-PROPOSAL-

GENERAL SUPPORT GRANT

THE CARTER CENTER

EMORY UNIVERSITY

INTRODUCTION

The purpose of this proposal is to ask _____ to consider granting The Carter Center $200,000 in general support for the period September 1, 1983 to August 31, 1983.

The concept of The Carter Center was formulated in late 1982, and the organization began to emerge early in 1983. Plans to begin the many programs of the Center have begun and in many cases -- as with The Middle East Consultation -- are under-way.

Undertaking a project such as The Carter Center requires the infusion of substantial capital at the outset. That this Center is being constructed in conjunction with the Carter Presidential Library increases the demand for investment greatly. Of the costs to be faced, perhaps the most serious are those relating to the general support of Center operations. The ability to attract top calibre scholars is directly related to the security of basic funding a center can offer. Likewise, a center's capacity to create a steady flow of funds over time is directly related to its initial capacity to foster investment.

Emory University's request to _____ is to

match the University's investment of its own funds to underwrite the operating costs of The Carter Center during its first year of full operation. Throughout the year, _____ will receive appropriate recognition for the investment and will be known in perpetuity as a Founder of the Center.

PREMISES AND PRINCIPLES

The Carter Center is dedicated to the pursuit of peace, progress and human rights throughout the world. In pursuing this mission, those that govern the Center are aware of the temptation to make all things to all people -- its mission has implications in nearly every social, economic and political sector. Likewise, a Center with an admirable and seemingly boundless mission has the potential to expand its empire to engulf the university that is its sponsor. Thus, it follows that certain premises and principles governing this Center and its development need to be stated from the beginning.

First, the Center is an institution of Emory University on a par with other professional schools of the University. In this regard, the Center shares the philosophical, organizational and financial rights and responsibilities afforded to all schools in the University campus.

Second, the Center is an applied research institution. That is, its mission principally is to undertake research which will contribute to improved decisions by contemporary policy makers. Through its Fellows and other affiliates, it will be somewhat involved in the eduational programs of Emory University and other institutions, but these will not be primary missions. Also, the Center will be a host site for conferences and consultations when Center-sponsored research forms the basis for the meetings.

Third, the Center is a resource to the public for general information and education, to policy makers for assistance in evaluating controversal and complex issues, to private and public concerns embroiled in disputes, and for academic institutions desiring to undertake special programs in public policy analysis.

Fourth, the Center is not a political retreat. The individuals invited to reside as permanent and visiting Scholars and other involved in Center programs will be invited based upon their expertise in issues understudy. Partisan affilation is unimportant except as issues require special expertise associated with understanding particular partisan perspectives.

Fifth, the Center is intended to be a facilitator for cross-fertilization among disciples in the study of issues. It is not intended to substitute for work of any particular

discipline. In this way, the Center will encourage joint and shared appointments with disciplinarians and their respective "name" departments rather than fully appointing these in the Center.

Sixth, the Center is responsible for its own financial self-sufficiency. Before undertaking programs, the Center must be able to certify the solvency of the undertaking. Likewise, those who might chose to use the Center as a site for their research must be able to show the fiscal stability of their proposed undertaking.

ORGANIZATION

Structure

The Center is an administrative division of Emory University and, therefore, ultimately is accountable to The Emory University Board of Trustees for all of its activities. The Center itself is governed by an Executive Committee, chaired by the Center's Executive Director, which reports to the President of Emory University. The Executive Committee is advised in its deliberations by a Board of Policy Advisors, chaired by former President Jimmy Carter, and by a Research Council, chaired by James T. Laney, President of Emory University. The Executive Committee oversees the activities of the Executive Director and the administrative and research staff that comprise the Center. The purpose of this section is to discuss each of these organizational features in more detail.

THE EXECUTIVE COMMITTEE

This Committee is responsible for the regular operating decisions of the Center and is accountable through the President of Emory University to The Board of Trustees. The Executive Committee is comprised of:

The Executive Director, Chair

James T. Laney, President of Emory University, ex-officio

Jimmy Carter, ex-officio

_____

_____

Specifically, this Committee is responsible for all matters of governance affecting the Center, including:

1. Personnel matters
2. Financial budgeting and fund-raising matters
3. Short- and long-term planning
4. Center relations
5. Center programs

The Executive Committee will report on its activities regularly to the Board of Trustees through the President of Emory University, and will publish annually a report of its activities for public information.

