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Form **990****Return of Organization Exempt From Income Tax**

OMB No. 1545-0047

**2011****Open to Public Inspection**Department of the Treasury  
Internal Revenue Service

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except black lung benefit trust or private foundation)

▶ The organization may have to use a copy of this return to satisfy state reporting requirements.

**A** For the 2011 calendar year, or tax year beginning 2011, and ending 20

**B** Check if applicable: ☐ Address change ☐ Name change ☐ Initial return ☐ Terminated ☐ Amended return ☐ Application pending

**C** Name of organization Rights and Resources Institute, Inc  
Doing Business As Rights and Resources Group  
Number and street (or P.O. box if mail is not delivered to street address) 1238 Wisconsin Ave NW Room/suite Suite 300  
City or town, state or country, and ZIP + 4 Washington, DC 20007-3240

**D** Employer identification number 20-3690821

**E** Telephone number 202-470-3000

**G** Gross receipts \$ 7,336,640

**F** Name and address of principal officer: Thomas A. White  
1238 Wisconsin Ave NW Suite 300, Washington DC 20007

**H(a)** Is this a group return for affiliates? ☐ Yes ☒ No  
**H(b)** Are all affiliates included? ☐ Yes ☒ No  
If "No," attach a list. (see instructions)

**I** Tax-exempt status: ☒ 501(c)(3) ☐ 501(c)( ) (insert no.) ☐ 4947(a)(1) or ☐ 627

**J** Website: www.rightsandresources.org

**K** Form of organization: ☒ Corporation ☐ Trust ☐ Association ☐ Other ▶

**L** Year of formation: 2005 **M** State of legal domicile: DC

**H(c)** Group exemption number ▶

**Part I Summary**

**1** Briefly describe the organization's mission or most significant activities:  
To promote greater global action on pro-poor forest policy and market reforms to increase household and community ownership, control, and benefits from forests and trees through our global coalition of international, regional, and community organizations engaged in conservation, research and development

**2** Check this box ☐ If the organization discontinued its operations or disposed of more than 25% of its net assets.

**3** Number of voting members of the governing body (Part VI, line 1a) 3 10

**4** Number of independent voting members of the governing body (Part VI, line 1b) 4 4

**5** Total number of individuals employed in calendar year 2011 (Part V, line 2a) 5 20

**6** Total number of volunteers (estimate if necessary) 6 0

**7a** Total unrelated business revenue from Part VIII, column (C), line 12 7a 0

**7b** Net unrelated business taxable income from Form 990-T, line 34 7b 0

		Prior Year	Current Year
<b>Revenue</b>	<b>8</b> Contributions and grants (Part VIII, line 1h) . . . . .	6,303,205	7,266,273
	<b>9</b> Program service revenue (Part VIII, line 2g) . . . . .	83,211	65,945
	<b>10</b> Investment income (Part VIII, column (A), lines 3, 4, and 7d) . . . . .	7,943	4,422
	<b>11</b> Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) . . . . .	0	0
	<b>12</b> Total revenue—add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .	6,394,459	7,336,640
<b>Expenses</b>	<b>13</b> Grants and similar amounts paid (Part IX, column (A), lines 1–3) . . . . .	2,733,573	3,482,340
	<b>14</b> Benefits paid to or for members (Part IX, column (A), line 4) . . . . .	0	0
	<b>15</b> Salaries, other compensation, employee benefits (Part IX, column (A), lines 5–10) . . . . .	1,408,091	1,633,563
	<b>16a</b> Professional fundraising fees (Part IX, column (A), line 11e) . . . . .	0	0
	<b>16b</b> Total fundraising expenses (Part IX, column (D), line 25) ▶ <u>RECEIVED</u> . . . . .	1,877,888	2,445,703
	<b>17</b> Other expenses (Part IX, column (A), lines 11a–11d, 11f–24e) <u>OGDEN, UT</u> . . . . .	6,110,451	7,561,626
<b>18</b> Total expenses. Add lines 13–17 (must equal Part IX, column (A), line 25) . . . . .	284,007	-224,986	
<b>19</b> Revenue less expenses. Subtract line 18 from line 12 . . . . .	3,782,674	4,049,911	
<b>Net Assets or Fund Balances</b>	<b>20</b> Total assets (Part X, line 10) . . . . .	3,445,701	4,521,024
	<b>21</b> Total liabilities (Part X, line 20) . . . . .	336,973	127,987
	<b>22</b> Net assets or fund balances. Subtract line 21 from line 20 . . . . .		

**Part II Signature Block**

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

**Sign Here** Signature of officer Thomas A. White Date 13 August 2012

Type or print name and title THOMAS A. WHITE

**Paid Preparer Use Only** Print/type preparer's name Preparer's signature Date Check ☐ if self-employed PTIN Firm's name ▶ Firm's EIN ▶  
Firm's address ▶ Phone no. ▶

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

For Paperwork Reduction Act Notice, see the separate instructions.

Cat. No. 11282Y

Form 990 (2011)

917-20 19 ✓ →

SCANNED AUG 30 2012

**Part III** Statement of Program Service AccomplishmentsCheck if Schedule O contains a response to any question in this Part III ☒**1** Briefly describe the organization's mission:

RRF's Mission is to support local communities' and Indigenous Peoples' struggles against poverty and marginalization by promoting greater global commitment and action towards policy, market and legal reforms that secure their rights to own, control and benefit from natural resources, especially land and forests.

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If "Yes," describe these new services on Schedule O.

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If "Yes," describe these changes on Schedule O.

