharing and updating the board on organization activities and finances. A positive relationship between the board and executive director is crucial to the success of Austin Animal Alliance.

Section 3 References

1. Herman, R.D. (2010). Executive leadership. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 157-175). San Francisco, CA: Jossey-Bass.
2. Kumaran, M. (2014). Module 3: Founding blocks of a nonprofit organization II [PDF document]. Retrieved from <https://ufl.instructure.com/courses/304802/pages/module-3-founding-blocks-of-a-nonprofit-organization-2>
3. Renz, D.O. (2010). Leadership, governance, and the work of the board. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 125-155). San Francisco, CA: Jossey-Bass.

Section 4: Governing Documents

ARTICLES OF INCORPORATION

In compliance with Chapter 617, F.S., (Not for Profit)

ARTICLE I – Austin Animal Alliance

1.01 Name

The name of this corporation shall be Austin Animal Alliance. The business of the corporation may be conducted as Austin Animal Alliance.

ARTICLE II - DURATION

2.01 Duration

The period of duration of the corporation is perpetual.

ARTICLE III - PURPOSE

3.01 Purpose

Austin Animal Alliance is a non-profit corporation and shall operate exclusively for charitable purposes within the meaning of Section 501 (c)(3) of the Internal Revenue Code, or the corresponding section of any future Federal tax code. Austin Animal Alliance's purpose is to provide affordable veterinary care options so that no animals are relinquished to the shelter or otherwise removed from their homes due to expenses or difficulties related to veterinary care; this will be accomplished by the operation of a full-service veterinary clinic that is open to the public and also provides services for local animal shelters and rescues.

3.02 Public Benefit

Austin Animal Alliance is designated as a public benefit corporation.

ARTICLE IV - NON-PROFIT NATURE

4.01 Non-profit Nature

Austin Animal Alliance is organized exclusively for charitable purposes including, for such purposes, the making of distributions to organizations that qualify as exempt organizations under section 501 (c) (3) of the Internal Revenue Code, or corresponding section of any future federal tax code. Austin Animal Alliance is not organized and shall not be operated for the private gain of any person.

4.02 Personal Liability

No officer or director of this corporation shall be personally liable for the debts or obligations of Austin Animal Alliance of any nature whatsoever, nor shall any of the property or assets of the officers or directors be subject to the payment of the debts or obligations of this corporation.

4.03 Dissolution

Upon termination or dissolution of Austin Animal Alliance, any assets lawfully available for distribution shall be distributed to one (1) or more qualifying organizations described in Section 501(c)(3) of the Internal Revenue Code of 1986 (or described in any corresponding provision of any successor statute). The organization to receive the assets of Austin Animal Alliance hereunder shall be selected by the discretion of a majority of the managing body of Austin Animal Alliance.

ARTICLE V - BOARD OF DIRECTORS

5.01 Governance

Austin Animal Alliance shall be governed by its board of directors.

5.02 Initial Directors

The initial officers of the board of directors of the corporation shall be Jocelyn Davis, President, Erin Katribe, Vice President, and Jill Napierala, Secretary. Board members are elected by a majority vote.

ARTICLE VI - MEMBERSHIP

6.01 Membership

Austin Animal Alliance shall have no members. The management of the affairs of the corporation shall be vested in a board of directors, as defined in the corporation's bylaws.

ARTICLE VII - AMENDMENTS

7.01 Amendments Any amendment to the Articles of Incorporation may be adopted by approval of two-thirds (2/3) of the board of directors.

ARTICLE VIII - ADDRESSES OF THE CORPORATION

8.01 Corporate Address

The mailing address of the corporation is: 9836 Childress Drive, Austin TX 78753.

ARTICLE IX - Appointment of registered agent

9.01 Registered Agent

The registered agent of the corporation shall be: Erin Katribe, 9836 Childress Drive, Austin, TX 78753.

ARTICLE X - INCORPORATOR

The incorporators of the corporation are as follow: Erin Katribe, 9836 Childress Drive, Austin, TX 78753

Certificate of Adoption of Articles of Incorporation

We, the undersigned, do hereby certify that the above stated Articles of Incorporation of Austin Animal Alliance were approved by the board of directors on Friday, August 4, 2017 and constitute a complete copy of Articles of Incorporation of Austin Animal Alliance. Names, addresses and signatures of all directors and incorporators.

Acknowledgment of consent to appointment as registered agent I, Erin Katribe, agree to be the registered agent for Austin Animal Alliance as appointed herein.

Registered Agent: *erin Katribe*

Date: August 4, 2017

BYLAWS OF AUSTIN ANIMAL ALLIANCE

ARTICLE I — NAME AND PURPOSE

Section 1 — Name: The name of the organization shall be Austin Animal Alliance. It shall be a nonprofit organization incorporated under the laws of the State of Texas

Section 2 — Purpose: Austin Animal Alliance is organized exclusively for charitable, scientific and education purposes. The purpose of this corporation is: purpose is to provide affordable veterinary care options so that no animals are relinquished to the shelter or otherwise removed from their homes due to expenses or difficulties related to veterinary care; this will be accomplished by the operation of a full-

service veterinary clinic that is open to the public and also provides services for local animal shelters and rescues.

ARTICLE II — MEMBERSHIP

Section 1 — Membership: Membership shall consist of the board of directors.

ARTICLE III — BOARD OF DIRECTORS

Section 1 — Board role, size, and compensation: The board is responsible for overall policy and direction of the association, and delegates responsibility of day-to-day operations to the staff and committees. The board shall have up to 8, but not fewer than 6 members. The board receives no compensation other than reasonable expenses.

Section 2 — Terms: All board members shall serve two-year terms, but are eligible for re-election for up to three consecutive terms.

Section 3 — Meetings and notice: The board shall meet at least monthly, at an agreed upon time and place. An official board meeting requires that each board member have written notice at least two weeks in advance.

Section 4 — Board elections: During the last quarter of each fiscal year of the corporation, the board of directors shall elect Directors to replace those whose terms will expire at the end of the fiscal year. This election shall take place during a regular meeting of the directors, called in accordance with the provisions of these bylaws. Election procedures: New directors shall be elected by a majority of directors present at such a meeting, provided there is a quorum present. Directors so elected shall serve a term beginning on the first day of the next fiscal year.

Section 6 — Quorum: A quorum must be attended by at least sixty percent of board members for business transactions to take place and motions to pass.

Section 7 — Officers and Duties: There shall be three officers of the board, consisting of a president, vice-president and secretary. Their duties are as follows: The president shall convene regularly scheduled board meetings, shall preside or arrange for other members of the Executive Committee to preside at each meeting in the following order: vice-president, secretary. The vice-president shall chair committees on special subjects as designated by the board. The secretary shall be responsible for keeping records of board actions, including overseeing the taking of minutes at all board meetings, sending out meeting announcements, distributing copies of minutes and the agenda to each board member, and assuring that corporate records are maintained.

Section 8 — Vacancies: When a vacancy on the board exists mid-term, the secretary must receive nominations for new members from present board members two weeks in advance of a board meeting. These nominations shall be sent out to board members with the regular board meeting announcement, to be voted upon at the next board meeting. These vacancies will be filled only to the end of the particular board member's term.

Section 9 — Resignation, termination, and absences: Resignation from the board must be in writing and received by the secretary. A board member shall be terminated from the board due to excess absences,

more than two unexcused absences from board meetings in a year. A board member may be removed for other reasons by a three-fourths vote of the remaining directors.

Section 10 — Special meetings: Special meetings of the board shall be called upon the request of the chair, or one-third of the board. Notices of special meetings shall be sent out by the secretary to each board member at least two weeks in advance.

ARTICLE IV — COMMITTEES

Section 1 — Committee formation: The board may create committees as needed, such as fundraising, housing, public relations, data collection, etc. The board Chair appoints all committee chairs.

Section 2 — Executive Committee: The three officers serve as the members of the Executive Committee. Except for the power to amend the articles of incorporation and bylaws, the Executive Committee shall have all the powers and authority of the board of directors in the intervals between meetings of the board of directors, and is subject to the direction and control of the full board.

Section 3 — Audit Committee: The president is the chair of the Finance Committee, which includes two other board members. The Audit Committee is responsible for developing and reviewing fiscal procedures, fundraising plan, and annual budget with staff and other board members. The board must approve the budget and all expenditures must be within budget. Any major change in the budget must be approved by the board or the Executive Committee. The fiscal year shall be the calendar year. Annual reports are required to be submitted to the board showing income, expenditures, and pending income. The financial records of the organization are public information and shall be made available to board members and the public.

ARTICLE V — DIRECTOR AND STAFF

Section 1 — Executive Director: The executive director is hired by the board. The executive director has day-to-day responsibilities for the organization, including carrying out the organization's goals and policies. The executive director will attend all board meetings, report on the progress of the organization, answer questions of the board members and carry out the duties described in the job description. The board can designate other duties as necessary.

ARTICLE VI — AMENDMENTS

Section 1 — Amendments: These bylaws may be amended when necessary by two-thirds majority of the board of directors. Proposed amendments must be submitted to the secretary to be sent out with regular board announcements.

CERTIFICATION

These bylaws were approved at a meeting of the board of directors by a two-thirds majority vote on August 1, 2017.

Application of Determination of Exemption (IRS form 1023)

See appendix B.

Section 5: Program Planning and Evaluation

The Needs Assessment

Statistics show that approximately 20% of the animals previously euthanized in Austin (prior to the city reaching no-kill status) were animals with minor medical conditions. Another 20% were critically ill or injured animals; these are animals with more serious medical conditions (Jefferson, 2012). Through the collaboration between various Austin nonprofit organizations and the city shelter, Austin Animal Center (AAC) has improved the situation so that many of these animals are saved (primarily through additional treatment at AAC or through transfer to Austin Pets Alive!, a nonprofit shelter) rather than euthanized, there still remains the reality that many of these animals are being relinquished to the shelter in the first place because of their medical conditions, rather than remaining in their homes. Considerable expense by the city and by outside organizations is incurred through the treatment of these animals. Limited resources must be stretched to address a wide range of medical and behavioral problems for all the animals that end up at the shelter.

The target community for Austin Animal Alliance (AAA) is the low-income pet-owning community. It is an unfortunate reality that the low-income community in Austin simply cannot afford the average cost of private practice veterinary services. Even preventive care is out of reach for many pet owners in Austin and the United States; annually, over 20% of dog owners and nearly 45% of cat owners do not take their animal to see a vet, even for routine care (Burns, 2013). When it comes to animals that are sick or injured, the costs are even higher. If a family is unable to afford emergency care, their options are limited to relinquishment to the shelter or to simply elect private euthanasia with their private veterinarian. When studies evaluate the reasons that people relinquish or rehome their pets, low-income pet owners are more likely to surrender their pet due to reasons associated with the cost of ownership, including the cost of veterinary care, and low cost veterinary care was selected by 40% of

people surveyed as an option that would have helped avoid rehoming or relinquishment to the shelter (Weiss, 2015).

Intake diversion is the term used in shelter medicine for strategies that are designed to keep animals from being surrendered to the shelter and that keep them in their homes (or rehome them through alternative paths). Austin's No Kill Implementation Plan was written to provide recommendations to help the city reach no-kill status. One area of these recommendations is regarding reducing the euthanasia of owned animals; to accomplish this, one method recommended is to provide alternative solutions to owners considering surrender (City of Austin Animal Advisory Commission, 2009). If Austin Animal Alliance becomes a reality, rather than simply providing verbal advice, shelter staff would be able to provide a referral to an actual brick-and-mortar clinic where owners might go to receive veterinary care. This report also recommends that the city consider outsourcing options so that veterinary care for shelter animals could be provided at a substantially reduced cost; Austin Animal Alliance could assist in this area, as well.

Program goals, objectives, strategies and details, and resources needed

Goal 1: Provide low-cost medical services to the community at a full-service veterinary hospital operated by Austin Animal Alliance.

Objective 1.1: Open a full-service veterinary hospital and be fully staffed and operational, open 6 days a week.

Strategies and details: A full service, low-cost veterinary clinic will be open from 8am to 6pm Monday through Saturday in a central Austin location that is accessible by public transit and pedestrians.

Veterinary staff will provide care for canine and feline patients.

Resources Needed: Two full-time veterinarians, 8 full-time veterinary technicians, 2 part-time client service representatives, volunteers, building (new or remodeling of existing building to be a functional

veterinary clinic), surgical supplies, medical procedure supplies, pharmacy. Funding is needed for initial supplies and for ongoing operational expenses.

Objective 1.2: Provide medical services to the public for 3000 patients during the first 12 months of the clinic's operation.

Strategies and details: Low-income clients may make appointments or visit the clinic on a walk-in basis for veterinary services. Partial or full funding for services may be provided by Austin Animal Alliance based on need. Payment arrangements will be offered for those not qualifying for full funding.

Resources needed: Functional clinic facility and staff (as outlined in objective 1.1), staff to perform income qualification, funding for supplies and operational expenses, funding for financial assistance program.

Goal 2: Implement a voucher program in collaboration with Austin Animal Center to provide care for animals that owners are considering surrendering for medical problems.

Objective 2.1: Distribute 500 vouchers through Austin Animal Center to owners considering surrender for medical problems during the first 12 months of the clinic's operation.

Strategies and details: An intake diversion coordinator at Austin Animal Center will contact Austin Animal Alliance to receive approval on a case-by-case basis for eligible conditions and animals; with approval, a voucher will be issued and the client can bring their pet to Austin Animal Alliance for care.

Resources needed: One veterinary technician at Austin Animal Alliance will be designated to communicate with Austin Animal Center regarding voucher eligibility (based on both the medical case and the current caseload at the clinic), basic training to intake diversion coordinators at Austin Animal Center will be provided regarding identification of possible cases.

Objective 2.2: Follow-up on distributed vouchers and clients to ensure that at least 75% of those considering surrender elected to retain their animal, rather than choosing to surrender it to AAC or another organization.

Strategies and details: Follow-up via phone calls with clients and through data analysis of vouchers issued versus vouchers redeemed will be conducted by Austin Animal Alliance.

Resources needed: Administrative staff person at Austin Animal Alliance to monitor statistics of vouchers/surrender and to perform follow-up calls.

Goal 3: Implement a voucher program in collaboration with Austin Animal Center to provide care for animals being adopted from AAC with known medical conditions requiring continued care.

Objective 3.1: Provide heartworm treatment services for 500 animals that are new adoptions from AAC within the first 12 months of the clinic's operation.

Strategies and details: Any animal that tests positive for heartworm disease at Austin Animal Center will be eligible for this program. Potential adopters are informed that heartworm treatment will be at no cost to them; they should be counseled prior to adoption as to expectations and owner responsibilities during treatment.

Resources needed: Training for adoption counselors at Austin Animal Center, medication and medical supplies specifically for heartworm treatment at the clinic.

Objective 3.2: Provide either surgical or medical treatment for 300 animals that are new adoptions from AAC within the first 12 months of the clinic's operation.

Strategies and details: Like the voucher program to prevent surrender, an AAC staff person must contact Austin Animal Alliance to receive approval to adopt out an animal and provide a voucher for care.

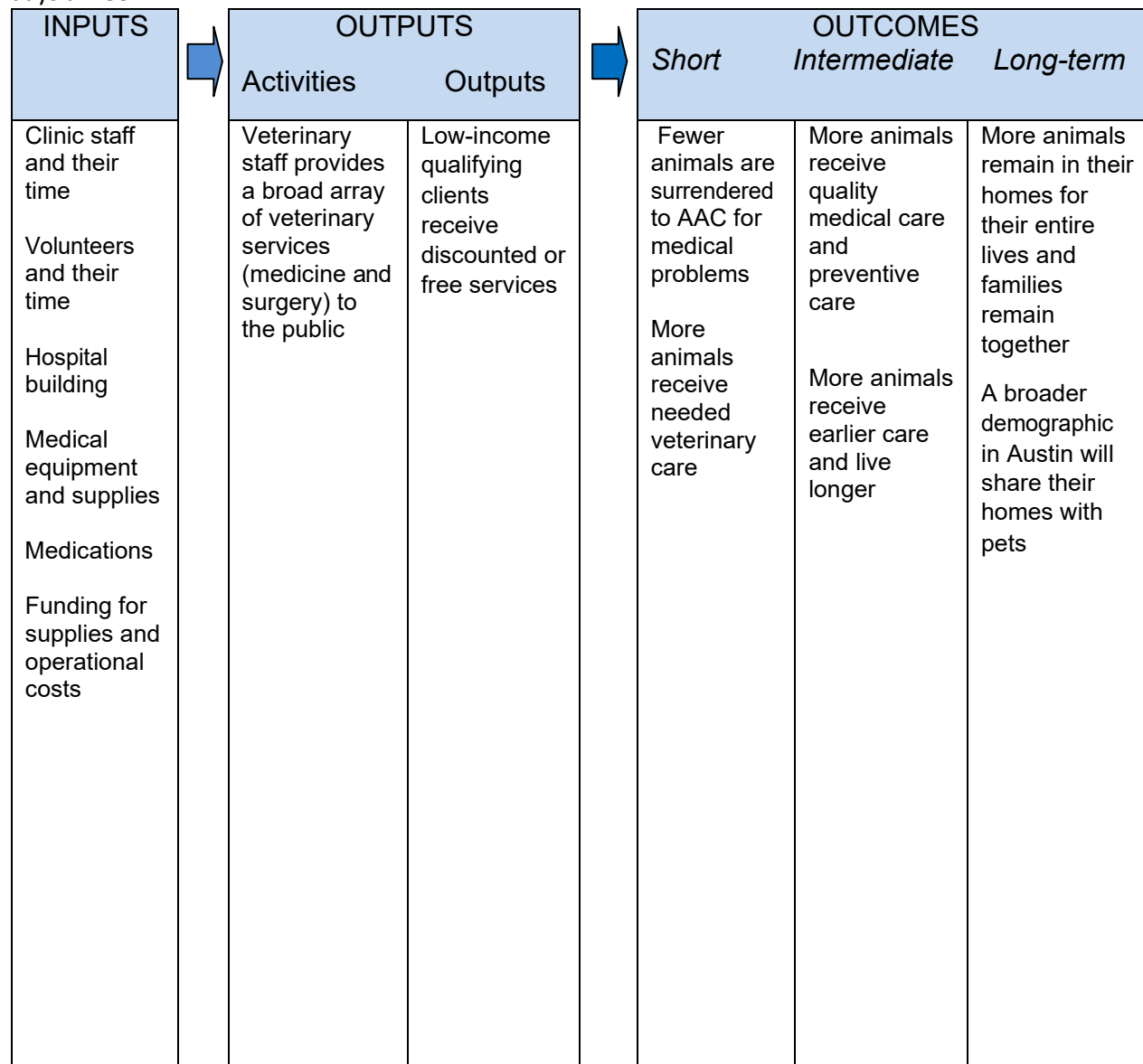
Resources needed: Liaison at Austin Animal Center, one designated veterinary technician at Austin Animal Alliance at the clinic each day to provide approval for vouchers.