THE BOARD OF POLICY ADVISORS

Appointed for stated terms by The Board of Trustees on recommendation from former President Jimmy Carter and Emory University President James T. Laney, this Board is composed of 21 members. This Board will be convened semi-annually for purposes of recommending the broad policies governing the Center's pursuit of its mission. The members of this Board may form committees at their discretion to provide guidance on specific programs or issues. Although advisory of necessity, owing to the University's legal structure, it is expected that this Board will be a principal authority of the Center, deferring to the Board of Trustees when matters of general University policy may pose questions.

With the exception of former President Carter, who shall serve as chairman of this Board at his discretion, and certain other officials, whose membership is determined by their holding a particular office, other members of this Board shall broadly represent institutions, organizations and individuals who have distinguished themselves as leaders in public policy. Individuals may be appointed for alternating three-year terms, with no more than twenty-five per cent of the membership at any one time being from Emory University. At the expiration of terms, individuals may be reappointed without limit to subsequent terms.

Appointments to The Board of Policy Advisors are made annually by resolution of The Board of Trustees of Emory University on recommendation from The Executive Director of the Center, The Executive Policy Committee, former President Carter, and the President of Emory University. Appointments may be made collectively or individually by The Board of Trustees. A majority vote is required for appointment to the three-year term.

THE RESEARCH COUNCIL

The Center desires to pursue research interests that are distinctive and that do not duplicate that which might be done better by other organizations or government agencies. Also, in keeping with the desire to restrict the total size of the

research effort to those areas where programs have optimal impact, the Center desires to maintain a carefully governed applied research agenda. These are the principal missions of the Research Council, a body of ___ distinguished research scholars known for their contributions to the decision sciences.

Aside from determining which research areas on which the Center should concentrate its programs, the Council will also assume advisory responsibility for specific programs of the Center. In this regard, each program of the Center -- depending upon its dimensions -- will work with an individual Council member or a committee of Council members throughout its duration. The full Research Council will be convened biannually, with the understanding that individuals and committees associated with particular programs may meet otherwise as required.

With the exception of the President of Emory University, who serves as permanent chairman by virtue of position, the other members of this Council shall broadly represent institutions, organizations and disciplines seen as central to the study of policy decisions. Individuals may be appointed for alternating three-year terms, with no more than twenty-five percent of the membership at any one time being from Emory University. At the expiration of terms, individuals may be reappointed without limit to subsequent terms.

Appointments to the Research Council are made annually by resolution of the Board of Trustees of Emory University on recommendation from the Executive Director of the Center, the Executive Policy Committee, former President Carter, and the President of Emory University. Appointments may be made collectively or individually by the Board of Trustees. A majority vote is required for appointment to the three-year term.

AUTHORITY

While the Center is a distinct unit of Emory University, it is responsible and responsive to a number of publics, ultimate administrative authority governing the Center resides with the Emory University Board of Trustees. However, immediate administrative authority and responsibility for conducting the business of the Center lies with the Executive Director and the Executive Policy Committee.

Senior Fellows, Fellows and Research Assistants of the Center share the same rights and responsibilities as faculty in other schools of the University. Thus, the principles of academic freedom and responsibility are those that govern the faculty in their activities and the Center's administration in relation to the faculty. However, because it is seen as a dynamic, ever-changing enterprise, the Center is not to be a tenure-granting division. Naturally, scholars with

tenure from Emory and other institutions will work under the Center's aegis, but tenure will be a function of another division or institution. It will be a specific charge of the Director of Research, in this regard, to safeguard the status of faculty with respect to recognized traditions in higher education.

GUIDANCE

As the Center is the focus of many different publics, it will seek active guidance from these publics in undertaking its work. Most prominently, it will seek policy and directive guidance from a prestigeous Board of Policy Advisors. Although the legal structure of the University requires the University Board of Trustees to retain final authority, this Board is expected to function actively as a working board -- not an honorific one -- which provides substantive direction for the Center over time.

The Research Council, the other source of Center guidance, is a body of prominent academicians, whose task is to oversee the research and programmtic undertakings of the Center, to ensure the academic quality of its work. Under the authority of this Council, the various programs of the Center may choose to establish ad hoc program advisory councils which may attend to particular program concerns. These relationships will be encouraged to the extent found

to be practicable.

As the Center develops, additional formal and informal advisory structures will be considered as they seem appropriate.

MANAGEMENT

The Executive Director is the principal manager of the day to day affairs of the Center. She/he is assisted in this function by a Director of Research who will function as manager in the absence of the Executive Director and who is responsible for the administration of the research programs of the Center. The office of the Executive Director includes professional staff for Development and Business Management, Program Coordination, Information Coordination, and general assistance for both the Executive Director and former President Carter.

The Executive Director may form committees of staff and Fellows within the Center -- including others within the University when appropriate -- and delegate authority to manage certain affairs of the Center, such as planning, budgeting, personnel and development matters. Such committees and delegation of authority shall require prior approval of the Executive Policy Committee.