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

**4a** (Code: ) (Expenses \$ 4,026,590 Including grants of \$ 3,098,620 ) (Revenue \$ 140,800 )

COUNTRY INITIATIVES - See Schedule O

**4b** (Code: ) (Expenses \$ 1,186,976 Including grants of \$ 323,498 ) (Revenue \$ 0 )

THEMATIC PROGRAMS (formerly Strategic Analysts) - See Schedule O

**4c** (Code: ) (Expenses \$ 762,330 Including grants of \$ 45,222 ) (Revenue \$ 0 )

COALITION COORDINATION (formerly part of Communications &amp; Coordination) - See Schedule O

**4d** Other program services (Describe in Schedule O.)

(Expenses \$ 742,451 Including grants of \$ 17,500 ) (Revenue \$ 176,230 )

**4e** Total program service expenses **7,018,347**

**Part IV Checklist of Required Schedules**

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

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

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

**Part IV** Statements Regarding Other IRS Filings and Tax Compliance  
 Check if Schedule O contains a response to any question in this Part V ☐

		Yes	No
1a	Enter the number reported in Box 3 of Form 1098. Enter -0- if not applicable . . . . .	1a	11
b	Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .	1b	0
c	Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .	1c	✓
2a	Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . . . .	2a	20
b	If at least one is reported on line 2a, did the organization file all required federal employment tax returns? . . . . . Note: If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions) . . . . .	2b	✓
3a	Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . . .	3a	✓
b	If "Yes," has it filed a Form 990-T for this year? If "No," provide an explanation in Schedule O . . . . .	3b	
4a	At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . . . .	4a	✓
b	If "Yes," enter the name of the foreign country: ▶ See instructions for filing requirements for Form TD F 90-22.1, Report of Foreign Bank and Financial Accounts.		
5a	Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .	5a	✓
b	Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? . . . . .	5b	✓
c	If "Yes" to line 5a or 5b, did the organization file Form 8886-T? . . . . .	5c	
6a	Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible? . . . . .	6a	✓
b	If "Yes," did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .	6b	
7	Organizations that may receive deductible contributions under section 170(c). . . . .		
a	Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .	7a	✓
b	If "Yes," did the organization notify the donor of the value of the goods or services provided? . . . . .	7b	
c	Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .	7c	✓
d	If "Yes," indicate the number of Forms 8282 filed during the year . . . . .	7d	
e	Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .	7e	✓
f	Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .	7f	✓
g	If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . .	7g	
h	If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . .	7h	
8	Sponsoring organizations maintaining donor advised funds and section 509(a)(3) supporting organizations. Did the supporting organization, or a donor advised fund maintained by a sponsoring organization, have excess business holdings at any time during the year? . . . . .	8	
9	Sponsoring organizations maintaining donor advised funds. . . . .		
a	Did the organization make any taxable distributions under section 4966? . . . . .	9a	
b	Did the organization make a distribution to a donor, donor advisor, or related person? . . . . .	9b	
10	Section 501(c)(7) organizations. Enter: . . . . .		
a	Initiation fees and capital contributions included on Part VIII, line 12 . . . . .	10a	
b	Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .	10b	
11	Section 501(c)(12) organizations. Enter: . . . . .		
a	Gross income from members or shareholders . . . . .	11a	
b	Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.) . . . . .	11b	
12a	Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041? . . . . .	12a	
b	If "Yes," enter the amount of tax-exempt interest received or accrued during the year . . . . .	12b	
13	Section 501(c)(29) qualified nonprofit health insurance issuers. . . . .		
a	Is the organization licensed to issue qualified health plans in more than one state? . . . . . Note: See the instructions for additional information the organization must report on Schedule O.	13a	
b	Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . .	13b	
c	Enter the amount of reserves on hand . . . . .	13c	
14a	Did the organization receive any payments for indoor tanning services during the tax year? . . . . .	14a	✓
b	If "Yes," has it filed a Form 720 to report these payments? If "No," provide an explanation in Schedule O . . . . .	14b	

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

**Section A. Governing Body and Management**

	Yes	No
1a Enter the number of voting members of the governing body at the end of the tax year . . . . . 1a 10		
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		
b Enter the number of voting members included in line 1a, above, who are independent . . . . . 1b 4		
2 Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . . 2		✓
3 Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? . . . . . 3		✓
4 Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . . . . 4		✓
5 Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . . 5		✓
6 Did the organization have members or stockholders? . . . . . 6		✓
7a Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . . . . 7a		✓
b Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . . 7b		✓
8 Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
a The governing body? . . . . . 8a	✓	
b Each committee with authority to act on behalf of the governing body? . . . . . 8b	✓	
9 Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If "Yes," provide the names and addresses in Schedule O. . . . . 9		✓

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

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

**Section C. Disclosure**

- 17 List the states with which a copy of this Form 990 is required to be filed ►
- 18 Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.  
☒ Own website ☒ Another's website ☐ Upon request
- 19 Describe in Schedule O whether (and if so, how), the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.
- 20 State the name, physical address, and telephone number of the person who possesses the books and records of the organization: ► James C. Miller, Director, RRG, 1238 Wisconsin Ave NW Suite 300 Washington, DC 20007, 1-202-470-3800

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response to any question in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees**

1a Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

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

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

(A) Name and Title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) John Hudson Chair of the Board	4	✓						0	0	0
(2) Jean Aden Secretary of the Board	0.5	✓						0	0	0
(3) Don G. Roberts Treasurer	1.5	✓						0	0	0
(4) Ghan Shyam Pandey Member, Executive Committee	0.5	✓						0	0	0
(5) Doris Capistrano Member of the Board	0.5	✓						0	0	0
(6) James Muroimbazi Member of the Board	0.5	✓						0	0	0
(7) Kyeretwie Opoku Member of the Board	0.5	✓						0	0	0
(8) Ujjwal Pradhan Member of the Board	0.5	✓						0	0	0
(9) Victoria Taull-Carpuz Member of the Board	0.5	✓						0	0	0
(10) Thomas A. White President and RRI Coordinator	40	✓		✓				157,507	0	27,685
(11) Arvind Khare Executive Director	40			✓				140,450	0	10,464
(12) Augusta Molnar Director, Country and Regional Programs	40					✓		131,446	0	9,796
(13) James-Christopher Miller Director, Finance & Administration	40			✓				98,383	0	13,415
(14) Deborah Barry Director, Strategic Outreach	40					✓		126,376	0	9,457



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

(A) Name and title	(B) Average hours per week (describe hours for related organizations in Schedule O)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (V-2/1099-MISC)	(E) Reportable compensation from related organizations (V-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(16) Jeffrey Hatcher Director, Global Programs	40					✓		91,564	0	11,300
(17)										
(18)										
(19)										
(20)										
(21)										
(22)										
(23)										
(24)										
(25)										
<b>1b</b> Sub-total . . . . .								745,725		82,097
<b>c</b> Total from continuation sheets to Part VII, Section A . . . . .										
<b>d</b> Total (add lines 1b and 1c) . . . . .								745,725		82,097