Logic Models for Objectives

The following pages contain logic models for each objective. There are three goals and six total objectives.

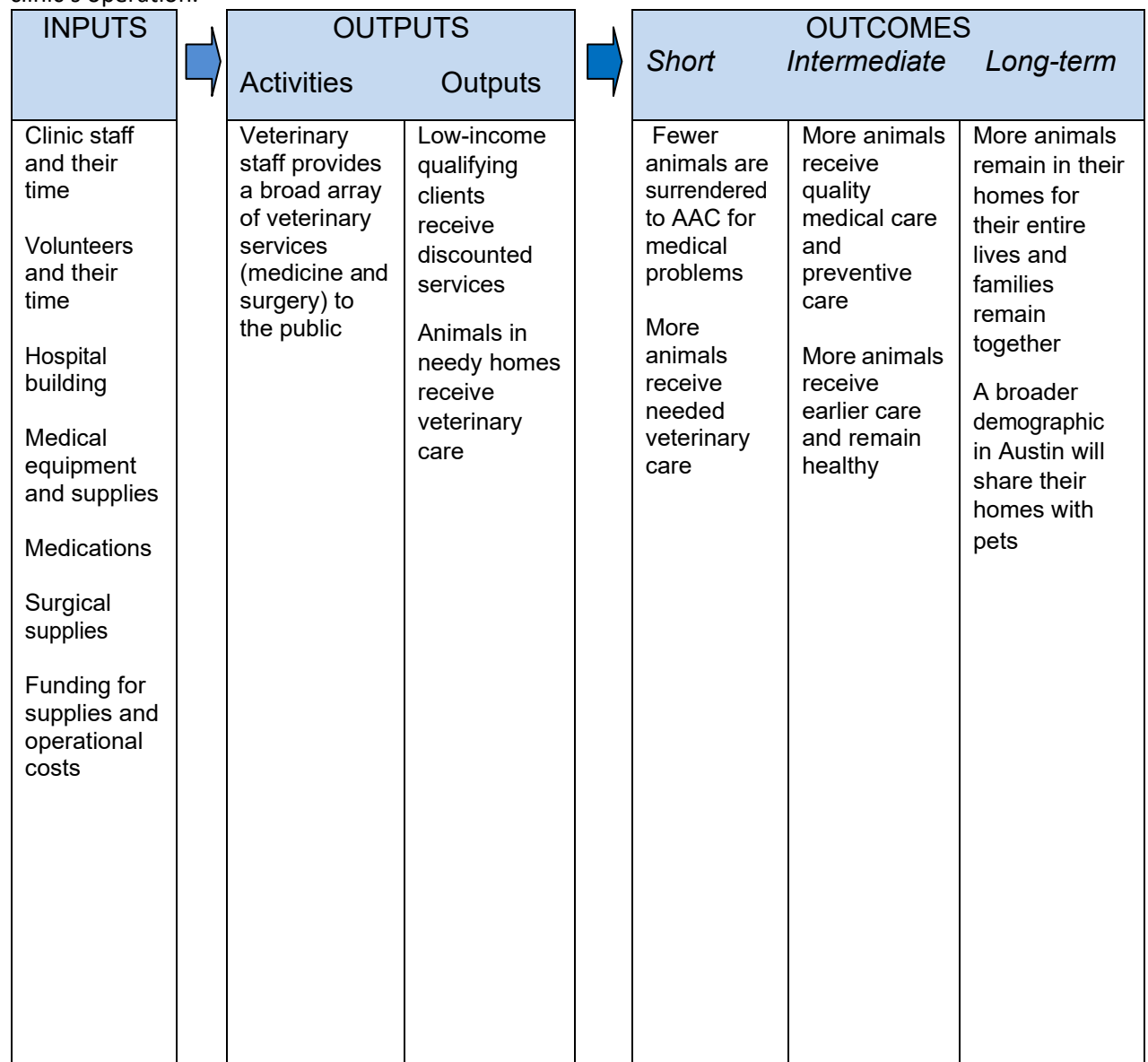
Goal 1: Provide low-cost medical services to the community at a full-service veterinary hospital operated by Austin Animal Alliance.

Objective 1.1: Open a full-service veterinary hospital within 6 months and be fully operational, open 6 days a week.



LOGIC MODEL Worksheet:

Objective 1.2: Provide medical services to the public for 3000 patients during the first 12 months of the clinic's operation.



LOGIC MODEL Worksheet:

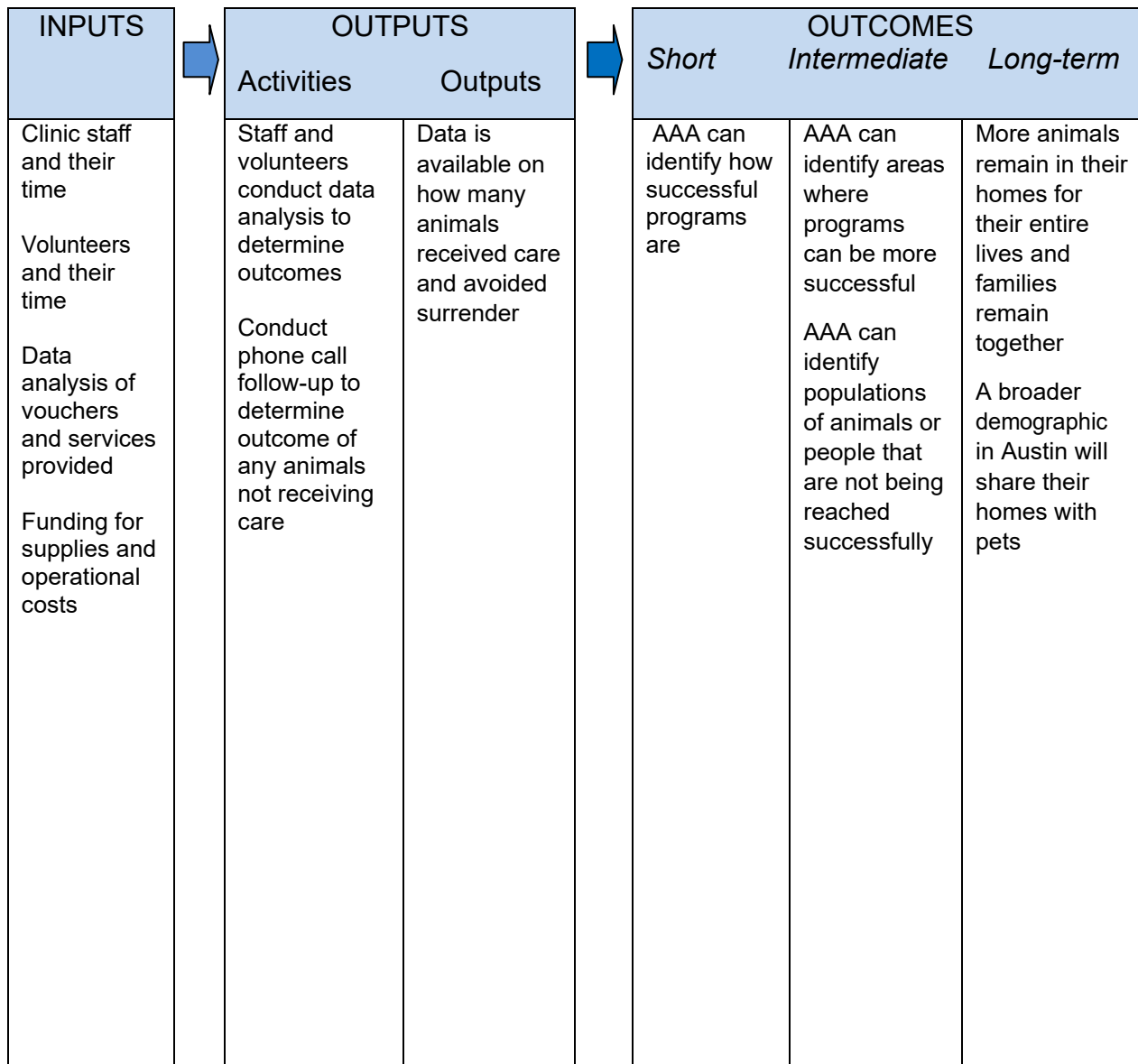
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INPUTS	OUTPUTS		OUTCOMES		
	Activities	Outputs	Short	Intermediate	Long-term
Clinic staff and their time AAC staff and their time Volunteers and their time Hospital building Medical equipment and supplies Medications Surgical supplies Funding for supplies and operational costs	AAC staff provide vouchers to owners considering surrender Veterinary staff at AAA provides a broad array of veterinary services (medicine and surgery) to the public in exchange for vouchers	Animals receive veterinary care rather than surrender to the shelter	Fewer animals are surrendered to AAC for medical problems Animals receive medical care rather than surrender	More animals receive quality medical care AAC spends less of its budget treating surrendered animals AAC has more resources to devote to other programs	More animals remain in their homes for their entire lives and families remain together A broader demographic in Austin will share their homes with pets AAC is able to address more difficult and resource-intensive cases

LOGIC MODEL Worksheet:

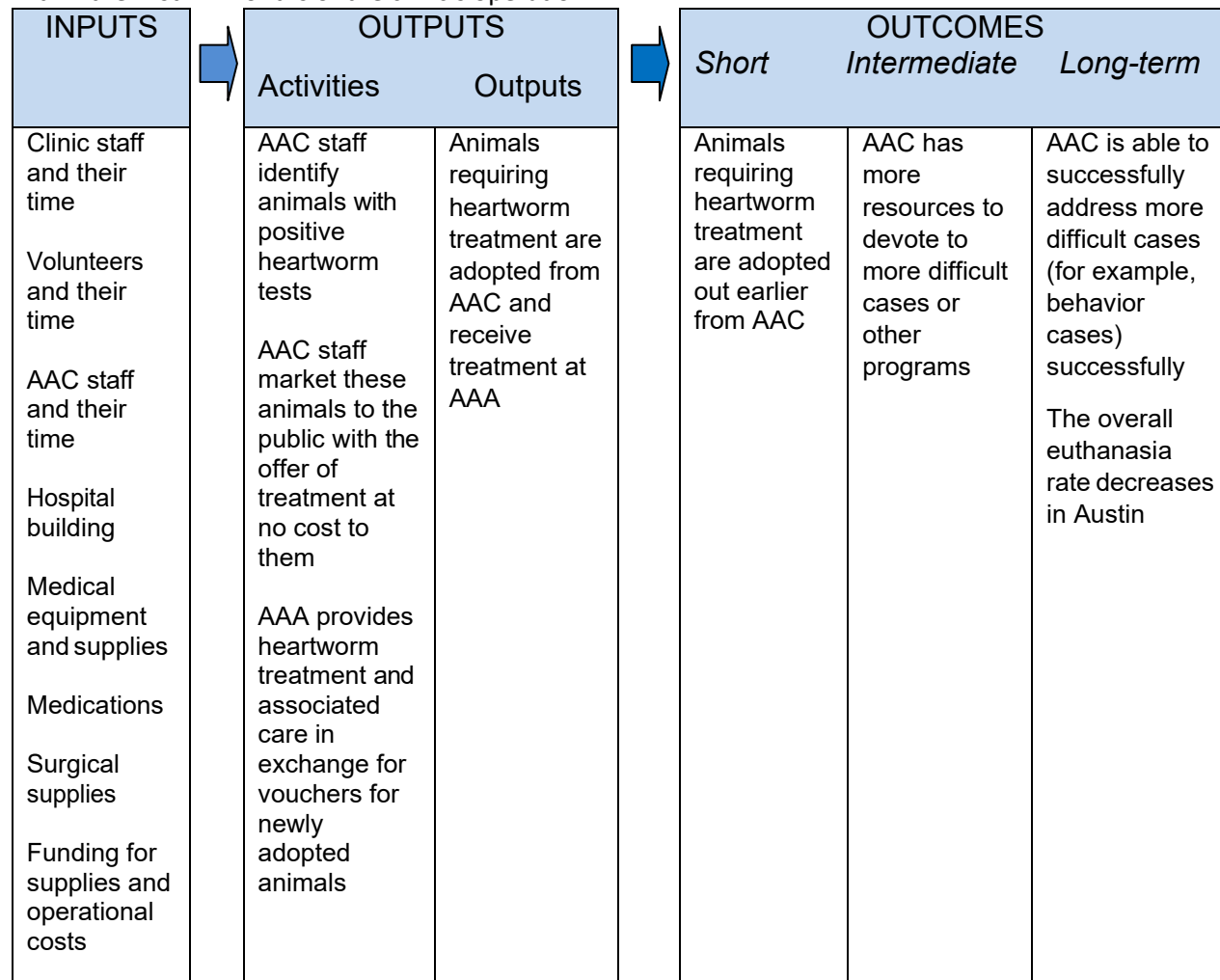
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LOGIC MODEL Worksheet:

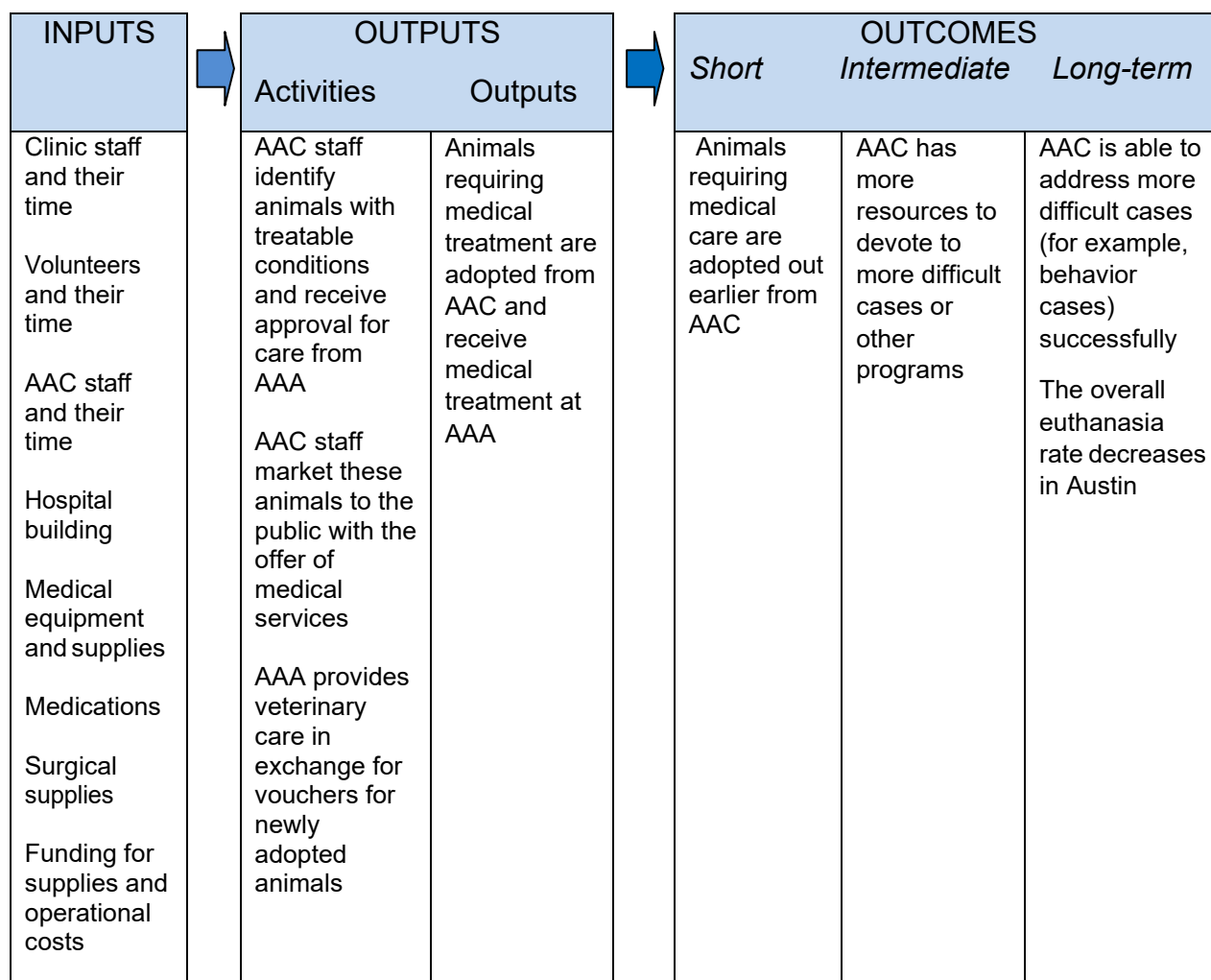
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LOGIC MODEL Worksheet:

Objective 3.2: Provide either surgical or medical treatment for 300 animals that are new adoptions from AAC within the first 12 months of the clinic's operation.