The Executive Director is responsible for management of the Center to the Executive Policy Committee. This committee will meet as required, but at least quarterly, to review activities of the Center and to prepare management reports for the Board of Policy Advisors, the Research Council, and the President of the University.

Management policies of the Center, once established and approved, shall be maintained by the Executive Director and shall be available for all Center participants for review.

PROGRAMS

The programs of The Carter Center are likely to be as diverse as the individuals who will run them. The fuel for these programs, indeed, lies in their distinctive nature.

Before a program is sponsored by the Center, the Executive Director and the Director of Research, the Executive Committee, and the Research Council -- or its designated representative -- must have the opportunity to approve its undertaking. This approval may not require extraordinary meetings of any of these individuals or bodies but is necessary to ensure that undertakings are consistent with the Research Council's research agenda and other sources of explicit direction.

While programs under its umbrella probably should defy

easy description, there are four general categories within which most programs are likely to fall.

CONSULTATIONS

A major thrust of Center programming will be a series of consultations addressing the most controversial and perplexing issues of the times. These events will be a mode for combining intensive research with action oriented policy discussions, with the ultimate aim of producing specific and appropriate recommendations for action for the consideration of contemporary policy makers. Centering around a major series of public forums, each consultation will require a full year in preparation and completion. It is expected that each consultation will result in a number of related research projects which the Center staff will want to undertake.

The role these consultations will play in the Center's life has been firmly established by the decision to focus the first consultation -- the Center's first major program -- on the continuation of the Middle East Peace Process. Currently, research commitments are being made which will culminate in a gathering of leaders and scholars at Emory University for debates, discussions and meetings in the fall of 1983 - the fifth anniversary of the signing of The Camp David Accords.

RESEARCH

As a product of these consultations and as the result of

the independent scholarship of Center Fellows and affiliated scholars, the Center will be a collaborative base for researchers sharing common interests in particular fields and issues, regardless of their institutional association. Formally, the Center will have its own base of both permanent and visiting distinguished Fellows. These Fellows may hold joint appointments as faculty of Emory University, or any of a number of other regional and national institutions - academic and otherwise. Through its program of independent scholarhship, the Center will seek out not only those with formal academic or institutional affiliation, but also practitioners with interest and expertise in issues to add new dimensions to traditionally conceived research. Many of these scholars will come from business and industry, as well as from other policy institutes.

EDUCATION

As part of its educational mission, the Center shares with other divisions of the academic community the obligation to educate future leaders. While the Carter Center is administratively part of Emory University, it is expected that its educational offerings will be in conjunction with the many area and national universities from which the Center's faculty will be drawn. Courses and seminars at the Center will draw upon the programs of consultation and research and will involve, to the extent practicable, students of policy studies in the deliberations associated with these programs. Students will be also afforded opportunities to work with specific projects

in roles as interns and research associates. Accreditation of courses will be the responsibility of the faculty member and the institution through which the course is offered. As the Center develops, it is expected that there will be a strong continuing education program developed for practitioners at various levels and stages of the policy making process. In addition significant effort will be devoted to providing the general public with on-going education opportunities, locally and nationally, through extensive use of media and community programming.

CONFLICT RESOLUTION

Conflicts and disputes frequently inhibit communication. This is true whether it concerns inter-nation or industrial disagreements. Building on its other activities and President Carter's special capacities as a mediator, it is hoped that the Center will eventually emerge as a site where disputing parties can withdraw somewhat from the public eye and make progress toward the resolution of their differences. It is expected that a staff of resource persons skilled in conflict resolution will eventually be available through the Carter Center.

FACULTY

The programs of the Center will be a product of the faculty that undertakes them. As with its programs, the Center seeks

a diverse, interactive and enterchanging faculty. Rather than taking a traditional approach to establishing a distinct and independent, permanent Center faculty, the Center will seek its faculty in a number of innovative ways:

1. It will seek faculty to be jointly and equally appointed in the Center and in another school of Emory University or another institution.

2. It will seek faculty on sabbatical or leave from other institutions who will be interested in residing as visiting Scholars for defined periods to pursue research of mutual interest.

3. It will seek faculty from those who have appropriate credentials and expertise but are in sectors not normally associated with the academic enterprise, such as the corporate sectors. A wide range of joint and sabbatical-type relationships are plausible here.

4. It will seek a small core of Senior Scholars who might be associated with the Center on a more permanent basis to guide the continuity of Center work.