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

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

	Yes	No
3		✓

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

	Yes	No
4	✓	

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

	Yes	No
5		✓

**Section B. Independent Contractors**

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

(A) Name and business address	(B) Description of services	(C) Compensation
Burness Communications, 7910 Woodmont Avenue, Ste 700 Bethesda, MD 20814	Media Outreach	109,017.10
Fisher & Strachan, 11820 Coakley Circle, Rockville, MD 20852	Construction, Renovation	143,999

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

0

**Part VIII** Statement of Revenue

				(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512, 513, or 514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1a</b>	Federated campaigns . . . . .	<b>1a</b>				
	<b>b</b>	Membership dues . . . . .	<b>1b</b>				
	<b>c</b>	Fundraising events . . . . .	<b>1c</b>				
	<b>d</b>	Related organizations . . . . .	<b>1d</b>				
	<b>e</b>	Government grants (contributions)	<b>1e</b>	8,161,273			
	<b>f</b>	All other contributions, gifts, grants, and similar amounts not included above	<b>1f</b>	1,105,000			
	<b>g</b>	Noncash contributions included in lines 1a-1f: \$					
	<b>h</b>	<b>Total.</b> Add lines 1a-1f . . . . .		7,266,273			
<b>Program Service Revenue</b>	<b>2a</b>	Service Contracts	Business Code	900099	64,484	64,484	
	<b>b</b>	Other program revenue		900099	11,461	11,461	
	<b>c</b>						
	<b>d</b>						
	<b>e</b>						
	<b>f</b>	All other program service revenue .					
	<b>g</b>	<b>Total.</b> Add lines 2a-2f . . . . .		65,045			
	<b>Other Revenue</b>	<b>3</b>	Investment Income (including dividends, interest, and other similar amounts) . . . . .			4,422	4,422
<b>4</b>		Income from investment of tax-exempt bond proceeds					
<b>5</b>		Royalties . . . . .					
			(i) Real	(ii) Personal			
<b>6a</b>		Gross rents . . . . .					
<b>b</b>		Less: rental expenses					
<b>c</b>		Rental income or (loss)					
<b>d</b>		Net rental income or (loss) . . . . .					
<b>7a</b>		Gross amount from sales of assets other than inventory	(i) Securities	(ii) Other			
<b>b</b>		Less: cost or other basis and sales expenses . . . . .					
<b>c</b>		Gain or (loss) . . . . .					
<b>d</b>		Net gain or (loss) . . . . .					
<b>8a</b>		Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18 . . . . .	<b>a</b>				
<b>b</b>		Less: direct expenses . . . . .	<b>b</b>				
<b>c</b>		Net income or (loss) from fundraising events . . . . .					
<b>9a</b>		Gross income from gaming activities. See Part IV, line 19 . . . . .	<b>a</b>				
<b>b</b>		Less: direct expenses . . . . .	<b>b</b>				
<b>c</b>		Net income or (loss) from gaming activities . . . . .					
<b>10a</b>		Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>				
<b>b</b>		Less: cost of goods sold . . . . .	<b>b</b>				
<b>c</b>	Net income or (loss) from sales of inventory . . . . .						
<b>Miscellaneous Revenue</b>		<b>Business Code</b>					
<b>11a</b>							
<b>b</b>							
<b>c</b>							
<b>d</b>	All other revenue . . . . .						
<b>e</b>	<b>Total.</b> Add lines 11a-11d . . . . .						
<b>12</b>	<b>Total revenue.</b> See instructions. . . . .		7,336,640	70,367			

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A) but are not required to complete columns (B), (C), and (D).

Check if Schedule O contains a response to any question in this Part IX ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.

	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to governments and organizations in the United States. See Part IV, line 21				
2 Grants and other assistance to individuals in the United States. See Part IV, line 22	265,676	265,676		
3 Grants and other assistance to governments, organizations, and individuals outside the United States. See Part IV, lines 15 and 16	3,216,664	3,216,664		
4 Benefits paid to or for members	0	0		
5 Compensation of current officers, directors, trustees, and key employees	782,401	737,561	32,191	12,649
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B)				
7 Other salaries and wages	636,033	593,584	39,089	3,360
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions)	62,710	58,885	3,109	716
9 Other employee benefits	53,127	49,886	2,635	606
10 Payroll taxes	99,312	93,631	4,062	1,618
11 Fees for services (non-employees):				
a Management				
b Legal	1,880	0	1,880	0
c Accounting	67,302	0	67,302	0
d Lobbying				
e Professional fundraising services. See Part IV, line 17				
f Investment management fees				
g Other	114,728	7,058	106,470	1,200
12 Advertising and promotion	0	0	0	0
13 Office expenses	99,340	13,178	85,309	853
14 Information technology	58,180	396	57,784	0
15 Royalties	0	0	0	0
16 Occupancy	131,031	123,012	6,499	1,520
17 Travel	346,465	333,543	9,561	3,361
18 Payments of travel or entertainment expenses for any federal, state, or local public officials	0			
19 Conferences, conventions, and meetings	767,635	755,133	9,974	2,528
20 Interest	846	0	846	0
21 Payments to affiliates	0	0	0	0
22 Depreciation, depletion, and amortization	66,668	62,588	3,307	773
23 Insurance	25,724	500	25,224	0
24 Other expenses. Itemize expenses not covered above. (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a Technical Program Consultants	441,443	430,443	11,000	0
b Publications and other media	260,677	254,554	6,123	0
c Bad Debt expenses	20,000	20,000	0	0
d Recruitment expenses	20,226	327	19,899	0
e All other expenses	23,558	1,728	21,832	0
25 Total functional expenses. Add lines 1 through 24e	7,561,626	7,018,347	514,095	29,184
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720)				