Program Evaluation Plan

Structure of process and outcome evaluation

Program evaluation will allow the organization to determine if it is meeting its goals and objectives in a timely fashion. Data will be collected from various stakeholders to perform a process evaluation; this will determine whether the programs are being implemented as planned and will help the organization to make adjustments so that implementation can be improved. Data will also be collected in order to perform an outcome evaluation; this data will evaluate the effectiveness of the programs to influence change in the community.

Identification of evaluation team

Austin Animal Alliance will hire an outside consultant and staff to aid in evaluation; they will team up with an in-house evaluation team. This in-house team will be made up of the executive director, medical director, one medical team member, and one non-medical team member. The consultant will lead the process and help guide data analysis, and their staff will help with data collection. The in-house team will add their input regarding Austin Animal Alliance's specific programs, including input on both medical and non-medical aspects of the organization. They will also help with data collection and analysis as needed.

Target audience for evaluation

The audience for evaluation results will include the executive director, managers, and all organization staff. It will also include funders of the organization, Austin Animal Center leadership, and other local animal welfare groups. Finally, because Austin Animal Center is a municipal shelter, the City of Austin local government and the Austin community will also be part of the target audience.

Evaluation questions

Questions will be asked of a variety of individuals that are involved with the program, in order to achieve a comprehensive program evaluation. Following are the questions that will be asked during the evaluation.

Process evaluation questions:

- How many clients and how many patients received care at the clinic? How many individual appointments or exams were performed?
- How many vouchers were issued and were redeemed for medical care by the public that initially presented to Austin Animal Center for surrender of a pet?
- How many vouchers were issued and were redeemed for heartworm treatment and for other medical care by new adopters?
- Is the quality of the medicine and surgery practiced at the clinic equal to or above the local standard of care?
- Are the clients satisfied with the care and services they receive?
- Are the staff and volunteers receiving adequate training to perform their roles effectively?
- Is Austin Animal Center satisfied with the partnership and the programs?

Outcome evaluation questions:

- Of those patients that are examined and treated at the clinic, how many have a positive outcome (retained in home, not euthanized or surrendered)?
- Does the low-income community believe that there are affordable veterinary care options and that pet ownership is accessible for their families?
- How have Austin Animal Center's surrender rate, adoption rate, average length of stay (a common data point used to evaluate animal shelters), and live release rate (or euthanasia rate) changed since beginning the partnership with Austin Animal Alliance?

Methodology, data collection, and analysis

Several different methods for data collection will be used to evaluate Austin Animal Alliance programs. Qualitative data regarding client opinions and views will help the organization to gauge the long-term impact, and frequent collection of quantitative data will help to identify both short-term impact at Austin Animal Center and long-term impact in the community.

Information regarding number of exams and individual patients treated at the clinic can be obtained through the clinic software. Financial information for clients can also be obtained here; this will be information to evaluate payment arrangements and financial assistance. Questionnaires will be given to the clients after each visit so that they can report their level of satisfaction with staff and services; they will also be asked about broad opinions relating to accessibility of veterinary care. Local standard of care can be assessed through a brief survey given to a subset of local veterinarians.

Data must also be collected from Austin Animal Center regarding the number of vouchers issued for the various programs and regarding various shelter statistics that might be affected by Austin Animal Alliance programs (adoption rates for animals with medical problems, heartworm positive adoptions, surrender rates, average length of stay). Surveys will also be given to Austin Animal Center staff that interact directly with Austin Animal Alliance to report their opinions, as well as to other Austin Animal Center staff that may have input regarding the broader impact of Austin Animal Alliance programs on the shelter's population of animals.

Evaluation reporting

Multiple reports with varying levels of detail will be created for distribution to various stakeholders. A detailed report including all data and analysis will be distributed in electronic format to the executive director, managers, and to the Board of Directors. A shorter summary report will be distributed to other major stakeholders including Austin Animal Alliance staff and volunteers, Austin Animal Center staff, the City of Austin, major donors, and other Austin animal welfare organizations.

This report will also be available online on the Austin Animal Alliance website. Finally, a press release will be issued so that the information may reach a broad section of the community.

Section 5 References

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Section 6: Human Resources Management

Paid Staffing Needs

Austin Animal Alliance's paid staff will consist of 18 paid employees. The Leadership Team will include the Executive Director, the Clinic Director, the Medical Director, the Volunteer Director, the Human Resources and Finance Director, and the Development Director; this team will be full-time, exempt-salary employees. Other paid positions will be a full-time staff veterinarian, 8 full-time veterinary technicians, and 2 part-time client service representatives; these will be non-exempt hourly positions.

Job Position Descriptions

Executive Director: Reports to the Board of Directors and is responsible for overseeing the administration and operation of the organization in accordance with its mission and strategic plan. Responsibilities include: fund raising, hiring and recruitment of staff, marketing, and community outreach. Qualifications include a bachelor's degree and a minimum of 6 years of nonprofit leadership experience. Knowledge of the animal welfare field is an asset.

Development Director: Reports to the Executive Director and is responsible for planning, organizing, and directing all fundraising for the organization. Responsibilities include procuring funding for operations and for capital campaigns, developing a planned giving program, and organizing fundraising events. Qualifications include a minimum of 2 years of experience in nonprofit development or business development. A bachelor's degree in a related field is an asset.

Volunteer Director: Reports to the Executive Director. Manages volunteer resources in order to assist with the organizations various programs. Responsibilities include: recruitment, training, supervision (direct or indirect), evaluation, and appreciation/recognition of volunteer staff. Qualifications include: A minimum of 2 years of experience in human resource management. A college degree or certificate in Volunteer Management is an asset; experience in nonprofit organizations is an asset.

Medical Director: Reports to the Executive Director and is responsible for overseeing all medical operations of the organization. Responsibilities include working shifts at the clinic, developing medical protocols where appropriate, and ensuring that the clinic is functioning at or above the recognized standard of care. Qualifications include a DVM or equivalent degree, ability to obtain licensure to practice veterinary medicine in Texas, and ability to obtain a DEA controlled substances license.

Human Resources and Finance Director: Reports to the Executive Director and is responsible for developing plans for and the management of all staff of the organization. Responsibilities include recruitment, facilitating training of new staff, developing compensation and benefit packages, and performance evaluations. Qualifications include a minimum of 2 years of human resources experience; degree or certificate in an applicable field is an asset and experience in the nonprofit sector is an asset.

Staff Veterinarian: Reports to the Medical Director and provides medical care for client animals in the organization's clinic. Responsibilities include examinations, developing diagnostic and treatment plans, communicating these recommendations to clients, and performing surgery. Qualifications include a DVM or equivalent degree and the ability to obtain licensure to practice veterinary medicine in Texas. Experience in high-quality high-volume spay neuter or in nonprofit/shelter medicine is an asset. New graduates will be considered on a case-by-case basis.

Clinic Director: Reports to the Medical Director and is responsible for day-to-day clinic operations. Responsibilities include training of clinic veterinary technician staff, supply ordering, staff scheduling, and medical record administration. Qualifications include a minimum of 2 years of experience as a veterinary technician or veterinary practice manager.

Veterinary Technician: Reports to the Clinic Director. Assists the veterinarians in the treatment and care of patients. Responsibilities include but are not limited to initial patient assessment (triage), obtaining vitals, monitoring anesthesia, assisting in surgery, delivering treatments as directed by the veterinarian, and generating and delivering cost estimates for recommended treatment plans.

Qualifications include a minimum of 2 years of experience in the veterinary field; a Registered Veterinary Technician or equivalent degree and/or experience in high-quality high-volume spay/neuter are assets.

Client Service Representative: Reports to the Clinic Director and is responsible for phone and initial in-person contact with clients. Responsibilities include responding to telephone and online inquiries, appointment-making, payment arrangement paperwork, and document management. Qualifications include excellent communication and customer service skills; experience in customer service or the veterinary field is an asset.

Recruitment

All staff of the organization must have a desire to help Austin Animal Alliance fulfill its mission and must be a good fit within the organization's culture. We will hire only individuals who meet both the professional and the personal requirements for each position.

The general recruitment process includes posting of open positions on the Austin Animal Alliance website and Indeed (an employment search engine). Veterinary medical positions will be posted on the American Veterinary Medical Association's website and the Association of Shelter Veterinarian's online job database. A relationship will be generated with Austin Community College's veterinary technician training program to provide externship opportunities for veterinary technician students during their education and to provide job opportunities after graduation. All recruiting and hiring practices will comply with applicable employment legislation including Title VII: The Civil Rights Act of 1964, Title II of the Genetic Information Nondiscrimination Act, Age Discrimination in Employment Act, and Americans with Disabilities Act (Watson & Abzug, 2010).

Applicants who meet initial qualifications and requirements will be interviewed via phone by either the Executive Director or Clinic Director. Promising candidates will then be invited to the clinic to tour the facility and meet current staff members. A second interview will be conducted with

management and the Human Resources and Finance Director; then a half day working interview will be conducted so that clinic staff can evaluate skills, knowledge, and organizational fit of the candidate.

Following a positive working interview, references will be contacted, previous employment will be verified, and a background check will be performed. If all those involved in staffing decisions agree, then the position will be offered to the candidate by the Human Resources and Finance Director verbally and in writing.

Austin Animal Alliance Personnel Policies

Message to Staff:

This personnel manual was developed by the Board and Staff of Austin Animal Alliance, to provide some of the particulars of working at our organization. These policies were formally adopted by the Board. Periodically, we will revisit this document to make adjustments based on the changing needs of the organization and the people who come to work here. Members of either the Board or staff may initiate a change in the personnel policies. Staff members should channel their requests in writing with an explanation to the Executive Director. Board members are encouraged to do the same although they may bring written requests directly to the Board Chair/Executive Committee. In the event that a personnel matter arises which is not covered by the policy statement, the Executive Director shall notify the Board so that an appropriate policy may be developed. If the ongoing activity of the organization requires that a decision be made before the Board can consider the matter, the Executive Director is authorized to make an interim decision which will apply only to the case at hand and which will not be considered a precedent for the policy to be developed according to the procedure specified above. On such occasions, the Executive Director will consult with the Board Chair/Executive Committee. It is the intention of the Board that these personnel policies be applied by the Executive Director with flexibility and discretion. Exceptions may be granted when an employee's interests will be served and those of Austin Animal Alliance not damaged, but exceptions should be recognized as such and should not be assumed to establish precedents.

Above all, we want to make certain that staff members of Austin Animal Alliance place our patients' needs before all else, and approach our patients with honesty, creativity, and integrity. Within that context, we also want the working environment to be supportive and enjoyable, so that the very best that our staff have to offer is made available to those who need our assistance.

Executive Director

EMPLOYMENT

Employment at Austin Animal Alliance is based wholly on qualifications, competence, experience, training and fitness for the job. Because of the importance of our work in serving the community, we make every effort to fill vacancies in accordance with the above stipulations. At the time of employment each person will receive a confirmation of employment letter which outlines job title, salary, etc. Further, each person will receive a copy of the job description and Austin Animal Alliance Personnel Policies. When a job is available at Austin Animal Alliance, the Director is responsible for seeing that all staff members are informed about the opening. Recruitment, screening, and selection will normally be

done by the Director, assisted by members of the senior staff. At the discretion of the Director, members of the Board may be invited to participate in screening, interviewing and selection.

STATEMENT OF NON-DISCRIMINATION

Austin Animal Alliance will not discriminate against any employee or applicant on the basis of race, color, religion, sex, national origin, physical or mental handicap, political belief, marital status, age, or sexual orientation. Austin Animal Alliance complies with all Equal Employment Opportunity and Americans with Disabilities Act laws and regulations in the areas of hiring, compensation, benefits and promotion.

MANAGEMENT RIGHTS

Austin Animal Alliance retains the exclusive right to hire, direct and schedule the work force; to plan, direct and control operations; to discontinue or reorganize or combine any department or branch of operations with any consequent reduction or other changes in the work force; to hire and terminate employees; to promulgate rules and regulations; to introduce new or improved methods or facilities regardless of whether or not the same causes a reduction in the work force and in all respects to carry out, in addition, the ordinary and customary functions of management. None of these rights shall be exercised in a capricious or arbitrary manner.

ORIENTATION

Orientation of new employees will include the following:

1. Review of the employee's job description and core standards for evaluation
2. Review of these personnel policies and practices
3. Review of general policies and procedures of Austin Animal Alliance
4. Review of the employee's job title, salary and compensation agreements, work hours, time sheets and other record-keeping methods and pay practices, standards for employee conduct, attendance and punctuality.

PROBATIONARY PERIOD

All new employees are required to serve a minimum 90-day probationary period during which employment may be terminated at the discretion of the Director without recourse to the standard procedure for termination specified in our policies. This period may be extended at the discretion of the supervisor. If the immediate supervisor and/or Director find the probationary employee's work unsatisfactory, this should be indicated to the employee as early as possible in the probationary period. No formal statement of cause is required but an informal explanation would normally be expected. Employees do not begin to accrue leave and are not entitled to join the Austin Animal Alliance health, dental, long-term disability or pension plans until the successful completion of the probation period. The Director may authorize leave with pay for illness or other emergencies with the understanding that should the employee not continue with Austin Animal Alliance after the 90-day probation (or long enough to earn the advanced leave), Austin Animal Alliance would reduce the employee's last paycheck by said number of days.

EMPLOYEE STATUS

A temporary employee is a person engaged on a full or part-time basis for a definite period, usually six months or less. An occasional employee is a person hired on a fee or hourly basis for special tasks not covered by the regular staff. A regular employee is a person hired full-or part-time (for an indefinite period) to fill a specific position. A consultant is not an employee of Austin Animal Alliance but a self or otherwise employed person with whom Austin Animal Alliance may contract for specific tasks or

services. Full-time: An employee who is regularly scheduled to work a minimum of 40 hours per week. 3
Part-time: An employee who is regularly scheduled to work less than 40 hours per week. Employees working less than 30 hours per week are not entitled to health benefits and other optional benefits. Part-time employees accrue vacation days on a pro-rated basis and are entitled to paid holidays only if they normally work more than 20 hours per week, and then only those holidays which fall upon the days on which they normally work. Temporary: An employee who is hired for a predetermined period of employment, which may be carried out on full-time, part-time or occasional basis. Regular Employee: A full or part-time employee hired with the expectation that the working relationship will be continued as long as it is mutually satisfactory and financially sustainable.

HOURS OF EMPLOYMENT

Full-time work is generally assumed to occur Monday through Friday between the hours of 9:00 a.m. and 5:00 p.m., with one hour lunch designated for lunch. At the discretion of the Director, flexible hours may be arranged if these will not interfere with the accomplishment of the organization's task and goals. Employees who regularly work outside normal hours can arrange for adjusted hours. Austin Animal Alliance staff titles of Office Manager are considered to be nonexempt and will be duly compensated for time beyond the 40 hour week. There is no provision for paid overtime or compensatory time for exempt employees. Employees who experience a delay or emergency which will require them to be more than 30 minutes late in arriving should notify a member of the management team of their expected arrival time.

ATTENDANCE

Federal, State and City laws require Austin Animal Alliance to maintain accurate records of all employees' time and attendance. Each employee must complete and submit time sheets weekly. Falsification of time and attendance records may result in disciplinary actions.

PERFORMANCE REVIEW

Each employee is entitled to a probationary and annual performance review. A performance review is normally conducted by the Director or the Director's designee. Goals and priorities will be established for the next work period. A performance review form should be signed by the employee and the person conducting the review, with a copy in the employee's personnel file and a copy retained by the employee. Review and planning meetings are intended primarily as a means for promoting communication and improving performance and form the basis for salary determination. In the event that an employee should desire another job within Austin Animal Alliance or a letter of reference after leaving the organization, it is anticipated that performance reviews will provide useful information.