The Center will establish a number of endowed Chairs and Fellowships over time to sustain this unusual faculty model. Presently, the Center envisages 8 endowed academic units. Each unit would be comprised of a Senior Chair, a Research Fellowship and a research assistance fund. Hopefully,

most chairs and fellowships will be reserved for visiting Scholars, allowing the Center to maintain its control over topics under investigation and reinforcing the important guiding roles of the advisory structures. The Research Council will play a major role in guiding the focus of these units on issues, but it is likely that these units will have some identification with particular broad policy categories. Some of the areas presently being examined for Chair designations include:

Health and Social Policy

International Relations

The Environment

Human Rights

Nuclear Arms Control

Education

Area Studies

Religion, Culture and Conflict

Certainly, the decision about the focus of any endowment will have to be made regarding the generic importance of the issue through time to peace, progress and human rights throughout the world.

FINANCIAL POSITION

Cost of Establishing The Center

Establishing a major center for the study of public policy studies is a costly enterprise. Particularly during the first

developmental years, the resource requirements -- financial and otherwise -- are difficult to generate. Precisely because moving from concept to application requires an element of faith and a willingness to take risks, the position of a Center such as this one is at once vulnerable.

The Center -- structually as part of The Carter Presidential Library, Inc., and The Carter Center of Emory University -- is part of a $25 million capital project. Nearly half of this sum is devoted to the Center facilities themselves.

The administrative costs for the Center during the start-up period (defined as ending on August 31, 1988) will require a $6,470,097 investment for minimum functioning. To alleviate the problems associated with initial funding, Emory University has devoted $654,514 of University funds to the Center. These funds are concentrated during the first four years until the Center's own momentum for funds begins. This leaves the outstanding need for external funds at a $5,815,583 level.

To relieve the need for intense annual searches for operating funds, especially for those at the Senior Fellow level, endowment goals have been set at $12 million during this start-up period. Using a conservative yet standard assumption of a 6 percent spending rate from funds, and examining reasonable salary and support requirements for those supported by endowments, the following thresholds for endowments were used

in the calculations:

1 Executive Director	$1.5 million
1 Research Director	1.25 million
5 Senior Fellows	1.25 million each
2.5 Research Fellows (Fund)	1 million each
5 Research Assistants (Fund)	100,000 each

Our capacity to steadily build towards this twelve million dollar endowment goal over the start-up period has the potential to reduce the operating requirements over the period to $4,360,583.

RELATIONSHIP TO EMORY UNIVERSITY

Emory University has undertaken a major commitment in hosting the sponsorship of The Carter Center. This commitment is more than symbolic, it involves the direct investment of $654,514 in University funds to establish the Center not to mention the host of indirect and in-kind contributions the University is making to help this enterprise.

The University's commitment to The Carter Center is not just altruistic, however. The decision to sponsor and invest in the Center was made with full awareness of the many benefits -- tangible and intangible -- that a Center such as this one brings. Tangibly, the University views the Center as an enterprise that is self-supporting and is able to contribute to the financial well-being of the institution as a whole. These expectations are the same as those held for any School

or other division of the University. Thus, the University does not expect that it will be called upon to invest more to sustain the Center after this initial period.

RELATIONSHIP TO OTHER ENTITIES

The Center is envisaged as a lively enterprise that will play a part in the lives of many organizations, institutions, and individuals for beyond campus walls. In many ways, the Center is expected to function de facto as part of these other entities. Certainly, other entities will be encouraged to use the facilities and resources of the Center -- and, even to come to reside at the Center for periods.

Policies enabling and encouraging these diverse relationships will be established. However, prior to embarking on any of these potentially productive paths, the financial self-sufficiency of each enterprise must be assured. Moreover, undertakings drawing on the resources of the Center for their purposes will assume direct responsibility to restore these.

PROPOSAL

Emory University is asking _____ to consider matching its $221,856 investment in the Center during the first year of full operation with a general support grant of at least $200,000. This grant will not relieve the university totally from a need to continue the search for external support as indicated in the attached planning budget. Indeed, the University

still will be required to realize at least $126,232 beyond this match to undertake full operation as planned.

Emory University is asking _____ to participate with the Center in this way after having made significant commitments of its own. The attached planning budget shows that all of the costs of preparing for this first full-operating year were borne by the University. This initial investment of $232,658 was critical to the development of sound plans that will help guide our Center along a productive course. Also, the University is mindful that its obligation to sustaining the Center continues as shown by plan: to continue investing in the Center until it develops its own self-sustaining pace.

In recognition of the investment _____ will have made in the Center, Emory University will recognize _____ _____ appropriately in all publications of the Center during the years. Moveover, for that willingness to invest in our capacity at this early stage, Emory University would like to include _____ as a Founder of the Center, to be remembered in perpetuity for foresight and generosity.