**Part X Balance Sheet**

		(A) Beginning of year		(B) End of year
<b>Assets</b>	1 Cash—non-interest-bearing . . . . .	282,883	1	136,102
	2 Savings and temporary cash investments . . . . .	2,827,317	2	3,281,667
	3 Pledges and grants receivable, net . . . . .	64,240	3	630,620
	4 Accounts receivable, net . . . . .	7,387	4	148,215
	5 Receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .		5	
	6 Receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions) . . . . .		6	
	7 Notes and loans receivable, net . . . . .	3,695	7	
	8 Inventories for sale or use . . . . .		8	
	9 Prepaid expenses and deferred charges . . . . .	34,654	9	141,478
	10a Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D . . . . .	10a 412,033.04		
	b Loss: accumulated depreciation . . . . .	10b 80,862.22		
		117,014	10c	322,072
	11 Investments—publicly traded securities . . . . .		11	
	12 Investments—other securities. See Part IV, line 11 . . . . .		12	
	13 Investments—program-related. See Part IV, line 11 . . . . .		13	
14 Intangible assets . . . . .		14		
15 Other assets. See Part IV, line 11 . . . . .	445,584	15	9,767	
16 Total assets. Add lines 1 through 15 (must equal line 34) . . . . .	3,782,674	16	4,649,911	
<b>Liabilities</b>	17 Accounts payable and accrued expenses . . . . .	447,352	17	829,101
	18 Grants payable . . . . .	311,085	18	
	19 Deferred revenue . . . . .	2,640,925	19	3,703,023
	20 Tax-exempt bond liabilities . . . . .		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		21	
	22 Payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .		22	
	23 Secured mortgages and notes payable to unrelated third parties . . . . .		23	
	24 Unsecured notes and loans payable to unrelated third parties . . . . .		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17–24). Complete Part X of Schedule D . . . . .	37,358	25	(10,200)
	26 Total liabilities. Add lines 17 through 25 . . . . .	3,445,701	26	4,521,924
<b>Net Assets or Fund Balances</b>	Organizations that follow SFAS 117, check here <input checked="" type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.			
	27 Unrestricted net assets . . . . .	295,698	27	67,130
	28 Temporarily restricted net assets . . . . .	41,275	28	60,857
	29 Permanently restricted net assets . . . . .		29	
	Organizations that do not follow SFAS 117, check here <input type="checkbox"/> and complete lines 30 through 34.			
	30 Capital stock or trust principal, or current funds . . . . .		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund . . . . .		31	
	32 Retained earnings, endowment, accumulated income, or other funds . . . . .		32	
33 Total net assets or fund balances . . . . .	336,973	33	127,987	
34 Total liabilities and net assets/fund balances . . . . .	3,782,674	34	4,649,911	

**Part XI** Reconciliation of Net AssetsCheck if Schedule O contains a response to any question in this Part XI ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	7,336,640
2	Total expenses (must equal Part IX, column (A), line 26)	2	7,645,628
3	Revenue less expenses. Subtract line 2 from line 1	3	(208,986)
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	336,973
5	Other changes in net assets or fund balances (explain in Schedule O)	5	
6	Net assets or fund balances at end of year. Combine lines 3, 4, and 5 (must equal Part X, line 33, column (B))	6	127,987

**Part XII** Financial Statements and ReportingCheck if Schedule O contains a response to any question in this Part XII ☐

	Yes	No
1 Accounting method used to prepare the Form 990: <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____ If the organization changed its method of accounting from a prior year or checked "Other," explain in Schedule O.		
2a Were the organization's financial statements compiled or reviewed by an independent accountant?	✓	
b Were the organization's financial statements audited by an independent accountant?	✓	
c If "Yes" to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant? If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O.	✓	
d If "Yes" to line 2a or 2b, check a box below to indicate whether the financial statements for the year were issued on a separate basis, consolidated basis, or both: <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		
3a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		✓
b If "Yes," did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

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

**Public Charity Status and Public Support**

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

▶ Attach to Form 990 or Form 990-EZ. ▶ See separate instructions.

OMB No. 1545-0047

**2011**

**Open to Public Inspection**

Department of the Treasury  
Internal Revenue Service

Name of the organization

Rights and Resources Institute, Inc.

Employer identification number

20-3690821

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

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

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

	Yes	No
11g(i)		
11g(ii)		
11g(iii)		
    - (ii) A family member of a person described in (i) above? ☐
    - (iii) A 35% controlled entity of a person described in (i) or (ii) above? ☐

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

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

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

Cat. No. 11285F

Schedule A (Form 990 or 990-EZ) 2011

**Part III** Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)  
(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.") . . . . .	1,448,537	3,204,013	3,210,548	6,303,295	7,266,273	21,438,666
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
3 The value of services or facilities furnished by a governmental unit to the organization without charge . . . . .						
4 Total. Add lines 1 through 3 . . . . .	1,448,537	3,204,013	3,210,548	6,303,295	7,266,273	21,438,666
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						2,387,504
6 Public support. Subtract line 5 from line 4. . . . .						19,737,310

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
7 Amounts from line 4 . . . . .	1,448,537	3,204,013	3,210,548	6,303,295	7,266,273	21,438,666
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .		1,046	3,807	7,943	4,422	17,218
9 Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) . . . . .	31,130	99,579	350,330	83,221	98,661	668,930
11 Total support. Add lines 7 through 10 . . . . .						22,124,814
12 Gross receipts from related activities, etc. (see instructions) . . . . .					12	0
13 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here . . . . .						<input type="checkbox"/>

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

14 Public support percentage for 2011 (line 6, column (f) divided by line 11, column (f)) . . . . .	14	89.21 %
15 Public support percentage from 2010 Schedule A, Part II, line 14 . . . . .	15	89.49 %
16a 33 1/3% support test—2011. If the organization did not check the box on line 13, and line 14 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
b 33 1/3% support test—2010. If the organization did not check a box on line 13 or 16a, and line 15 is 33 1/3% or more, check this box and stop here. The organization qualifies as a publicly supported organization . . . . .		<input checked="" type="checkbox"/>
17a 10%-facts-and-circumstances test—2011. If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
b 10%-facts-and-circumstances test—2010. If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the "facts-and-circumstances" test, check this box and stop here. Explain in Part IV how the organization meets the "facts-and-circumstances" test. The organization qualifies as a publicly supported organization . . . . .		<input type="checkbox"/>
18 Private foundation. If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . .		<input type="checkbox"/>

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

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

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
1 Gifts, grants, contributions, and membership fees received. (Do not include any "unusual grants.")						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose . . . .						
3 Gross receipts from activities that are not an unrelated trade or business under section 513						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge . . . .						
6 Total. Add lines 1 through 5 . . . .						
7a Amounts included on lines 1, 2, and 3 received from disqualified persons . . . .						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year . . . .						
c Add lines 7a and 7b . . . .						
8 Public support (Subtract line 7c from line 6.) . . . .						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2007	(b) 2008	(c) 2009	(d) 2010	(e) 2011	(f) Total
9 Amounts from line 6 . . . .						
10a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . .						
c Add lines 10a and 10b . . . .						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . .						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part IV.) . . . .						
13 Total support. (Add lines 9, 10c, 11, and 12.) . . . .						
14 First five years. If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here . . . . ▶ <input checked="" type="checkbox"/>						