SALARIES

Austin Animal Alliance is subject to a number of constraints in the determination of salaries. Salaries of some positions are governed by the amounts proposed in proposals and contracts which are in turn derived from the "going rate" available from foundations and government agencies. Furthermore, all salary increases must be made conditional upon raising sufficient money to cover the projected budget. Within these constraints, the normal procedure is that a salary range is established for each position created, the Director specifies a salary at the time of hiring, and salaries are reviewed annually by the Director at budget preparation time. The Director's salary is reviewed annually by the Board of Directors.

LEAVES AND HOLIDAYS

Holidays: The office is closed and all regular staff will be paid for the following holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, The day after Thanksgiving, Christmas Eve, Christmas Day, and New Year's Eve. The office may close early the day before a major holiday or the day after at the discretion of the Director; staff will be notified in advance. When Christmas, New Year's Day or Independence Day falls upon a weekend, a nearby workday will be designated instead. 5 Other holidays will be celebrated on the date designated.

Vacation: The following is the vacation policy for all full-time employees of Austin Animal Alliance:

Length of Service (In years)	Weeks of Vacation	Accrual Rate (Days per month)
0 through 4 (inclusive)	3	1.25
5 or more	4	1.66

Vacation is to be used in the best interest of Austin Animal Alliance. Schedules will be arranged on the basis of seniority. Subject to the Director's approval, employee's may carryover up to 5 days of vacation into the next quarter. Vacation time accrues upon completion of the probation period. In addition, for terminating employees, pay will be given for unused vacation time provided that the employee was on staff for six months or more of continued employment, the required written notice of resignation was given and the employee was not terminated for gross malfeasance. Part-time employees are entitled to pro-rated time for vacation leave.

Sick Leave: Full-time employees who successfully complete probation are entitled to sick leave, for a maximum of 8 days per year, of paid sick leave. Absences due to illness or medical appointment may be charged to sick leave. Before returning to work from a sick leave absence of five (5) calendar days or more, an employee must provide a physician's verification that he or she may safely return to work. Unused sick leave does not carry over to the next fiscal year, and no pay is given in lieu of sickleave. Unused sick leave lapses without compensation on an employee's leave Austin Animal Alliance. Sick leave is to be taken in the event of the illness of an employee or, of the employee's dependent child; it is not an all purpose leave. Extended sick leave for a serious illness may be allowed by the Director. Employees who anticipate that an extended period of absence may be necessary should discuss the matter with the Director to see if disability benefits may be available. Part-time employees are entitled to pro-rated time for sick leave. After 5 consecutive days of absence due to illness, an employee should file for short-term disability. Employees should call a member of the senior staff within 1/2 hour of starting time on the first day of absence. Employees whose illness extends beyond one day must advise their supervisor of their expected day of return.

Parental Leave: Employees who become parents, either by birth or adoption, may receive a total of 3 months leave. During this time, employees will first be required to use any accrued sick and/or vacation time. The amount of sick and/or vacation time used will be the total accrued amounts as of the last day of work before the leave begins. The balance of the leave will be without pay although employees will continue to accrue sick leave to be used upon return. At the discretion of the Director, an employee may be carry up to 5 days of accrued vacation leave into the first quarter of the subsequent fiscal year, and/or may be granted additional time off without pay. 6 For the first 90 days of leave, Austin Animal Alliance will continue to pay the employee's medical, dental and long-term disability premium's as well as its share of the cost for family coverage of the same. Where applicable, employees are expected to make arrangements for their payments for the same. If leave is extended past the 90 days, the employees must make arrangements for covering the full share of the premiums. Following

maternity/paternity leave an employee may return to the same position held by the employee when the leave commenced, if available, or to a position of substantially similar status, benefits and pay.

Disability Leave of Absence without Pay: Accrued sick leave may be used during medically verified disability. A request for medically verified disability should be approved by the Executive Director and a statement for the reason for the leave and intention to return to work at a specified date should be included. A disabled worker is entitled to 60 days of job protection.

Jury Duty: Full-time employees who have completed their probationary period and who are called to serve as jurors or are subpoenaed to appear before a court as a witness will receive their regular pay minus any jury duty pay or witness fee received for each work day while in court for jury duty or as a witness. The receipt of a notice to report to jury duty or of a subpoena shall be reported immediately to the Director and/or member of the senior staff. Austin Animal Alliance reserves the right to request that the employee be exempted from jury duty if the employee's services are essential.

Military Leave: A full-time employee who is a member of an organized reserve unit of the Armed Forces of the United States of the National Guard and who attends a regular military camp will be granted the time necessary to meet his/her obligation. A full-time employee who is a member of an organized reserve unit of the Armed Forces of the United States or the National Guard who is called into active duty shall be granted a military leave of absence for the period for which they are called. An employee must give the Executive Director immediate notice of the dates of intended absence. In the case of active duty, the employee shall report for work at Austin Animal Alliance no later than five days following discharge from active duty. Austin Animal Alliance cannot guarantee that any employee will return to the same position which they filled prior to the active duty, but will make every effort to provide an equivalent position. Military leave will not be counted against vacation days, but will instead be considered to be on a leave of absence without pay.

FRINGE BENEFITS

Health Insurance: Full-time employees are provided with medical insurance. Details of each are outlined in separate brochures given to each employee. Because of fiscal 7 constraints, payment for coverage under this plan is shared by Austin Animal Alliance and the employee on a co-payment arrangement. Exempt employees contribute 50% and non-exempt employees contribute 20% respectively. Terminating employees will be told of the status of their insurance, when it will expire and what options are available for converting coverage, i.e. COBRA. Employees are eligible for to participate in the above plans upon completion of the probation period. Unemployment insurance, worker's compensation and short-term disability coverage is provided as required by law.

RESIGNATION

In the event of resignations after the probationary period employees are expected to give notice equivalent to their annual vacation entitlement. An employee, who gives notice of resignation, as provided above, shall be entitled to receive payment for unused vacation accrued on the effective date of resignation.

TERMINATION

If the Director wants to consider termination of employment, the employee must be given a written statement of the specific problems, a definite period must be set within which the employee may try to correct the problem, and if the problem cannot be resolved, the employee must be given two weeks notice. Austin Animal Alliance does not provide severance pay. In the case of gross malfeasance, Austin

Animal Alliance reserves the right to terminate employees immediately. Upon termination, the key to the office should be turned in to the Executive Director or another member of the senior staff on the last day of employment. The employee is also responsible to give a status report on all current work, present files and other materials in a clear manner to the Executive Director or a delegated representative. Any employee who is terminated may appeal the decision to the Board by writing a letter to its Chairperson. The Board's decision shall be final. Any employee who has completed the probationary period and has attained regular status may not be dismissed except upon written notice and an opportunity to be heard. In no case will an employee be dismissed because of an unlawful discrimination preference.

Grounds for dismissal include but are not limited to: Neglect of duties, absence without leave or failure to report after authorized leave has expired or after such leave has been disapproved, physical or mental incapacity to perform his/her duties, insufficiency in the performance of duties as reflected in the evaluation, violation of lawful directives (written or verbal), policy or direction given by an immediate supervisor, or the failure to obey any lawful or reasonable direction when such violation amounts to insubordination or serious breach of discipline, conduct unbecoming to an employee of Austin Animal Alliance during working hours, which may discredit the organization, offensive conduct or language toward the public or community, supervisor or administrative personnel, criminal, disorderly or immoral conduct while on duty, the violation of policies or directives of Austin Animal Alliance Board of Directors, negligence or willful damage to Austin Animal Alliance property or waste of agency supplies and equipment, misrepresentations or false statements on applications, or Austin Animal Alliance programs or operations, intoxication/use of drugs during working hours and not in control of mental or physical faculties.

GRIEVANCE PROCEDURES

Whenever an individual believes that a situation, condition, or event related to their employment or status is unsatisfactory, and is subject to the control of Austin Animal Alliance, they will be expected and encouraged to take every reasonable step to resolve their complaints informally. These efforts must include discussions with the Executive Director and/or immediate supervisor. Efforts to resolve a grievance at the informal stage is mandatory and all parties shall exercise their best efforts to determine an equitable solution to the grievance, complaint or problem. Formal - If all reasonable, informal efforts to resolve a complaint fail, the individual may formalize the complaint as a grievance by placing the complaint in writing; stating specifically the nature, the dates and times and the alleged problem; listing the individuals thought to be responsible; and stating concisely the relief or remedy sought for the grievance. All grievances shall be signed by the individual submitting the matter for review. The individual shall file any formal grievance within two weeks from the time the grievance is, or reasonably known. The individual shall submit the written formal grievance to the Executive Director who shall acknowledge its receipt in writing and shall conduct an appropriate inquiry or investigation into the facts. The Executive Director in conjunction with the Board may grant the grievance, deny the relief requested, or provide such other remedy as is deemed just and reasonable. The Executive Director's decision shall list the findings, the reasons for the conclusions reached, and the proposed resolution and shall be issued no later than two weeks after the receipt of the grievance. All grievance matters become a formal insert into an employee's personnel folder. The informal process described above, if followed and resolution is reached, need not be part of such records.

OTHER POLICIES AND REGULATIONS

Staff Meetings: Staff meetings are traditionally held twice a month. All staff is expected to attend unless excused.

Copyrights: As a condition of employment, each employee/consultant agrees that all copyrights to published materials by or relevant to Austin Animal Alliance and its programs, written by an employee/consultant, belong to Austin Animal Alliance. Authorship will be credited to the individual employee/consultant involved, if relevant.

Employment at Will: The description of current policies should not be construed as a contract of employment or as a statement that these policies will not change. Continued employment of an individual shall be at the will of the employer, subject only to the applicable laws forbidding discrimination. **Conflict of Interest:** No person, employed or appointed by Austin Animal Alliance, shall conduct themselves in a manner which creates by law or in the judgment of the Board of Directors a conflict of interest with the interests of Austin Animal Alliance, at no time shall a person represent themselves as employed by Austin Animal Alliance when not performing work on behalf of Austin Animal Alliance.

Statements regarding/Representation of Austin Animal Alliance: Formal representation (like staff participating on Boards as) and public statements, both written and verbal regarding Austin Animal Alliance shall be made only with the approval of the Executive Director. These include press releases, interviews, proposals, speeches, training sessions, advertisements, brochures and other public relations materials.

Confidentiality of Patient Information: Austin Animal Alliance is legally and contractually obligated to provide all reasonable assurances that all patient and client information is confidential. Austin Animal Alliance employees possess detailed information regarding patients. Information shared in materials and discussions and even the fact that a given patient is a Austin Animal Alliance patient, must be kept within the agency structure and must be considered internal, to be shared among agency staff.

Exceptions to this rule can be made by the Director. Clients must provide verbal or written authorization for medical records to be transferred to another veterinary practice or other organization.

Drug Free Workplace: The unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited at Austin Animal Alliance. Employment will be immediately terminated if any employee is found to be engaged in any such activities. In the event that any employee has a problem with alcohol or drug abuse and wishes to participate in a rehabilitation or special assistance program, the employee should speak to a member of the management team. Austin Animal Alliance will work with the employee to find appropriate treatment.

Training and Retention

The nonprofit sector faces various challenges to employee retention; these challenges are compounded by those faced by the veterinary field for retaining support staff, particularly veterinary technicians (Tait, 2002). While alignment with the organization's mission and vision are vital to motivating and retaining employees, Austin Animal Alliance must make a much greater commitment to its staff to be successful. Competitive compensation, paid time off, and benefits packages will be one of the pillars of retention; the Austin job market is growing daily, and this is a necessity for any nonprofit or business. Scheduling will be flexible and management will be understanding of the unpredictable nature of veterinary care. Adequate training will be provided to each new hired staff member to help them

understand clinic procedures and policies, as well as the history and mission behind the organization. Professional development opportunities will also be provided to help them expand their knowledge and skills. Leadership will provide transparent communication about organizational goals and policies. A positive organizational culture will be perpetuated by all leadership and encouraged in all staff; respect for one another and open communication will be vital, and staff friendships, even across levels of leadership, will be viewed positively. A team spirit and a feeling of inclusion for all staff, regardless of position or title, will aid in employee retention and will enhance the quality of candidates that apply for open positions.

Section 6 References

1. Tait, John. "Practice Success: The Challenge of Recruiting and Retaining Technicians ." *The Canadian Veterinary Journal* 43.2 (2002): 134–136. Retrieved from <https://www.ncbi.nlm.nih.gov/pmc/articles/PMC339311/>
2. Watson, M.R. & Abzug, R. (2010). Effective human resource practices. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 669-705). San Francisco, CA: Jossey-Bass.

Section 7: Financial Statements

Austin Animal Alliance Budget

Fiscal Year 2017

Revenue

Private foundations	\$590,000
Individual donations	\$368,750
Income from services	\$147,500
Corporations	\$1475,500
Grants	\$221,250
Fundraisers	\$20,000
Special events	\$100,000
Total	\$1,595,000
In-kind donations	\$75,000
Total revenue	\$1,670,000

Expenses

Staff salaries and wages	\$695,000
Payroll taxes	\$55,600
Health insurance premiums	\$30,000
Lease	\$50,000
Utilities	\$30,000
Equipment	\$150,000
Construction/remodel	\$600,000
Operating supplies	\$50,000
Marketing	\$5,000
Total	\$1,665,600
Revenue over expenses	\$4,400

Austin Animal Alliance Statement of Financial Position

As of December 31, 2017

Assets

Cash and cash equivalents	\$50,000
Grants receivables	\$10,000
Accounts receivables	\$10,000
Confirmed pledges	\$200,000
Deposits on leased properties	\$5,000
Property and equipment	\$150,000
Other	\$50,000
Total Assets	\$475,000

Liabilities and Net Assets

Liabilities

Accounts payable	\$15,000
Short-term debt	\$5,000
Long-term debt	\$5,000
Total liabilities	\$25,000

Net assets

Unrestricted	
Designated	\$125,000
Undesignated	\$300,000
Temporarily restricted	\$10,000
Permanently restricted	\$15,000
Total net assets	\$450,000

Total liabilities and net assets \$475,000

Statement of Activities

Year ended December 31, 2017

	Unrestricted	Temporary Restricted	Permanently Restricted	Total
Operating Revenues and other support Contributions				
Government grants		75,000		75,000
Private foundation grants	\$150,000			150,000
Contributions – public	\$200,000			200,000
Special events	\$100,000			100,000
Other revenue	\$20,000			20,000
Total operating revenues and other support				\$545,000
Operating Expenses				
Program services	\$500,000			\$500,000
Supporting services	\$25,000			\$25,000
Total operating expenses				\$525,000
Net assets start of year	\$300,000			\$300,000
Net assets end of year	\$305,000			\$305,000

Statement of Cash Flow**Austin Animal Alliance****Year ended December 31, 2017****Cash flows from operating activities**

Change in net assets	\$100,000
Adjustments to reconcile change in net assets to net cash flows from operating activities:	
Depreciation	30,000
Realized and unrealized losses/gains on investment	5,000
Changes in assets and liabilities:	
Grants receivable	(100,000)
Accounts receivable	(10,000)
Accounts payable	
Net cash flows from operating activities:	25,000

Cash flows from Financing Activities

Lease payment	1,000
Net cash flows from financing activities	1,000

Net decrease/increase in cash and cash equivalents	(5,000)
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Cash and Cash Equivalents

Beginning	75,000
Ending	70,000

Section 8: Fundraising

Case for support

Each day in Austin, beloved family pets are surrendered to the city shelter because they require medical care that their family cannot afford. Families are torn apart because there are no options for affordable veterinary medical care. These animals may spend days or weeks at Austin Animal Center awaiting and undergoing treatment before being placed up for adoption again. Meanwhile, there is an empty hole left in their previous home.

The mission of Austin Animal Alliance is to provide affordable veterinary care options to work toward a time when no animals are relinquished to the shelter or removed from their homes due to expenses or other difficulties associated with veterinary care.

We envision Austin as a no kill community where dogs and cats are a part of every family that wishes to share their home, regardless of socioeconomic status. Austin Animal Alliance will provide a veterinary resource, a low cost clinic, to offer comprehensive medical care to pets. It will also provide an alternative option to long term housing at Austin Animal Center; animals will have the opportunity to be adopted prior to or during treatments with Austin Animal Alliance so that they can spend their recovery time in a loving home, rather than at a busy, crowded shelter. The burden of expensive specialty care will be taken off of the city shelter; these resources can then go to provide better care for more Austin animals, and we can get even closer to a day when we can save them all.

Supporters of Austin Animal Alliance can help Austin pets and people in numerous ways. Financial donations can ensure that Austin Animal Alliance can provide immediate care to animals in need at its clinic. Planned giving will ensure that resources are available to continue to operate the clinic and provide care into the future. Volunteers can donate their time to assist in the day to day operations of the clinic, working closely with clinic staff to provide quality care and customer service to both people and pets.

Together, Austin Animal Alliance and its supporters can work toward a time when families are not threatened by the necessity of surrender because of lack of access to affordable veterinary care. Animals with medical needs will spend less time in the city shelter, and more animal lives will be saved. Austin is already considered a progressive community for animal welfare; with donor support, Austin can continue to lead the way in saving lives.

Potential sources of revenue

Diverse sources of revenue will allow Austin Animal Alliance to provide quality medical care throughout unstable financial times. When the economy and individual donations are often at their lowest, the need for affordable veterinary care and support for Austin Animal Center will be at its greatest. Unrestricted funding from the Board of Directors will provide reliable funding for any operating costs and staffing expenses. Austin residents are extremely supportive of animal welfare causes and organizations, and these donations will provide additional unrestricted support; in 2017, donors gave over \$750,000 to animal-related causes in the Amplify Austin campaign, a 24 hour period of online giving (Amplify Austin, 2017). Even more support can be generated throughout the year.

When possible, clients will pay for a portion of services; additionally, even if a client cannot afford veterinary care today, it is likely that in the future, when their financial situation has improved, they will look to donate to a cause that has been meaningful in their lives, and Austin Animal Alliance could be this cause. Revenue for services will also come in the way of funding from Austin Animal Center and its supporters, through the voucher programs; revenue will be generated through services provided to adopted animals (to move them through the shelter faster) and for services for animals that prevent relinquishment. Corporations in the Austin area are also supportive of philanthropic causes; providing event support and corporate sponsorships allows them to have their name associated with a cause that Austin consumers care about. Finally, grant opportunities are available for animal causes

through the ASPCA, the Doris Day Foundation, the Petco Foundation, Petsmart Charities, and Maddie's Fund.

Fundraising goals for the first fiscal year

To ensure financial stability during the initial stages of clinic construction and opening, a fundraising goal that would cover clinic construction, one year of payroll and operating expenses, and ideally, additional multi-year funding, is required. The estimated payroll budget is shown in Appendix A is \$695,000. Initial clinic remodeling and equipment is expected to cost about \$750,000. Annual utilities will cost about \$30,000 each year. The total first year fundraising goal will be \$1,475,000.

Approximately 40% of this will come from private foundations, 25% from individual donors, 10% from revenue from services, 10% from corporations, and 15% from grants.

Methods of fundraising

Austin Animal Alliance's Development Director will be responsible for managing all fundraising efforts for the organization. The Development Director will utilize all available resources and people to most efficiently carry out this objective. This includes, but is not limited to, enlisting the help of the Board of Directors, reaching out to past and present clients, utilizing volunteer resources (for work or for personal donations and connections), and applying for grants or foundation funds.

The Board of Directors will be expected to provide annual donations, as outlined in their Board Member Agreements. Individuals, including volunteers, previous donors, and clients, will receive direct solicitations for monetary donations and for volunteer service. Solicitations will include direct mailings, online solicitations, and in-person solicitations.

Annually, a fundraiser will be held at a local upscale restaurant. Tables or individual seats can be purchased by donors and the ticket will include dinner and evening entertainment. Raffles will be held for various sports, entertainment, or leisure packages with the cost of tickets benefiting the

organization; all packages will be comprised of donations from local businesses. The event will be staffed by primarily volunteers.

Online fundraising is the fastest growing type of fundraising for small donations (Kumaran, 2014). A mobile-friendly donation platform allows anyone to give to an organization, anywhere, anytime. This is also a useful platform to engage younger donors and volunteers that may not be reached by traditional methods. The Austin Animal Alliance website will feature a “donate now” function on the main page and the website will feature a mobile-friendly option. Additionally, a long term volunteer will be recruited to perform social media management; eventually, a paid Marketing Director may be hired to lead this objective (and others). Social media will be used to reach out to the community and inform them of events, volunteer opportunities, and provide easy links to donate. Frequent website and social media updates will keep visitors returning to Austin Animal Alliance online resources. Finally, security measures will be put in place to ensure all donations are made safely and securely.

The Development Director will design and implement a planned giving program. A program of this sort can be challenging for a new organization. Board members will play a key role in the planned giving program and should comprise the initial participants. Board members may also utilize their personal connections to solicit additional participants for the planned giving program. As with major gifts, the Development Director can utilize the donor database to identify additional candidates. Because planned giving does not result in immediate funding, this program will be used to provide financial stability into the future. The larger the planned giving program is, the easier it will be to demonstrate the organization’s financial stability to potential donors to any of the development areas. Communication and solicitation of support from local financial planners and attorneys, both through personal connections or cold calling, will help to make more potential donors aware of the program and of this method of giving.

The Development Director will design and implement a major gifts program to solicit larger donations from prospective donors. Relationships with these donors must be cultivated; donations of this level may take time. A donor database will be maintained to aid in the identification of prospective major gifts donors. Board members should also identify prospective donors from their individual networks as this can also be a good source for major gift donors.

The Development Director will also seek out additional funding through various granting organizations, including the ASPCA, the Doris Day Foundation, the Petco Foundation, Petsmart Charities, and Maddie's Fund. Various grants and funding options are available to assist nonprofit animal welfare organizations with program funds.

Section 8 References

1. Amplify Austin. (n.d.). 2017 Leaderboards: See Who Rocked the Giving! Retrieved July 05, 2017, from <https://amplifyatx.ilivehereigivehere.org/content/leaderboards>
2. Kramer, M. H. (2016, June 09). Top 10 Animal Welfare Grant Programs. Retrieved July 05, 2017, from <https://www.thebalance.com/best-animal-welfare-grants-125653>
3. Kumaran, M. (2014). Module 8: Fund raising [PDF document]. Retrieved from <https://ufl.instructure.com/courses/304802/pages/module-8-fund-raising>
4. Watson, M.R. & Abzug, R. (2010). Effective human resource practices. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 669-705). San Francisco, CA: Jossey-Bass.

Section 9: Volunteer Management

Need for volunteers

An active volunteer program will be invaluable to Austin Animal Alliance. Volunteers supplement paid staff and allow an organization to extend its limited resources; ultimately, this will allow Austin Animal Alliance to serve more people and animals. Austin Animal Alliance will utilize direct volunteers in the clinic to assist with clinic operations; staff expenses are a large portion of operating expenses, and the use of volunteers will allow Austin Animal Alliance to provide care to more animals while not sacrificing the quality of care. Volunteers will be utilized to assist with surgery recovery, instrument cleaning and surgery packs, and Client Service Representative support. Volunteers can also assist on an episodic basis at annual events and fundraisers.

Austin Animal Alliance will also utilize indirect support volunteers to help with the behind-the-scenes work, including office support and social media marketing. Medical records are a huge part of any veterinary clinic, and in a higher volume practice, this task is even larger; the help of volunteers will be crucial to dealing with records efficiently. Volunteers can be utilized to prepare records for the following day, attach lab results to records, and file records after the day is complete. In the early stages of the organization, before a Marketing Director is hired, volunteers can also be used to provide social media support and keep postings frequent and current.

Volunteers can also provide financial support for the organization; people that volunteer are twice as likely to donate, and they frequently donate more than those that do not (Kumaran, 2014). Long-term and recurrent volunteers often come to feel a sense of ownership of the organization and this encourages both financial support from them and from their personal networks of friends and family.

A robust volunteer program also supports the organization in less tangible ways. It encourages a culture of community involvement and transparency. Although resources must be expended to develop and maintain a volunteer program, the benefits are most certainly worth the expense.

Recruitment

The Volunteer Director will be ultimately responsible for recruitment, management, and evaluation of all volunteers. Available volunteer positions will be posted on the organization's website and will be posted frequently on social media. The Volunteer Director will also develop a relationship with college organizations to encourage participation of students; volunteers can be recruited from local universities and community colleges from pre-veterinary clubs, veterinary technician programs, and from any organization that includes a volunteer requirement (many honor societies, for example). Volunteer opportunities will also be posted to websites such as volunteermatch.org and allforgood.org.

Job descriptions

Client Service Volunteer: Reports to the Volunteer Director and assists client service representatives with daily tasks. Volunteers will provide phone support, appointments, greeting clients as they enter, taking payments from clients. Minimum commitment is 5 hours per week or 20 hours per month.

Orientation and training are required.

Patient Care Volunteer: Reports to the Volunteer Director and assists technician staff with patient care. Volunteers will monitor animals recovering from surgery, assist with kennel and exam room clean up, and assist with medical supply preparation. Minimum commitment is 5 hours per week or 20 hours per month. Orientation and training are required.

Social Media Volunteer: Reports to the Volunteer Director and will be responsible for managing Austin Animal Alliance's social media presence. Volunteer will generate and post material on Facebook, Instagram, and Twitter to provide information about the organization, opportunities to volunteer or

donate, and to keep the organization's online presence fresh. Minimum commitment is 5 hours per week or 20 hours per month. Orientation and training are required.

Finance Volunteer: Reports to the Volunteer Director and assists the Human Resources and Finance Director. Volunteers will assist with management of in-house payment arrangements and collection of payments from Austin Animal Center. Minimum commitment is 3 hours per week or 12 hours per month. Orientation and training are required.

Special Event Volunteer: Reports to the Volunteer Director and provides support for special events and fundraisers. At the annual fundraiser dinner, volunteers will assist with greeting, seating guests, selling raffle tickets, and event photography. Minimum commitment is 3-4 hours per event with no recurring commitment. No formal orientation is required but volunteers will receive a brief training prior to the event's start time.

Requirements

Volunteers must be 18 years of age or older. Background screening will be performed on all recurrent volunteers; no screening is necessary for event volunteers. An application must be completed and will be reviewed by the Volunteer Director for all volunteers. For recurrent volunteers, a phone interview followed by an in-person interview and clinic tour will be completed with the Volunteer Director. When required based on position, all volunteers must complete orientation and training sessions with established volunteers or staff.

Application

Volunteer applications will be available online at the Austin Animal Alliance website. No paper applications will be available. Interested individuals that request more information on volunteer opportunities at the clinic will be directed to apply immediately at a computer located in the clinic lobby.

Screening tools

All prospective volunteers will fill out an online application. They will then be interviewed via phone by the Volunteer Director. An in-person interview at the clinic will explore further their personal motivations for volunteering and what they hope to get out of the experience. All recurring volunteers will receive a background screening through the Texas Department of Public Safety; this is to ensure security in a location where controlled substances will be used on a daily basis.

Orientation and Training

Volunteers are a vital part of the successful function of Austin Animal Alliance. Time and resources will be devoted to recruiting, selecting, training, and retaining valuable volunteers.

Alignment to Mission and Organizational Culture

All volunteers should be a good fit with organization mission and culture; they should have a level of compassion for our animal companions, as well as the humans that share their lives. Burnout is a common problem in both veterinary medicine and in animal welfare, and this can result in judgement for those people that are unable to provide adequate care for their pets, when the real problem is not the client, but is the lack of affordable options. It is imperative that all volunteers that work with clients maintain a non-judgmental attitude, as this will be a recurring theme within the day to day operations of the organization.

Volunteers will be working right alongside staff in many situations within the organization. Because of this, they will be treated like staff and their input will be valued. Volunteers will also be included in decision making processes. They will also be included in organizational staff events. Paid staff should also make it a point to include them and show appreciation for their help; volunteers assist the staff on both a personal level, day to day, and on an organizational level, and Austin Animal Alliance will not be able to function at it's full capacity if volunteers are not included in the organizational structure.

Expectations

Volunteers are vital to the success of Austin Animal Alliance, and there will be volunteers that are vital to day to day operations; volunteers must be reliable and must give notice if not able to attend their shift, so that an alternate option can be arranged. In turn, volunteers will be shown appreciation informally by staff and the Volunteer Director, as well as receive more formal recognition. They will also be included in events celebrating organizational milestones; they are as much a part of these successes as the staff and leadership.

Orientation and Training Procedures

Orientation for each volunteer will be performed individually; this will occur at the time of the in-person interview and clinic tour. The Volunteer Director will schedule a one-on-one session for about two hours. There will be a clinic tour and brief introductions to staff. Then, an interview will be conducted. This will include a discussion on the organization's history, the need in the community, and the Austin Animal Alliance mission. The interview is also meant to determine the volunteer's motivations and what they would like to get out of the experience. The Volunteer Director will then make recommendations for available positions that might be a good fit, and a placement will be made. The Volunteer Director will then provide additional orientation in that area of the clinic and provide further introductions to staff as needed.

Training will be dependent on the volunteer position. Every position except Event Volunteer will include some number of weeks of working shifts while shadowing either a staff person or an experienced volunteer. For medical positions like Patient Care Volunteer, this will include at least six training shifts. For less intensive roles, like Client Service Volunteer, only two training shifts will be required.

Volunteers will also be invited to relevant staff meetings and trainings. This will help not only to expand their knowledge and keep them up to date on the organization and its milestones, but it will also help to encourage a sense of inclusion with the organization.

Evaluation of Volunteers

Providing feedback to volunteers will allow them to grow on a personal and professional level, and it will also increase the organization's capacity and impact. After 80 volunteer hours have been completed (three to four months, on average), a formal review will be conducted. The Volunteer Director will collect information and feedback from all staff and other volunteers that work with the volunteer being evaluated. The Volunteer Director will then compile this information and deliver both positive feedback and constructive criticism in a positive manner to the volunteer. Following the initial evaluation, any problem areas will be followed up on every three months. Otherwise, the volunteer will then move to an annual review schedule.

Recognition of Volunteers

Recognizing and showing appreciation for volunteers is necessary to improve volunteer retention. Recognition includes simple acts, like a simple "thank you" from a staff member, as well as larger recognition, like awards. Included in staff training will be ways to include volunteers and find tasks for them so that they feel needed, as well as training and coaching on how to make them feel appreciated. The Volunteer Director will also have a frequent presence in the clinic, also showing appreciation. The Volunteer Director should make monthly check-ins with each volunteer to ensure they are happy in their position and with the training they have received; any concerns should be addressed as quickly as possible.

An annual volunteer appreciation event will be held to thank all organizational volunteers. Awards will also be given at this event, including awards for those with the most hours, as well as other awards for volunteers that go above and beyond. All volunteers will receive certificates of appreciation for their work.

When time and resources allow, volunteers will also have access to low cost veterinary services to show the organization's appreciation. Appointments will be required, and it is expected that

volunteers will use discretion so as not to take advantage of this resource and limit services that can be provided to the low-income community.

Section 9 References

1. Kumaran, M. (2014). Module 9: Volunteer management [PDF document]. Retrieved from <https://ufl.instructure.com/courses/304802/pages/module-9-volunteer-management>
2. Watson, M.R. & Abzug, R. (2010). Effective human resource practices. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 669-705). San Francisco, CA: Jossey-Bass.

Section 10: Marketing and Community Relations

Marketing Plan

Effective marketing is crucial to the success of a nonprofit. In the nonprofit sector, marketing is primarily about building relationships, and it is how an organization attracts new stakeholders and establishes its standing with other nonprofits (Kumuran, 2014). Marketing for Austin Animal Alliance must be consistent with the mission and core values. Various marketing strategies will be used to address the various markets and target audiences. The process will include all of the following steps: identification of target markets, market research to determine what the demand for services is, adapting programs to meet these needs, price determination based on need and competition, and finally, developing the marketing strategy based on all the previous steps. Proper messaging will educate potential stakeholders about Austin Animal Alliance's values and contributions to the community.

Segmentation and target audience

Austin Animal Alliance also has two major categories of markets to address. The first is the resource provision market which is donors and volunteers. The second is the resource allocation market; this is the client base of the clinic and is made up of both the public and Austin Animal Center. The target audiences that Austin Animal Alliance will focus on include the following: donors and supporters, volunteers, potential public clients, and potential staff. The donors and supporters target audience will include individuals, foundations, and corporations in Austin that support animal welfare causes or low-income community initiatives. The volunteer target audience will include community members that wish to donate their time to animal welfare or human welfare causes; this can include a wide variety of individuals from college students to retired men and women. The public client audience will include primarily those low-income families in Austin with pets and particularly those that are

considering surrender of their pets to the shelter for lack of access to affordable vet care. The staff target audience will include those individuals in Austin with experience in either veterinary medicine or the nonprofit sector; these individuals will make up the staff at Austin Animal Alliance. Because of the volume of veterinary care that is planned, medical staff must be experienced and advanced, and so the organization must appeal to those at the top of their field. Other positions (development, marketing, etc.) will also need top-notch candidates in order for Austin Animal Alliance to become successful.

Marketing goals and objectives

Austin Animal Alliance's marketing objectives will be unique for each target audience. In order for evaluation of the marketing program to be effective, quantifiable outcomes will be determined, also. Outlined below are the following objectives and goals for each target audience.

Donors and supporters: The objective for this target audience is to secure funding for Austin Animal Alliance's programs. Goals for the first year include raising \$500,000 in operating funds from donors and sponsors and establishing relationships for in-kind donations of medical supplies or expertise.

Volunteers: The objective for the volunteer target audience is create a robust volunteer program to support the work of the organization; the first year goal is to recruit at least 30 volunteers that donate an average of 5 hours per month or more, and at least 10 volunteers that spend at least 5 hours per week volunteering.

Potential clients: The objective for this target audience is to publicize the clinic and the services offered, hopefully before a family makes the decision to surrender an animal to the shelter. The first year goal is to treat at least 3000 animals; at least half of these should be direct clients not referred by Austin Animal Center.