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

15 Public support percentage for 2011 (line 8, column (f) divided by line 13, column (f)) . . . .	15	%
16 Public support percentage from 2010 Schedule A, Part III, line 15 . . . .	16	%

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

17 Investment income percentage for 2011 (line 10c, column (f) divided by line 13, column (f)) . . . .	17	%
18 Investment income percentage from 2010 Schedule A, Part III, line 17 . . . .	18	%
19a 33 1/3% support tests—2011. If the organization did not check the box on line 14, and line 15 is more than 33 1/3%, and line 17 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization . . . . ▶ <input checked="" type="checkbox"/>		
b 33 1/3% support tests—2010. If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33 1/3%, and line 18 is not more than 33 1/3%, check this box and stop here. The organization qualifies as a publicly supported organization . . . . ▶ <input type="checkbox"/>		
20 Private foundation. If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions . . . . ▶ <input type="checkbox"/>		



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

**SCHEDULE D  
(Form 990)**

Department of the Treasury  
Internal Revenue Service  
Name of the organization

**Supplemental Financial Statements**

▶ Complete if the organization answered "Yes," to Form 990,  
Part IV, line 6, 7, 8, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.  
▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Rights and Resources Institute, Inc.

Employer identification number

20-3690821

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.** Complete if the organization answered "Yes" to Form 990, Part IV, line 6.

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

**Part II Conservation Easements.** Complete if the organization answered "Yes" to Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply).  
☐ Preservation of land for public use (e.g., recreation or education) ☐ Preservation of an historically important land area  
☐ Protection of natural habitat ☐ Preservation of a certified historic structure  
☐ Preservation of open space

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

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

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

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

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

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

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

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

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

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.** Complete if the organization answered "Yes" to Form 990, Part IV, line 8.

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

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

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

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

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

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

b Assets included in Form 990, Part X . . . . . ▶ \$

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

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

- a ☐ Public exhibition d ☐ Loan or exchange programs  
 b ☐ Scholarly research e ☐ Other \_\_\_\_\_  
 c ☐ Preservation for future generations

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

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

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

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

b If "Yes," explain the arrangement in Part XIV and complete the following table:

	Amount
c Beginning balance	1c
d Additions during the year	1d
e Distributions during the year	1e
f Ending balance	1f

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

b If "Yes," explain the arrangement in Part XIV.

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

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

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

- a Board designated or quasi-endowment  %  
 b Permanent endowment  %  
 c Temporarily restricted endowment  %

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

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

	Yes	No
(i) unrelated organizations	3a(i)	
(ii) related organizations	3a(ii)	
b If "Yes" to 3a(i), are the related organizations listed as required on Schedule R?	3b	

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

**Part VI Land, Buildings, and Equipment.** See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements		269,468	26,687	242,781
d Equipment		30,218	8,338	27,880
e Other		107,240	55,837	51,411
Total. Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10(c).)				322,072

**Part VII** Investments—Other Securities. See Form 990, Part X, line 12.

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

**Part VIII** Investments—Program Related. See Form 990, Part X, line 13.

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

**Part IX** Other Assets. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1) Unearned Grant Advance to Local Partners . . . . .	77,102
(2) Refundable Retainer Deposit, HR Outsourcing Consultants . . . . .	3,500
(3) Rent Security Deposit . . . . .	6,177
(4) Deferred rent . . . . .	10,200
(5) . . . . .	
(6) . . . . .	
(7) . . . . .	
(8) . . . . .	
(9) . . . . .	
(10) . . . . .	
Total. (Column (b) must equal Form 990, Part X, col. (B) line 15.) ▶	

**Part X** Other Liabilities. See Form 990, Part X, line 25.

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

2. FIN 48 (ASC 740) Footnote. In Part XIV, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740).

**Part XI** Reconciliation of Change in Net Assets from Form 990 to Audited Financial Statements

1	Total revenue (Form 990, Part VIII, column (A), line 12)	1	7,336,640
2	Total expenses (Form 990, Part IX, column (A), line 25)	2	7,561,626
3	Excess or (deficit) for the year. Subtract line 2 from line 1	3	(224,986)
4	Net unrealized gains (losses) on investments	4	
5	Donated services and use of facilities	5	16,000
6	Investment expenses	6	
7	Prior period adjustments	7	
8	Other (Describe in Part XIV.)	8	
9	Total adjustments (net). Add lines 4 through 8	9	
10	Excess or (deficit) for the year per audited financial statements. Combine lines 3 and 9	10	(208,986)

**Part XII** Reconciliation of Revenue per Audited Financial Statements With Revenue per Return

1	Total revenue, gains, and other support per audited financial statements	1	7,352,640
2	Amounts included on line 1 but not on Form 990, Part VIII, line 12:		
a	Net unrealized gains on investments	2a	0
b	Donated services and use of facilities	2b	16,000
c	Recoveries of prior year grants	2c	0
d	Other (Describe in Part XIV.)	2d	0
e	Add lines 2a through 2d	2e	16,000
3	Subtract line 2e from line 1	3	7,336,640
4	Amounts included on Form 990, Part VIII, line 12, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIV.)	4b	
c	Add lines 4a and 4b	4c	
5	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12.)	5	7,336,640

**Part XIII** Reconciliation of Expenses per Audited Financial Statements With Expenses per Return

1	Total expenses and losses per audited financial statements	1	7,561,626
2	Amounts included on line 1 but not on Form 990, Part IX, line 25:		
a	Donated services and use of facilities	2a	
b	Prior year adjustments	2b	
c	Other losses	2c	
d	Other (Describe in Part XIV.)	2d	
e	Add lines 2a through 2d	2e	
3	Subtract line 2e from line 1	3	7,561,626
4	Amounts included on Form 990, Part IX, line 25, but not on line 1:		
a	Investment expenses not included on Form 990, Part VIII, line 7b	4a	
b	Other (Describe in Part XIV.)	4b	
c	Add lines 4a and 4b	4c	
5	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18.)	5	7,561,626

**Part XIV** Supplemental Information

Complete this part to provide the descriptions required for Part II, lines 3, 5, and 9; Part III, lines 1a and 4; Part IV, lines 1b and 2b; Part V, line 4; Part X, line 2; Part XI, line 8; Part XII, lines 2d and 4b; and Part XIII, lines 2d and 4b. Also complete this part to provide any additional information.