Potential staff: The objective for this audience is to attract and hire a knowledgeable and experienced staff for the organization. The first year goal will be to have all positions at the clinic and all support positions filled, and ideally have at least two qualified applicants for each position. Austin Animal Alliance will be a coveted and desired place of employment.

Branding

An effective branding campaign will help to quickly differentiate Austin Animal Alliance from its competitors and should convey its uniqueness. There will be cohesion between all publications including the website, brochures, and physical presence at events. The Austin Animal Alliance logo conveys the compassion that makes up the basis of the organization; it is a functional logo and has been kept simple.

Austin Animal Alliance logo:



The tagline “Quality care for less, a home for life” conveys multiple important messages about Austin Animal Alliance. It emphasizes that the level of medicine and care is not compromised, despite the cost being lower. It also emphasizes the ultimate vision that every family should be able to share their lives with a healthy pet for the entirety of that pet’s life.

Austin Animal Alliance tagline:

**Quality care for less,
a home for life**

The Austin Animal Alliance mission is the final piece of organization branding; the mission statement is “The mission of Austin Animal Alliance is to provide affordable veterinary care options so that no animals are relinquished to the shelter or otherwise removed from their homes due to expenses or other difficulties associated with veterinary care.” A brand guide will be created to provide guidelines for use of the Austin Animal Alliance name, logo, mission statement, and tagline.

Evaluation

The final piece of the Austin Animal Alliance marketing campaign will be evaluation; this is to ensure that marketing strategies are proving to be effective in communicating the message to the target audiences. Both the reach of marketing campaigns to those audiences and the effectiveness of message communication should be evaluated. Evaluations conducted quarterly will allow for effective modifications, as needed. Evaluation will be conducted by staff and will consist of community surveys to determine brand effectiveness and message reach. Surveys of clients, volunteers, and donors will allow Austin Animal Alliance to determine if the message being delivered to those audiences is what the organization wishes to convey.

Community Relations

Community relations will focus on increasing awareness in the community about the programs and services offered by Austin Animal Alliance. The goals of a community relations program are to promote the organization's purposes, build a public image to maintain support, and increase community awareness of successes (Kumuran, 2014). The Board of Directors and organization leadership will create the community relations plan and the executive director will be the designated community relations spokesperson for the organization. This will help to keep messaging clear, consistent, and aligned with organization mission and goals.

Key messages

Austin Animal Alliance will maintain a cohesive campaign; messages will remain consistent across platforms. Proper messaging will educate potential stakeholders about Austin Animal Alliance's values and contributions to the community.

Consistent, clear messages that will be delivered include these:

- Austin Animal Alliance staff and volunteers have compassion for the animals they serve and their current or prospective families.
- Austin Animal Alliance provides high quality medical care at a reasonable cost
- Austin Animal Alliance strives to find solutions for every family, regardless of their situation
- Austin Animal Alliance strives to bring Austin closer to a time when healthy pets are a part of every family that wishes to share their home.

Delivery methods

Delivery methods for key advertising include: internet, email newsletters to targeted groups, social media posts, direct mail, word-of-mouth, pamphlets available at Austin Animal Center and other local shelters, flyers, annual report, community booths, press releases, media alerts, public service announcements on radio and television, and additional radio advertising. Austin Animal Alliance will also have a liaison at Austin Animal Center when staff is available to answer questions and provide assistance with intake diversion. The local universities will be solicited to provide in-kind donations of various media kits and PSAs.

Working with the media

Developing a positive and effective working relationship with the media will be one of the primary responsibilities of the executive director. The executive director is the designated spokesperson for Austin Animal Alliance and they will act as the face of the organization. The goal of all media relations activity will be for a positive message to be conveyed about Austin Animal Alliance and its programs. There are multiple local news outlets in Austin, as well as one local print newspaper. The executive director should develop and execute a targeted plan to engage these media outlets. Additionally, multiple local radio stations are traditionally very supportive of animal causes and are another way to achieve media coverage. Messaging will remain consistent with marketing and community relations guidelines, but media attention should also specifically highlight success stories of the organization. Profiles of families and animals that were helped serve to demonstrate organization success, but will also provide an emotional pull for potential donors and supporters.

Section 10 References

1. Gainer, B. (2010). Marketing for nonprofit organizations. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 301-327). San Francisco, CA: Jossey-Bass. Ingram, D. (2014).
2. Kumaran, M. (2014). Module10: Marketing, Community Relations. Retrieved from <https://ufl.instructure.com/courses/304802/pages/module-10-marketing-and-communityrelations>

Section 11: Ethics, Transparency, and Accountability

Code of Ethics

Ethics are an important part of nonprofit organizations; these are not enforced regulations or laws, but instead are self-imposed and self-regulated codes that organizations work under (Kumaran, 2014). In order to raise ethical standards in the nonprofit sector, leaders should provide a positive role model within their organizations. A comprehensive way to address this is to provide a code of ethics, and that is what Austin Animal Alliance will provide. Each and every board member, staff person, and volunteer will adhere to a high standard of conduct, as outlined in the Code of Ethics.

Core values outlined in the Austin Animal Alliance Code of Ethics include:

- Integrity: All of those associated with the organization will work with integrity.
- Compassion: Compassion will be shown to all those that Austin Animal Alliance touches, both people and animals.
- Knowledge: Staff will show an exceptional level of knowledge in their designated profession.
- Commitment to helping clients and the community: This will always be one of the top priorities of Austin Animal Alliance.
- High standard of veterinary medical care: Despite being a low-cost clinic, the level of medicine practiced at Austin Animal Alliance will meet or exceed the current standard of care; creative solutions to limited resources combined with open communication to clients can help reach this goal.
- Inclusion and non-judgement: Because the primary clients of Austin Animal Alliance are often facing life challenges, it is key that they never feel judged when they are actively trying to find solutions to their animal-related challenges. Many of them truly love their

animals and see them as part of their family; the idea of surrendering their pet has only been reached after other options have been exhausted, and it is the goal of Austin Animal Alliance to provide an alternative (and to reach a larger audience so that alternative options are well-known).

Transparency Measures

Transparency means an openness and willingness to disclose information, and an organization's level of credibility depends on transparency. Austin Animal Alliance is dedicated to the idea of transparency in all of their relationships; this becomes extremely important when collaborating with another organization, as will happen with Austin Animal Center (Kumaran, 2014).

Measures to improve transparency include comprehensive organizational policies that are easily available and distributed to stakeholders, detailed financial information that is circulated to donors or other interested parties, and well-defined timelines and accuracy in meeting all deadlines. Communication mechanisms will be developed by the executive director and the Board of Directors will evaluate effectiveness of these mechanisms. Documents and policies will also be readily available on the organization's website for easy access. Financial information will also be available on the website and provided in a timely manner to outside agencies such as GuideStar. Conflict of interest policies will be in place in personnel procedures and in board member agreements.

Accountability Measures

Accountability means that an organization and its leadership are responsible for all actions, both good and bad, and the outcomes associated with those actions. Principles related to accountability include that responsibility and authority are clearly specified, guidance and resource support is provided at all stages to each person as they complete their responsibilities, the exercise of authority should be monitored and assessed, and that appropriate action is taken as follow-up.

Austin Animal Alliance accountability measures will include that responsibility and authority are clearly defined by policies and procedures; this information will be verbally discussed but also available in print and online format for all affected persons. Periodic staff evaluations will be conducted with leadership to assess performance. Adequate support and resources will be provided to all staff so that they may complete their responsibilities; this means adequate medical supplies and adequate staffing at all levels of the organization. Finally, periodic assessments of the entire organization will be conducted by the Board of Directors.

Section 11 References

1. Ebrahim, A. (2010). The many faces of nonprofit accountability. In D.O. Renz (ed.), *The Jossey Bass Handbook of Nonprofit Leadership and Management* (pp. 101-118). San Francisco, CA: Jossey-Bass.
2. Ethical nonprofit management. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 178-203). San Francisco, CA: Jossey-Bass.
3. Kumaran, M. (2014). Module11: Legal & Ethical Aspects of Nonprofit Management. Retrieved from <https://ufl.instructure.com/courses/304802/pages/module-11-legal-and-ethicalaspects-of-nonprofit-management>

Section 12: Risk Management

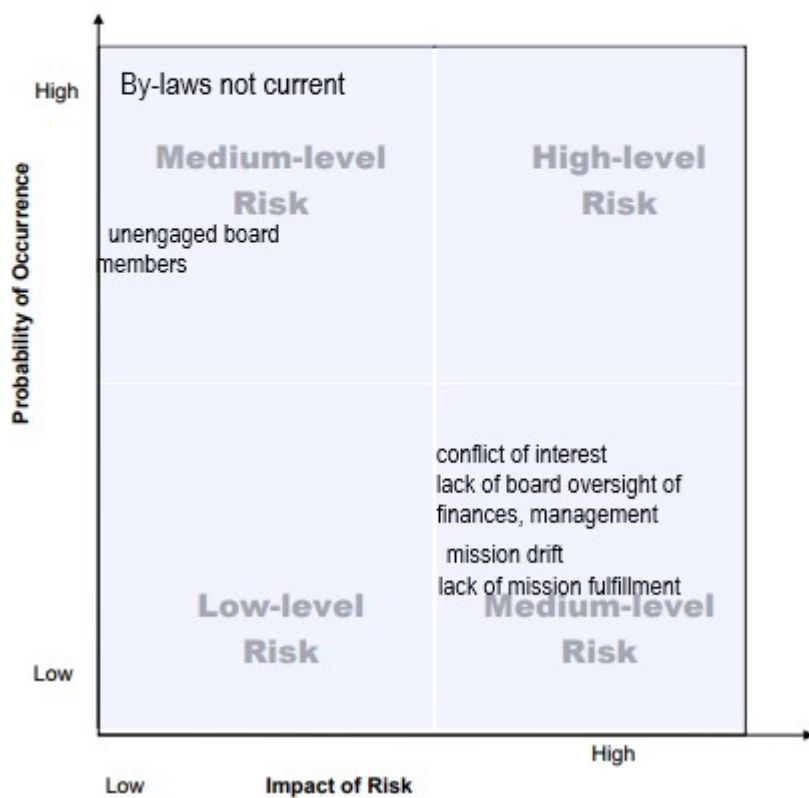
Major Risk Areas

Governance-related risk



Risk Impact/Probability Chart Worksheet

- For instructions on using the Risk Impact/Probability Chart, visit www.mindtools.com/rs/risk.
- For risk analysis, visit www.mindtools.com/rs/riskanalysis.



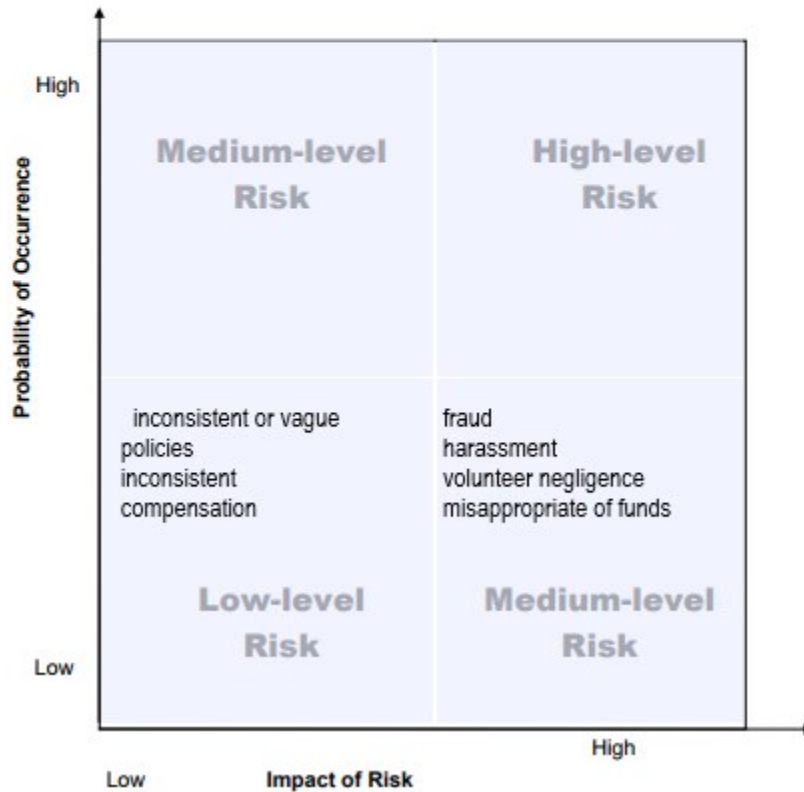
Administration-related risk



Worksheet

Risk Impact/Probability Chart Worksheet

- For instructions on using the Risk Impact/Probability Chart, visit www.mindtools.com/rs/risk.
- For risk analysis, visit www.mindtools.com/rs/riskanalysis.

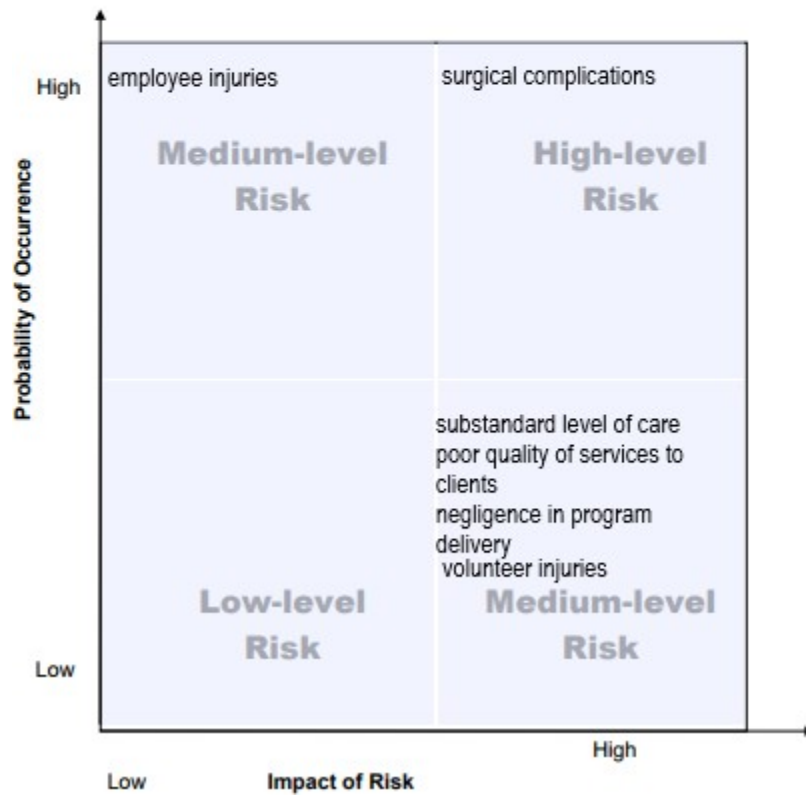


Operations-related risk



Risk Impact/Probability Chart Worksheet

- For instructions on using the Risk Impact/Probability Chart, visit www.mindtools.com/rs/risk.
- For risk analysis, visit www.mindtools.com/rs/riskanalysis.



Risk Treatment and Mitigation Strategies

Governance-related risk:

- Written policies in place for board expectations, budgeting, expenses, and reporting
- Conflict of interest policy signed by all board members
- Board manual and member agreements signed by all board members
- Written financial contribution expectations for board members
- Attendance requirements for board members
- Annual board retreat and additional activities
- Board members are required to participate in meetings and be active on committees
- Board members are required to recruit new potential members
- Board members are required to solicit donations from their network of friends and colleagues
- Maintain Directors and Officers insurance
- Review by-laws annually and update as needed
- Frequent written updates from executive director to the board regarding programs and finances

Administrative-related risk:

- Consistent, written policies and procedures for board members, employees, and volunteers
- Financial controls for handling donations, fee payments, and other cash
- Background checks as outlined for all employees and most volunteers
- Appropriate insurance coverage and policies
- Audit committee
- Monthly financial statements and program updates reported to the board
- Annual review of employee and volunteer handbooks
- Liability insurance for volunteers, medical practitioners

- Media and social media policies in place, signed by all employees and volunteers
- Conflict resolution procedures
- Direct communication policy for all staff

Operations-related risks:

- Professional liability insurance for all veterinarians and medical staff
- Worker's compensation policy
- Volunteer liability insurance
- Written discharge instructions for all medical and surgical patients that owners are required to sign outlining aftercare
- Pre-operative release outlining possible surgical or anesthetic complications
- Pre-operative release waiving referral to specialist or full-service clinic
- Requirement for all veterinarians to document client communications thoroughly and to complete medical records in a timely fashion
- Standard operating procedures or treatment outlines for common conditions created by medical director and shared with all veterinarians
- Written estimates and payment arrangements signed prior to treatment/surgery
- Written protocols by the medical director detailing standard of care
- 24 hour emergency phone line available to clients for any concerns that is manned by an experienced technician
- Agreement with local emergency clinic for aftercare if needed
- Leadership addresses client complaints immediately and allows involved staff to participate in resolving any issues

Section 12 References

1. Herman, M.L. (2010). Risk management. In D.O. Renz (ed.), *The Jossey-Bass Handbook of Nonprofit Leadership and Management* (pp. 642-666). San Francisco, CA: Jossey-Bass
2. Kumaran, M. (2014). Module 12: Risk Management. Retrieved from <https://ufl.instructure.com/courses/339646/pages/module-12-risk-management>

Appendix A: Annual Payroll Budget

Executive Director: \$90,000

Development Director: \$60,000

Volunteer Director: \$50,000

Human Resources and Finance Director: \$50,000

Medical Director: \$90,000

Clinic Director: \$50,000

Staff Veterinarian: \$75,000

Veterinary Technicians (8): \$25,000 each

Client Service Representatives (2): \$15,000 each

Total annual payroll: \$695,000

Appendix B: IRS Form 1023

A new interactive version of Form 1023 is available at www.irs.gov. It includes prefillable questions, auto-calculated fields, help buttons and links to relevant information.

Form **1023**
Rev. December 2013
Department of the Treasury
Internal Revenue Service

Application for Recognition of Exemption
Under Section 501(c)(3) of the Internal Revenue Code

(00) OMB No. 1545-0048

Notes: If exempt status is approved, this application will be open for public inspection.

▶ Use with the June 2009 revision of the instructions for Form 1023 and the current Notice 1022

Use the instructions to complete this application and for a definition of all bold items. For additional help, call IRS Exempt Organizations Customer Account Services toll-free at 1-877-829-5500. Visit our website at www.irs.gov for forms and publications. If the required information and documents are not submitted with payment of the appropriate user fee, the application may be returned to you.

Attach additional sheets to this application if you need more space to answer fully. Put your name and EIN on each sheet and identify each answer by Part and line number. Complete Parts I - XI of Form 1023 and submit only those Schedules (A through H) that apply to you.

I Identification of Applicant

1 Full name of organization (exactly as it appears in your organizing document)		2 c/o Name (if applicable)	
Austin Animal Alliance			
3 Mailing address (Number and street) (see instructions)	Room/Suite	4 Employer Identification Number (EIN)	
9836 Childress Drive		98-183483	
City or town, state or country, and ZIP + 4		5 Month the annual accounting period ends (01 - 12)	
Austin, Texas 78753-7065		12-3017	
6 Primary contact (officer, director, trustee, or authorized representative)		b Phone: 512-678-9667	
a Name: Erin Katribe		c Fax: (optional)	
7 Are you represented by an authorized representative, such as an attorney or accountant? If "Yes," provide the authorized representative's name, and the name and address of the authorized representative's firm. Include a completed Form 2848, <i>Power of Attorney and Declaration of Representative</i> , with your application if you would like us to communicate with your representative.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
8 Was a person who is not one of your officers, directors, trustees, employees, or an authorized representative listed in line 7, paid, or promised payment, to help plan, manage, or advise you about the structure or activities of your organization, or about your financial or tax matters? If "Yes," provide the person's name, the name and address of the person's firm, the amounts paid or promised to be paid, and describe that person's role.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
9a Organization's website: www.austinanimalalliance.org			
b Organization's email: (optional)			
10 Certain organizations are not required to file an information return (Form 990 or Form 990-EZ). If you are granted tax-exemption, are you claiming to be excused from filing Form 990 or Form 990-EZ? If "Yes," explain. See the instructions for a description of organizations not required to file Form 990 or Form 990-EZ.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
11 Date incorporated if a corporation, or formed, if other than a corporation. (MM/DD/YYYY)		08 / 01 / 2017	
12 Were you formed under the laws of a foreign country? If "Yes," state the country.		<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	

For Paperwork Reduction Act Notice, see page 24 of the instructions.

OMB No. 1545-0048

Form **1023** (Rev. 12-2013)

1.3.1 Organizational Structure

You must be a corporation (including a limited liability company), an unincorporated association, or a trust to be tax exempt. (See instructions.) DO NOT file this form unless you can check "Yes" on lines 1, 2, 3, or 4.

- 1 Are you a corporation? If "Yes," attach a copy of your articles of incorporation showing certification of filing with the appropriate state agency. Include copies of any amendments to your articles and be sure they also show state filing certification. Yes No
- 2 Are you a limited liability company (LLC)? If "Yes," attach a copy of your articles of organization showing certification of filing with the appropriate state agency. Also, if you adopted an operating agreement, attach a copy. Include copies of any amendments to your articles and be sure they show state filing certification. Refer to the instructions for circumstances when an LLC should not file its own exemption application. Yes No
- 3 Are you an unincorporated association? If "Yes," attach a copy of your articles of association, constitution, or other similar organizing document that is dated and includes at least two signatures. Include signed and dated copies of any amendments. Yes No
- 4a Are you a trust? If "Yes," attach a signed and dated copy of your trust agreement. Include signed and dated copies of any amendments. Yes No
- b Have you been funded? If "No," explain how you are funded without anything of value placed in trust. Yes No
- 5 Have you adopted bylaws? If "Yes," attach a current copy showing date of adoption. If "No," explain how your officers, directors, or trustees are selected. Yes No

1.3.2 Required Provisions in Your Organizing Document

The following questions are designed to ensure that when you file this application, your organizing document contains the required provisions to meet the organizational test under section 501(c)(3). Unless you can check the boxes in both lines 1 and 2, your organizing document does not meet the organizational test. DO NOT file this application until you have amended your organizing document. Submit your original and amended organizing documents (showing state filing certification if you are a corporation or an LLC) with your application.

- 1 Section 501(c)(3) requires that your organizing document state your exempt purpose(s), such as charitable, religious, educational, and/or scientific purposes. Check the box to confirm that your organizing document meets this requirement. Describe specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document. Refer to the instructions for exempt purpose language. Location of Purpose Clause (Page, Article, and Paragraph):
- 2a Section 501(c)(3) requires that upon dissolution of your organization, your remaining assets must be used exclusively for exempt purposes, such as charitable, religious, educational, and/or scientific purposes. Check the box on line 2a to confirm that your organizing document meets this requirement by express provision for the distribution of assets upon dissolution. If you rely on state law for your dissolution provision, do not check the box on line 2a and go to line 2b.
- 2b If you checked the box on line 2a, specify the location of your dissolution clause (Page, Article, and Paragraph). Do not complete line 2b if you checked box 2a. _____
- 2c See the instructions for information about the operation of state law in your particular state. Check this box if you rely on operation of state law for your dissolution provision and indicate the state:

1.3.3 Narrative Description of Your Activities

Using an attachment, describe your past, present, and planned activities in a narrative. If you believe that you have already provided some of this information in responses to other parts of this application, you may summarize that information here and refer to the specific parts of the application for supporting details. You may also attach representative copies of newsletters, brochures, or similar documents for supporting details to this narrative. Remember that if this application is approved, it will be open for public inspection. Therefore, your narrative description of activities should be thorough and accurate. Refer to the instructions for information that must be included in your description.

1.3.4 Compensation and Other Financial Arrangements With Your Officers, Directors, Trustees, Employees, and Independent Contractors

1a List the names, titles, and mailing addresses of all of your officers, directors, and trustees. For each person listed, state their total annual compensation, or proposed compensation, for all services to the organization, whether as an officer, employee, or other position. Use actual figures, if available. Enter "none" if no compensation is or will be paid. If additional space is needed, attach a separate sheet. Refer to the instructions for information on what to include as compensation.

Name	Title	Mailing address	Compensation amount (annual actual or estimated)
Jocelyn Davis	President	594 Dandy Leather Court Pflugerville, TX 78754	•
Eric Katrbe	Vice President	475 Aberdeen Drive Austin, TX 78774	•
Jill Napierala	Secretary	4763 Bluff Bend Austin, TX 78643	•

Part V Compensation and Other Financial Arrangements With Your Officers, Directors, Trustees, Employees, and Independent Contractors (Continued)

b List the names, titles, and mailing addresses of each of your five highest compensated employees who receive or will receive compensation of more than \$50,000 per year. Use the actual figure, if available. Refer to the instructions for information on what to include as compensation. Do not include officers, directors, or trustees listed in line 1a.

Name	Title	Mailing address	Compensation amount (annual actual or estimated)
None			

c List the names, names of businesses, and mailing addresses of your five highest compensated independent contractors that receive or will receive compensation of more than \$50,000 per year. Use the actual figure, if available. Refer to the instructions for information on what to include as compensation.

Name	Title	Mailing address	Compensation amount (annual actual or estimated)
None			

The following "Yes" or "No" questions relate to past, present, or planned relationships, transactions, or agreements with your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed in lines 1a, 1b, and 1c.

- 3a** Are any of your officers, directors, or trustees related to each other through family or business relationships? If "Yes," identify the individuals and explain the relationship. Yes No
- b** Do you have a business relationship with any of your officers, directors, or trustees other than through their position as an officer, director, or trustee? If "Yes," identify the individuals and describe the business relationship with each of your officers, directors, or trustees. Yes No
- c** Are any of your officers, directors, or trustees related to your highest compensated employees or highest compensated independent contractors listed on lines 1b or 1c through family or business relationships? If "Yes," identify the individuals and explain the relationship. Yes No
- 3a** For each of your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed on lines 1a, 1b, or 1c, attach a list showing their name, qualifications, average hours worked, and duties.
- b** Do any of your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed on lines 1a, 1b, or 1c receive compensation from any other organizations, whether for exempt or taxable, that are related to you through common control? If "Yes," identify the individuals, explain the relationship between you and the other organization, and describe the compensation arrangement. Yes No
- 4** In establishing the compensation for your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed on lines 1a, 1b, and 1c, the following practices are recommended, although they are not required to obtain exemption. Answer "Yes" to all the practices you use.
 - a** Do you or will the individuals that approve compensation arrangements follow a conflict of interest policy? Yes No
 - b** Do you or will you approve compensation arrangements in advance of paying compensation? Yes No
 - c** Do you or will you document in writing the date and terms of approved compensation arrangements? Yes No

Part V Compensation and Other Financial Arrangements With Your Officers, Directors, Trustees, Employees, and Independent Contractors (Continued)

d	Do you or will you record in writing the decision made by each individual who decided or voted on compensation arrangements?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
e	Do you or will you approve compensation arrangements based on information about compensation paid by similarly situated taxable or tax-exempt organizations for similar services, current compensation surveys compiled by independent firms, or actual written offers from similarly situated organizations? Refer to the instructions for Part V, lines 1a, 1b, and 1c, for information on what to include as compensation.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
f	Do you or will you record in writing both the information on which you relied to base your decision and its source?	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
g	If you answered "No" to any item on lines 4e through 4f, describe how you set compensation that is reasonable for your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed in Part V, lines 1a, 1b, and 1c.		
8a	Have you adopted a conflict of interest policy consistent with the sample conflict of interest policy in Appendix A to the instructions? If "Yes," provide a copy of the policy and explain how the policy has been adopted, such as by resolution of your governing board. If "No," answer lines 8b and 8c.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b	What procedures will you follow to assure that persons who have a conflict of interest will not have influence over you for setting their own compensation?		
c	What procedures will you follow to assure that persons who have a conflict of interest will not have influence over you regarding business deals with themselves?		
	Note: A conflict of interest policy is recommended though it is not required to obtain exemption. Hospitals, see Schedule C, Section I, line 14.		
8a	Do you or will you compensate any of your officers, directors, trustees, highest compensated employees, and highest compensated independent contractors listed in line 1a, 1b, or 1c through non-fixed payments, such as discretionary bonuses or revenue-based payments? If "Yes," describe all non-fixed compensation arrangements, including how the amounts are determined, who is eligible for such arrangements, whether you place a limitation on total compensation, and how you determine or will determine that you pay no more than reasonable compensation for services. Refer to the instructions for Part V, lines 1a, 1b, and 1c, for information on what to include as compensation.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	Do you or will you compensate any of your employees, other than your officers, directors, trustees, or your five highest compensated employees who receive or will receive compensation of more than \$50,000 per year, through non-fixed payments, such as discretionary bonuses or revenue-based payments? If "Yes," describe all non-fixed compensation arrangements, including how the amounts are or will be determined, who is or will be eligible for such arrangements, whether you place or will place a limitation on total compensation, and how you determine or will determine that you pay no more than reasonable compensation for services. Refer to the instructions for Part V, lines 1a, 1b, and 1c, for information on what to include as compensation.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
7a	Do you or will you purchase any goods, services, or assets from any of your officers, directors, trustees, highest compensated employees, or highest compensated independent contractors listed in lines 1a, 1b, or 1c? If "Yes," describe any such purchases that you made or intend to make, from whom you make or will make such purchases, how the terms are or will be negotiated at arm's length, and explain how you determine or will determine that you pay no more than fair market value. Attach copies of any written contracts or other agreements relating to such purchases.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	Do you or will you sell any goods, services, or assets to any of your officers, directors, trustees, highest compensated employees, or highest compensated independent contractors listed in lines 1a, 1b, or 1c? If "Yes," describe any such sales that you made or intend to make, to whom you make or will make such sales, how the terms are or will be negotiated at arm's length, and explain how you determine or will determine you are or will be paid at least fair market value. Attach copies of any written contracts or other agreements relating to such sales.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
8a	Do you or will you have any leases, contracts, loans, or other agreements with your officers, directors, trustees, highest compensated employees, or highest compensated independent contractors listed in lines 1a, 1b, or 1c? If "Yes," provide the information requested in lines 8b through 8f.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	Describe any written or oral arrangements that you made or intend to make.		
c	Identify with whom you have or will have such arrangements.		
d	Explain how the terms are or will be negotiated at arm's length.		
e	Explain how you determine you pay no more than fair market value or you are paid at least fair market value.		
f	Attach copies of any signed leases, contracts, loans, or other agreements relating to such arrangements.		
8a	Do you or will you have any leases, contracts, loans, or other agreements with any organization in which any of your officers, directors, or trustees are also officers, directors, or trustees, or in which any individual officer, director, or trustee owns more than a 35% interest? If "Yes," provide the information requested in lines 8b through 8f.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Part V Compensation and Other Financial Arrangements With Your Officers, Directors, Trustees, Employees, and Independent Contractors (Continued)

- b Describe any written or oral arrangements you made or intend to make.
- c Identify with whom you have or will have such arrangements.
- d Explain how the terms are or will be negotiated at arm's length.
- e Explain how you determine or will determine you pay no more than fair market value or that you are paid at least fair market value.
- f Attach a copy of any signal leases, contracts, loans, or other agreements relating to such arrangements.

Part VI Your Members and Other Individuals and Organizations That Receive Benefits From You

The following "Yes" or "No" questions relate to goods, services, and funds you provide to individuals and organizations as part of your activities. Your answers should pertain to past, present, and planned activities. (See instructions.)

- 1a In carrying out your exempt purposes, do you provide goods, services, or funds to individuals? If "Yes," describe each program that provides goods, services, or funds to individuals. Yes No
- b In carrying out your exempt purposes, do you provide goods, services, or funds to organizations? If "Yes," describe each program that provides goods, services, or funds to organizations. Yes No
- 2 Do any of your programs limit the provision of goods, services, or funds to a specific individual or group of specific individuals? For example, answer "Yes," if goods, services, or funds are provided only for a particular individual, your members, individuals who work for a particular employer, or graduates of a particular school. If "Yes," explain the limitation and how recipients are selected for each program. Yes No
- 3 Do any individuals who receive goods, services, or funds through your programs have a family or business relationship with any officer, director, trustee, or with any of your highest compensated employees or highest compensated independent contractors listed in Part V, lines 1a, 1b, and 1e? If "Yes," explain how these related individuals are eligible for goods, services, or funds. Yes No

Part VII Your History

The following "Yes" or "No" questions relate to your history. (See instructions.)

- 1 Are you a successor to another organization? Answer "Yes," if you have taken or will take over the activities of another organization; you took over 25% or more of the fair market value of the net assets of another organization; or you were established upon the conversion of an organization from for-profit to non-profit status. If "Yes," complete Schedule G. Yes No
- 2 Are you submitting this application more than 27 months after the end of the month in which you were legally formed? If "Yes," complete Schedule E. Yes No

Part VIII Your Specific Activities

The following "Yes" or "No" questions relate to specific activities that you may conduct. Check the appropriate box. Your answers should pertain to past, present, and planned activities. (See instructions.)

- 1 Do you support or oppose candidates in political campaigns in any way? If "Yes," explain. Yes No
- 2a Do you attempt to influence legislation? If "Yes," explain how you attempt to influence legislation and complete line 2b. If "No," go to line 3a. Yes No
- b Have you made or are you making an election to have your legislative activities measured by expenditures by filing Form 5786? If "Yes," attach a copy of the Form 5786 that was already filed or attach a completed Form 5786 that you are filing with this application. If "No," describe whether your attempts to influence legislation are a substantial part of your activities. Include the time and money spent on your attempts to influence legislation as compared to your total activities. Yes No
- 3a Do you or will you operate bingo or gaming activities? If "Yes," describe who conducts them, and list all revenue received or expected to be received and expenses paid or expected to be paid in operating these activities. Revenue and expenses should be provided for the time periods specified in Part IX, Financial Data. Yes No
- b Do you or will you enter into contracts or other agreements with individuals or organizations to conduct bingo or gaming for you? If "Yes," describe any written or oral arrangements that you made or intend to make, identify with whom you have or will have such arrangements, explain how the terms are or will be negotiated at arm's length, and explain how you determine or will determine you pay no more than fair market value or you will be paid at least fair market value. Attach copies of any written contracts or other agreements relating to such arrangements. Yes No
- c List the states and local jurisdictions, including Indian Reservations, in which you conduct or will conduct gaming or bingo.