## Part XIV Supplemental Information (continued)

Blank lined paper for writing.

**SCHEDULE F**  
**(Form 990)**

**Statement of Activities Outside the United States**

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

► Complete if the organization answered "Yes" to Form 990,  
Part IV, line 14b, 15, or 18.

► Attach to Form 990. ► See separate instructions.

Name of the organization

Rights and Resources Institute, Inc.

Employer identification number

20-3680821

**Part I** General Information on Activities Outside the United States. Complete if the organization answered "Yes" to  
Form 990, Part IV, line 14b.

- 1 For grantmakers. Does the organization maintain records to substantiate the amount of its grants and other assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☐ Yes ☐ No
- 2 For grantmakers. Describe in Part V the organization's procedures for monitoring the use of its grants and other assistance outside the United States.

3 Activities per Region. (The following Part I, line 3 table can be duplicated if additional space is needed.)

(a) Region	(b) Number of offices in the region	(c) Number of employees, agents, and independent contractors in region	(d) Activities conducted in region (by type) (e.g., fundraising, program services, investments, grants to recipients located in the region)	(e) If activity listed in (d) is a program service, describe specific type of service(s) in region	(f) Total expenditures for and investments in region
(1)					
(2)					
(3)					
(4)					
(5)					
(6)					
(7)					
(8)					
(9)					
(10)					
(11)					
(12)					
(13)					
(14)					
(15)					
(16)					
(17)					
3a Sub-total . . . . .					
b Total from continuation sheets to Part I . . . . .					
c Totals (add lines 3a and 3b)					

**Part III.** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000. ☐ Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			Central America	Training Program	\$22,400 EFT				
(2)			Central America	Tenure Analysis	\$7,603 EFT				
(3)			Central America	Tenure Analysis	\$36,073 EFT				
(4)			Central America	Tenure Models	\$29,151 EFT				
(5)			Central America	CSO Networks	\$6,500 EFT				
(6)			Central America	Community Rights	\$30,000 EFT				
(7)			Central America	Capacity Building	\$55,000 EFT				
(8)			Central America	Analysis	\$13,450 EFT				
(9)			Central America	Community Rights	\$20,250 EFT				
(10)			South America	Community leadership	\$15,400 EFT				
(11)			North America	Media outreach	\$6,986 EFT				
(12)			North America	Media outreach	\$19,334 EFT				
(13)			East Asia	Tenure Survey	\$37,494 EFT				
(14)			East Asia	Gender analysis	\$5,000 EFT				
(15)			East Asia	Wellbeing analysis	\$29,570 EFT				
(16)			East Asia	Timber policy	\$11,000 EFT				

- 2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter ☐ see last additional page
- 3 Enter total number of other organizations or entities ☐ see last additional page



**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000. ☐ **Part II** can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			East Asia	Analysis regulation	\$32,590	EFT			
(2)			East Asia	Facilitation	\$22,000	EFT			
(3)			East Asia	Reform evaluation	\$49,919	EFT			
(4)			East Asia	Analysis livelihood	\$27,849	EFT			
(5)			East Asia	Timber reform	\$11,700	EFT			
(6)			South America	Tenure analysis	\$13,270	EFT			
(7)			South America	IP Tenure	\$27,665	EFT			
(8)			South America	Forest policy	\$11,645	EFT			
(9)			South America	Economic analysis	\$29,613	EFT			
(10)			South America	Regulatory reform	\$6,970	EFT			
(11)			Europe	REDD Mechanisms	\$26,530	EFT			
(12)			Europe	IP Forestry	\$29,363	EFT			
(13)			Central America	Community rights	\$25,000	EFT			
(14)			South America	IP Tenure	\$20,000	EFT			
(15)			South America	Monitoring	\$17,296	EFT			
(16)			South America	IP rights	\$22,443	EFT			

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . .

3 Enter total number of other organizations or entities . . . . . see last additional page  
see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 . . . . . ☐ Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			South America	Regional analysis	\$38,933 EFT				
(2)			South America	Communal tenure	\$7,500 EFT				
(3)			South America	Community input	\$23,456 EFT				
(4)			South America	Territorial mgmt	\$41,019 EFT				
(5)			South America	IP capacity buildi	\$22,016 EFT				
(6)			South America	IP capacity buildi	\$18,000 EFT				
(7)			South America	Gender equity	\$32,000 EFT				
(8)			Central America	Investment analysi	\$16,000 EFT				
(9)			South Asia	Forest networks	\$25,000 EFT				
(10)			South Asia	Forestry strategy	\$17,975 EFT				
(11)			Europe	Regional networkin	\$9,568 EFT				
(12)			Europe	Regional workshop	\$7,554 EFT				
(13)			Europe	Economic action	\$25,765 EFT				
(14)			Europe	Economic action	\$60,000 EFT				
(15)			SS Africa	Policy reform	\$15,000 EFT				
(16)			SS Africa	Info access	\$25,000 EFT				

- 2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ☐ see last additional page
- 3 Enter total number of other organizations or entities . . . . . ☐ see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 ☐ Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			SS Africa	Policy reform	\$15,000 EFT				
(2)			East Asia	Facilitation	\$30,000 EFT				
(3)			South Asia	Land grab analysis	\$48,331 EFT				
(4)			South Asia	Capacity building	\$13,700 EFT				
(5)			South Asia	Policy engagement	\$11,000 EFT				
(6)			East Asia	CSO mapping	\$9,410 EFT				
(7)			East Asia	CSO mapping	\$16,000 EFT				
(8)			South Asia	PA Governance	\$22,055 EFT				
(9)			South Asia	Local rights	\$19,700 EFT				
(10)			South Asia	Community property	\$17,900 EFT				
(11)			Europe	Legal pluralism	\$29,700 EFT				
(12)			Europe	Palm oil network	\$39,700 EFT				
(13)			Europe	HTR review	\$19,673 EFT				
(14)			Europe	Spatial planning	\$19,673 EFT				
(15)			Europe	Transmigration	\$5,723 EFT				
(16)			Europe	Customary rights	\$19,385 EFT				

- 2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter ☐ see last additional page
- 3 Enter total number of other organizations or entities ☐ see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 ☐ **Part II** can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			Europe	Legal pluralism	\$19,728	EFT			
(2)			South Asia	IP solidarity	\$21,700	EFT			
(3)			South Asia	Barriers & Incenti	\$19,700	EFT			
(4)			South Asia	Community inclusio	\$14,700	EFT			
(5)			Europe	Govt accountability	\$19,700	EFT			
(6)			Europe	Tenure assessment	\$36,226	EFT			
(7)			Europe	Global CF Analysis	\$21,000	EFT			
(8)			SS Africa	Forest mgmt	\$20,000	EFT			
(9)			East Asia	Learning group	\$19,000	EFT			
(10)			East Asia	CF networks	\$6,000	EFT			
(11)			East Asia	Facilitation	\$45,787	EFT			
(12)			East Asia	Planning	\$19,500	EFT			
(13)			SS Africa	Rights mapping	\$47,876	EFT			
(14)			SS Africa	Community rights	\$14,000	EFT			
(15)			SS Africa	PES & CF Mgmt	\$14,500	EFT			
(16)			SS Africa	Resource rights	\$19,882	EFT			

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter ☐ see last additional page

3 Enter total number of other organizations or entities ☐ see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 . . . . . ☐ **Part II** can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			SS Africa	Facilitation	\$41,807	EFT			
(2)			SS Africa	Women's rights	\$18,404	EFT			
(3)			SS Africa	Local norms	\$19,000	EFT			
(4)			SS Africa	Customary use	\$19,536	EFT			
(5)			Europe	Gender & climate	\$27,417	EFT			
(6)			Europe	Tenure champions	\$27,948	EFT			
(7)			Europe	Pastoralism	\$17,413	EFT			
(8)			SS Africa	Community enterpri	\$8,235	EFT			
(9)			SS Africa	Community enterpri	\$41,700	EFT			
(10)			SS Africa	Rights mapping	\$36,375	EFT			
(11)			SS Africa	Interministerial	\$28,394	EFT			
(12)			SS Africa	Coordination	\$5,105	EFT			
(13)			SS Africa	Land reform	\$20,576	EFT			
(14)			SS Africa	Community network	\$47,601	EFT			
(15)			SS Africa	Womens land owners	\$35,027	EFT			
(16)			SS Africa	Womens forest gove	\$18,397	EFT			

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ☐ see last additional page

3 Enter total number of other organizations or entities . . . . . ☐ see last additional page

**Part III** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 . . . . . ☐ Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			Europe	REDD & rights	\$50,000 EFT				
(2)			Europe	Community support	\$24,000 EFT				
(3)			Europe	Community support	\$40,000 EFT				
(4)			SS Africa	Community rights	\$27,649 EFT				
(5)			SS Africa	Pitsawing regs	\$20,000 EFT				
(6)			SS Africa	Regional planning	\$85,134 EFT				
(7)			SS Africa	Forest assessment	\$23,700 EFT				
(8)			Europe	NRM local norms	\$15,749 EFT				
(9)			Europe	Rights transfer	\$39,830 EFT				
(10)			SS Africa	Tools workshop	\$40,000 EFT				
(11)			SS Africa	Community rights	\$39,893 EFT				
(12)			Europe	IP representation	\$24,889 EFT				
(13)			Europe	Women's advocacy	\$12,371 EFT				
(14)			Europe	CSO gender platfor	\$14,135 EFT				
(15)			Europe	Capacity building	\$29,599 EFT				
(16)			Europe	Rights & tenure	\$8,082 EFT				

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter . . . . . ☐ see last additional page

3 Enter total number of other organizations or entities . . . . . ☐ see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000 ☐ Part II can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			Europe	Tenure champions	\$12,635 EFT				
(2)			Central America	Ext investment	\$8,000 EFT				
(3)			SS Africa	Womens network	\$25,000 EFT				
(4)			SS Africa	Gender & tenure	\$56,171 EFT				
(5)			SS Africa	Macro-zoning	\$51,326 EFT				
(6)			SS Africa	Decentralization	\$16,000 EFT				
(7)			SS Africa	Capacity building	\$37,728 EFT				
(8)			SS Africa	Community REDD	\$22,000 EFT				
(9)			SS Africa	Community perspect	\$11,000 EFT				
(10)			South Asia	Tenure analysis	\$11,404 EFT				
(11)			East Asia	Forest tenure	\$21,547 EFT				
(12)			East Asia	CSO participation	\$58,050 EFT				
(13)			East Asia	Community perspect	\$11,000 EFT				
(14)			East Asia	IP rights & tenure	\$46,917 EFT				
(15)			East Asia	CEESP sharing powe	\$15,000 EFT				
(16)			East Asia	Forest cover study	\$10,000 EFT				

2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter

3 Enter total number of other organizations or entities

see last additional page

see last additional page

**Part II** Grants and Other Assistance to Organizations or Entities Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 15, for any recipient who received more than \$5,000. Check this box if no one recipient received more than \$5,000. ☐ **Part II** can be duplicated if additional space is needed.

1	(a) Name of organization	(b) IRS code section and EIN (if applicable)	(c) Region	(d) Purpose of grant	(e) Amount of cash grant	(f) Manner of cash disbursement	(g) Amount of non-cash assistance	(h) Description of non-cash assistance	(i) Method of valuation (book, FMV, appraisal, other)
(1)			South Asia	Land grab study	\$6,500				
(2)									
(3)									
(4)									
(5)									
(6)									
(7)									
(8)									
(9)									
(10)									
(11)									
(12)									
(13)									
(14)									
(15)									
(16)									

- 2 Enter total number of recipient organizations listed above that are recognized as charities by the foreign country, recognized as tax-exempt by the IRS, or for which the grantee or counsel has provided a section 501(c)(3) equivalency letter 36
- 3 Enter total number of other organizations or entities 2



**Part III** Grants and Other Assistance to Individuals Outside the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 16.  
Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Region	(c) Number of recipients	(d) Amount of cash grant	(e) Manner of cash disbursement	(f) Amount of non-cash assistance	(g) Description of non-cash assistance	(h) Method of valuation (cost, FMV, appraisal, other)
(1)							
(2)							
(3)							
(4)							
(5)							
(6)							
(7)							
(8)							
(9)							
(10)							
(11)							
(12)							
(13)							
(14)							
(15)							
(16)							
(17)							
(18)							