Part III Year-Specific Activities (Continued)

4a	Do you or will you undertake fundraising? If "Yes," check all the fundraising programs you do or will conduct. (See instructions.)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
	<input checked="" type="checkbox"/> mail solicitations <input checked="" type="checkbox"/> email solicitations <input checked="" type="checkbox"/> personal solicitations <input type="checkbox"/> vehicle, boat, plane, or similar donations <input checked="" type="checkbox"/> foundation grant solicitations	<input checked="" type="checkbox"/> phone solicitations <input checked="" type="checkbox"/> accept donations on your website <input type="checkbox"/> receive donations from another organization's website <input checked="" type="checkbox"/> government grant solicitations <input checked="" type="checkbox"/> Other	
	Attach a description of each fundraising program.		
b	Do you or will you have written or oral contracts with any individuals or organizations to raise funds for you? If "Yes," describe these activities. Include all revenues and expenses from these activities and state who conducts them. Revenue and expenses should be provided for the time periods specified in Part III, Financial Data. Also, attach a copy of any contracts or agreements.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
c	Do you or will you engage in fundraising activities for other organizations? If "Yes," describe these arrangements. Include a description of the organizations for which you raise funds and attach copies of all contracts or agreements.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
d	List all states and local jurisdictions in which you conduct fundraising. For each state or local jurisdiction listed, specify whether you fundraise for your own organization, you fundraise for another organization, or another organization fundraises for you.		
e	Do you or will you maintain separate accounts for any contributor under which the contributor has the right to advise on the use or distribution of funds? Answer "Yes" if the donor may provide advice on the types of investments, distributions from the types of investments, or the distribution from the donor's contribution account. If "Yes," describe this program, including the type of advice that may be provided and submit copies of any written materials provided to donors.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
5	Are you affiliated with a governmental unit? If "Yes," explain.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
6a	Do you or will you engage in economic development? If "Yes," describe your program.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
b	Describe in full who benefits from your economic development activities and how the activities promote exempt purposes.		
7a	Do or will persons other than your employees or volunteers develop your facilities? If "Yes," describe each facility, the role of the developer, and any business or family relationship(s) between the developer and your officers, directors, or trustees.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	Do or will persons other than your employees or volunteers manage your activities or facilities? If "Yes," describe each activity and facility, the role of the manager, and any business or family relationship(s) between the manager and your officers, directors, or trustees.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
c	If there is a business or family relationship between any manager or developer and your officers, directors, or trustees, identify the individuals, explain the relationship, describe how contracts are negotiated at arm's length so that you pay no more than fair market value, and submit a copy of any contracts or other agreements.		
8	Do you or will you enter into joint ventures, including partnerships or limited liability companies treated as partnerships, in which you share profits and losses with partners other than section 501(c)(3) organizations? If "Yes," describe the activities of these joint ventures in which you participate.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
9a	Are you applying for exemption as a childcare organization under section 501(c)(7)? If "Yes," answer lines 9b through 9d. If "No," go to line 10.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
b	Do you provide child care so that parents or caretakers of children you care for can be gainfully employed (see instructions)? If "No," explain how you qualify as a childcare organization described in section 601(c).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
c	Of the children for whom you provide child care, are 85% or more of them cared for by you to enable their parents or caretakers to be gainfully employed (see instructions)? If "No," explain how you qualify as a childcare organization described in section 601(c).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
d	Are your services available to the general public? If "No," describe the specific group of people for whom your activities are available. Also, see the instructions and explain how you qualify as a childcare organization described in section 601(c).	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
10	Do you or will you publish, own, or have rights in music, literature, tapes, artworks, choreography, scientific discoveries, or other intellectual property? If "Yes," explain. Describe who owns or will own any copyrights, patents, or trademarks, whether fees are or will be charged, how the fees are determined, and how any items are or will be produced, distributed, and marketed.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

Part VIII Your Specific Activities (Continued)

11	Do you or will you accept contributions of: real property; conservation easements; closely held securities; intellectual property such as patents, trademarks, and copyrights; works of made or art; licenses; royalties; automobiles, boats, planes, or other vehicles; or collectibles of any type? If "Yes," describe each type of contribution, any conditions imposed by the donor on the contribution, and any agreements with the donor regarding the contribution.	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
12a	Do you or will you operate in a foreign country or countries? If "Yes," answer lines 12b through 12d. If "No," go to line 13a.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	b Name the foreign countries and regions within the countries in which you operate.		
	c Describe your operations in each country and region in which you operate.		
	d Describe how your operations in each country and region further your exempt purposes.		
13a	Do you or will you make grants, loans, or other distributions to organization(s)? If "Yes," answer lines 13b through 13g. If "No," go to line 14a.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	b Describe how your grants, loans, or other distributions to organizations further your exempt purposes.		
	c Do you have written contracts with each of these organizations? If "Yes," attach a copy of each contract.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	d Identify each recipient organization and any relationship between you and the recipient organization.		
	e Describe the records you keep with respect to the grants, loans, or other distributions you make.		
	f Describe your selection process, including whether you do any of the following:		
	(i) Do you require an application form? If "Yes," attach a copy of the form.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	(ii) Do you require a grant proposal? If "Yes," describe whether the grant proposal specifies your responsibilities and those of the grantees, obligates the grantees to use the grant funds only for the purposes for which the grant was made, provides for periodic written reports concerning the use of grant funds, requires a final written report and an accounting of how grant funds were used, and acknowledges your authority to withhold and/or recover grant funds in case such funds are, or appear to be, misused.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	g Describe your procedures for oversight of distributions that assure you the resources are used to further your exempt purposes, including whether you require periodic and final reports on the use of resources.		
14a	Do you or will you make grants, loans, or other distributions to foreign organizations? If "Yes," answer lines 14b through 14f. If "No," go to line 15.	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
	b Provide the name of each foreign organization, the country and regions within a country in which each foreign organization operates, and describe any relationship you have with each foreign organization.		
	c Does any foreign organization listed in line 14b accept contributions earmarked for a specific country or specific organization? If "Yes," list all earmarked organizations or countries.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	d Do your contributors know that you have ultimate authority to use contributions made to you at your discretion for purposes consistent with your exempt purposes? If "Yes," describe how you relay this information to contributors.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	e Do you or will you make pre-grant inquiries about the recipient organization? If "Yes," describe these inquiries, including whether you inquire about the recipient's financial status, its tax-exempt status under the Internal Revenue Code, its ability to accomplish the purpose for which the resources are provided, and other relevant information.	<input type="checkbox"/> Yes	<input type="checkbox"/> No
	f Do you or will you use any additional procedures to ensure that your distributions to foreign organizations are used in furtherance of your exempt purposes? If "Yes," describe these procedures, including site visits by your employees or compliance checks by impartial experts, to verify that grant funds are being used appropriately.	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Part VIII Your Specific Activities (Continued)

- | | | |
|----|--|---|
| 16 | Do you have a close connection with any organizations? If "Yes," explain. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 16 | Are you applying for exemption as a cooperative hospital care organization under section 501(c)? If "Yes," explain. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 17 | Are you applying for exemption as a cooperative service organization of operating educational organizations under section 501(c)? If "Yes," explain. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 18 | Are you applying for exemption as a charitable retail pool under section 501(c)? If "Yes," explain. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 19 | Do you or will you operate a school? If "Yes," complete Schedule B. Answer "Yes," whether you operate a school as your main function or as a secondary activity. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 20 | Is your main function to provide hospital or medical care? If "Yes," complete Schedule C. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 21 | Do you or will you provide low-income housing or housing for the elderly or handicapped? If "Yes," complete Schedule F. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |
| 22 | Do you or will you provide scholarships, fellowships, educational loans, or other educational grants to individuals, including grants for travel, study, or other similar purposes? If "Yes," complete Schedule H. | <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No |

Note: Private foundations may use Schedule H to request advance approval of individual grant procedures.

Part I Financial Data

For purposes of this schedule, years in existence refer to completed tax years. If in existence 4 or more years, complete the schedule for the most recent 4 tax years. If in existence more than 1 year but less than 4 years, complete the statements for each year in existence and provide projections of your likely revenues and expenses based on a reasonable and good faith estimate of your future finances for a total of 3 years of financial information. If in existence less than 1 year, provide projections of your likely revenues and expenses for the current year and the 2 following years, based on a reasonable and good faith estimate of your future finances for a total of 3 years of financial information. (See instructions.)

A. Statement of Revenue and Expenses

Type of revenue or expense	Current tax year	2 prior tax years or 2 succeeding tax years				(e) Provide Total for (a) through (d)
	(a) From <u>12/31/17</u> To <u>12/31/18</u>	(b) From To	(c) From To	(d) From To		
Revenues						
1 Gifts, grants, and contributions received (do not include unusual grants)	1,545,889					
2 Membership fees received	0					
3 Gross investment income	0					
4 Net unrealized business income	0					
5 Taxes levied for your benefit	0					
6 Value of services or facilities furnished by a governmental unit without charge (not including the value of services generally furnished to the public without charge)	0					
7 Any revenue not otherwise listed above or in lines 8-12 below (attach an itemized list)	458,064					
8 Total of lines 1 through 7	2,004,773					
9 Gross receipts from admissions, merchandise sold or services performed, or furnishing of facilities in any activity that is related to your exempt purposes (attach itemized list)						
10 Total of lines 8 and 9	2,004,773					
11 Net gain or loss on sale of capital assets (attach schedule and see instructions)						
12 Unusual grants						
13 Total Revenue Add lines 10 through 12	2,004,773					
Expenses						
14 Fundraising expenses	65,000					
15 Contributions, gifts, grants, and similar amounts paid out (attach an itemized list)						
16 Disbursements to or for the benefit of members (attach an itemized list)						
17 Compensation of officers, directors, and trustees	00000					
18 Other salaries and wages	608000					
19 Interest expense						
20 Occupancy (rent, utilities, etc.)	30000					
21 Depreciation and depletion						
22 Professional fees						
23 Any expense not otherwise classified, such as program services (attach itemized list)						
24 Total Expense Add lines 14 through 23	700000					

Part IX Financial Data (Continued)

B. Balance sheet (for your most recently completed tax year)		Year End
Assets		(Whole dollars)
1	Cash	1 230000
2	Accounts receivable, net	2 10000
3	Inventories	3 10000
4	Bonds and notes receivable (attach an itemized list)	4
5	Corporate stocks (attach an itemized list)	5
6	Loans receivable (attach an itemized list)	6
7	Other investments (attach an itemized list)	7
8	Depreciable and depletable assets (attach an itemized list)	8
9	Land	9
10	Other assets (attach an itemized list)	10
11	Total Assets (add lines 1 through 10)	11 280000
Liabilities		
12	Accounts payable	12 10000
13	Contributions, gifts, grants, etc. payable	13
14	Mortgages and notes payable (attach an itemized list)	14
15	Other liabilities (attach an itemized list)	15
16	Total Liabilities (add lines 12 through 15)	16 10000
Fund Balances or Net Assets		
17	Total fund balances or net assets	17
18	Total Liabilities and Fund Balances or Net Assets (add lines 16 and 17)	18

19 Have there been any substantial changes in your assets or liabilities since the end of the period shown above? If "Yes," explain. Yes No

Part X Public Charity Status

Part X is designed to classify you as an organization that is either a private foundation or a public charity. Public charity status is a more favorable tax status than private foundation status. If you are a private foundation, Part X is designed to further determine whether you are a private operating foundation. (See instructions.)

1a Are you a private foundation? If "Yes," go to line 1b. If "No," go to line 3 and proceed as instructed. Yes No
If you are unsure, see the instructions.

1b As a private foundation, section 508(a) requires special provisions in your organizing document in addition to those that apply to all organizations described in section 501(c)(3). Check the box to confirm that your organizing document meets this requirement, whether by express provision or by reference to operation of state law. Attach a statement that describes specifically where your organizing document meets this requirement, such as a reference to a particular article or section in your organizing document or by operation of state law. See the instructions, including Appendix B, for information about the special provisions that need to be contained in your organizing document. Go to line 2.

2 Are you a private operating foundation? To be a private operating foundation you must engage directly in the active conduct of charitable, religious, educational, and similar activities, as opposed to indirectly carrying out these activities by providing grants to individuals or other organizations. If "Yes," go to line 5. If "No," go to the signature section of Part XI. Yes No

3 Have you existed for one or more years? If "Yes," attach financial information showing that you are a private operating foundation; go to the signature section of Part XI. If "No," continue to line 4. Yes No

4 Have you attached either (1) an affidavit or opinion of counsel, (including a written affidavit or opinion from a certified public accountant or accounting firm with expertise regarding this tax law matter), that sets forth facts concerning your operations and support to demonstrate that you are likely to satisfy the requirements to be classified as a private operating foundation; or (2) a statement describing your proposed operations as a private operating foundation? Yes No

5 If you answered "No" to line 1a, indicate the type of public charity status you are requesting by checking one of the choices below. You may check only one box.

- a 508(c)(1) and 170(b)(1)(A)(i)—a church or a convention or association of churches. Complete and attach Schedule A.
- b 508(c)(1) and 170(b)(1)(A)(ii)—a school. Complete and attach Schedule B.
- c 508(c)(1) and 170(b)(1)(A)(iii)—a hospital, a cooperative hospital service organization, or a medical research organization operated in conjunction with a hospital. Complete and attach Schedule C.
- d 508(c)(2)—an organization supporting either one or more organizations described in line 5a through c, e, g, or h or a publicly supported section 501(c)(4), (5), or (6) organization. Complete and attach Schedule D.

Part 4 Public Charity Status (Continued)

- e 608(c)(4)—an organization organized and operated exclusively for testing for public safety.
- f 608(c)(1) and 170(b)(1)(A)(iv)—an organization operated for the benefit of a college or university that is owned or operated by a governmental unit.
- g 608(c)(1) and 170(b)(1)(A)(iv)—an organization that receives a substantial part of its financial support in the form of contributions from publicly supported organizations, from a governmental unit, or from the general public.
- h 608(c)(2)—an organization that normally receives not more than one-third of its financial support from gross investment income and receives more than one-third of its financial support from contributions, membership fees, and gross receipts from activities related to its exempt functions (subject to certain exceptions).
- i A publicly supported organization, but unusual if it is described in 5g or 5h. The organization would like the IRS to decide the correct status.

6 If you checked box g, h, or i in question 5 above, you must request either an advance or a definitive ruling by selecting one of the boxes below. Refer to the instructions to determine which type of ruling you are eligible to receive.

- a **Request for Advance Ruling:** By checking this box and signing the consent, pursuant to section 6601(d)(4) of the Code you request an advance ruling and agree to extend the statute of limitations on the assessment of estate tax under section 6910 of the Code. The tax will apply only if you do not establish public support status at the end of the 6-year advance ruling period. The assessment period will be extended for the 6 advance ruling years to 5 years, 4 months, and 15 days beyond the end of the first year. You have the right to refuse or limit the extension to a mutually agreed-upon period of time or less(s). Publication 1036, *Extending the Tax Assessment Period*, provides a more detailed explanation of your rights and the consequences of the choices you make. You may obtain Publication 1036 free of charge from the IRS web site at www.irs.gov or by calling toll-free 1-800-829-3478. Signing this consent will not deprive you of any appeal rights to which you would otherwise be entitled. If you decide not to extend the statute of limitations, you are not eligible for an advance ruling.

Consent Filing Period of Limitations Upon Assessment of Tax Under Section 6910 of the Internal Revenue Code

For Organization

.....
 (Signature of Officer, Director, Trustee, or other authorized official) (Type or print name of signer) (Date)

 (Type or print title or authority of signer)

For IRS Use Only

.....
 IRS Director, Exempt Organizations (Date)

- b **Request for Definitive Ruling:** Check this box if you have completed one tax year or at least 6 full months and you are requesting a definitive ruling. To confirm your public support status, answer line 6(b) if you checked box g in line 5 above. Answer line 6(c) if you checked box h in line 5 above. If you checked box i in line 5 above, answer both lines 6(b) and 6(c).

- (b) (i) Enter 2% of line 8, column (e) on Part D-A, Statement of Revenues and Expenses. _____
- (ii) Attach a list showing the name and amount contributed by each person, company, or organization whose gifts totaled more than the 2% amount. If the answer is "None," check this box.
- (c) (i) For each year amounts are included on lines 1, 2, and 8 of Part D-A, Statement of Revenues and Expenses, attach a list showing the name of and amount received from each disqualified person. If the answer is "None," check this box.
- (ii) For each year amounts are included on line 8 of Part D-A, Statement of Revenues and Expenses, attach a list showing the name of and amount received from each payer, other than a disqualified person, whose payments were more than the larger of (1) 1% of line 10, Part D-A, Statement of Revenues and Expenses, or (2) \$5,000. If the answer is "None," check this box.

- 7 Did you receive any unusual grants during any of the years shown on Part D-A, Statement of Revenues and Expenses? If "Yes," attach a list including the name of the contributor, the date and amount of the grant, a brief description of the grant, and explain why it is unusual. Yes No