**Part IV** Foreign Forms

- 1 Was the organization a U.S. transferor of property to a foreign corporation during the tax year? If "Yes," the organization may be required to file Form 926, Return by a U.S. Transferor of Property to a Foreign Corporation (see Instructions for Form 926) . . . . . ☐ Yes ☐ No
- 2 Did the organization have an interest in a foreign trust during the tax year? If "Yes," the organization may be required to file Form 3520, Annual Return to Report Transactions with Foreign Trusts and Receipt of Certain Foreign Gifts, and/or Form 3520-A, Annual Information Return of Foreign Trust With a U.S. Owner (see Instructions for Forms 3520 and 3520-A) . . . . . ☐ Yes ☐ No
- 3 Did the organization have an ownership interest in a foreign corporation during the tax year? If "Yes," the organization may be required to file Form 5471, Information Return of U.S. Persons With Respect To Certain Foreign Corporations. (see Instructions for Form 5471) . . . . . ☐ Yes ☐ No
- 4 Was the organization a direct or indirect shareholder of a passive foreign investment company or a qualified electing fund during the tax year? If "Yes," the organization may be required to file Form 8621, Information Return by a Shareholder of a Passive Foreign Investment Company or Qualified Electing Fund. (see Instructions for Form 8621) . . . . . ☐ Yes ☐ No
- 5 Did the organization have an ownership interest in a foreign partnership during the tax year? If "Yes," the organization may be required to file Form 8865, Return of U.S. Persons With Respect To Certain Foreign Partnerships. (see Instructions for Form 8865) . . . . . ☐ Yes ☐ No
- 6 Did the organization have any operations in or related to any boycotting countries during the tax year? If "Yes," the organization may be required to file Form 5713, International Boycott Report (see Instructions for Form 5713) . . . . . ☐ Yes ☐ No

**Part V** Supplemental Information

Complete this part to provide the information required by Part I, line 2 (monitoring of funds); Part I, line 3, column (f) (accounting method; amounts of investments vs. expenditures per region); Part II, line 1 (accounting method); Part III (accounting method); and Part III, column (c) (estimated number of recipients), as applicable. Also complete this part to provide any additional information (see instructions).

**SCHEDULE I**  
**(Form 990)**

**Grants and Other Assistance to Organizations,  
Governments, and Individuals in the United States**

Complete if the organization answered "Yes" to Form 990, Part IV, line 21 or 22.  
▶ Attach to Form 990.

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Department of the Treasury  
Internal Revenue Service

Name of the organization

Rights and Resources Institute, Inc.

Employer identification number

20-3690821

**Part I General Information on Grants and Assistance**

- 1 Does the organization maintain records to substantiate the amount of the grants or assistance, the grantees' eligibility for the grants or assistance, and the selection criteria used to award the grants or assistance? ☐ Yes ☐ No
- 2 Describe in Part IV the organization's procedures for monitoring the use of grant funds in the United States.

**Part II Grants and Other Assistance to Governments and Organizations in the United States.** Complete if the organization answered "Yes" to Form 990, Part IV, line 21, for any recipient that received more than \$5,000. Check this box if no one recipient received more than \$5,000.

Part II can be duplicated if additional space is needed

1 (a) Name and address of organization or government	(b) EIN	(c) IRC section if applicable	(d) Amount of cash grant	(e) Amount of non-cash assistance	(f) Method of valuation (book, FMV, appraisal, other)	(g) Description of non-cash assistance	(h) Purpose of grant or assistance
(1) Forest Trends - 1050 Potomac St NW, Washington, DC	52-2135531	501(c)(3)	\$40,080				Track REDD Financing
(2) EcoAgriculture Partners - 730 11th St NW Suite 301, Wash, DC	20-2349392	501(c)(3)	\$14,597				Food security & Climat
(3) Forest Trends - 1050 Potomac St NW, Washington, DC 20007	52-2135531	501(c)(3)	\$12,716				Alt Enterprise Models
(4) Forest Trends - 1050 Potomac St NW, Washington, DC 20007	52-2135531	501(c)(3)	\$28,745				REDD PES network
(5) Landesa - 1424 Fourth Ave. Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$23,815				Land transfer study
(6) Landesa - 1424 Fourth Ave. Suite Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$6,762				Regulatory analysis
(7) Landesa - 1424 Fourth Ave. Suite Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$32,000				Collective forest stud
(8) Landesa - 1424 Fourth Ave. Suite Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$15,000				Dispute resolution
(9) Landesa - 1424 Fourth Ave. Suite Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$29,700				Women & reform
(10) Landesa - 1424 Fourth Ave. Suite Suite 300, Seattle, WA 98101	91-1158970	501(c)(3)	\$10,000				Legal reform forests
(11) CCARC- PO Box 684705 Austin, TX 78762-4581	74-2520188	501(c)(3)	\$52,261				Social cartography
(12)							
2 Enter total number of section 501(c)(3) and government organizations listed in the line 1 table			4				
3 Enter total number of other organizations listed in the line 1 table			0				

Cat. No. 50055P

Schedule I (Form 990) (2011)

For Paperwork Reduction Act Notice, see the Instructions for Form 990.

**Part III** Grants and Other Assistance to Individuals in the United States. Complete if the organization answered "Yes" to Form 990, Part IV, line 22. Part III can be duplicated if additional space is needed.

(a) Type of grant or assistance	(b) Number of recipients	(c) Amount of cash grant	(d) Amount of non-cash assistance	(e) Method of valuation (book, FMV, appraisal, other)	(f) Description of non-cash assistance
1					
2					
3					
4					
5					
6					
7					

**Part IV** Supplemental Information. Complete this part to provide the information required in Part I, line 2, and any other additional information.

All US recipients of grant funds must demonstrate eligibility as 501(c)(3) prior to award. Recipients must maintain records of all expenses, including documentation for all expenses of US\$25 or more. Recipients submit detailed financial reports, narrative reports, and specific deliverables, which are reviewed by RRG. Recipients must submit copies of their annual organizational audit and management letter, plus a specific audit letter summarizing the revenue and expenses on the grant. Some activities each year are selected for review by RRI's Independent External Monitor for monitoring and evaluation of progress toward RRI's goals.

**SCHEDULE J**  
**(Form 990)**

Department of the Treasury  
Internal Revenue Service

Name of the organization

Rights and Resources Institute, Inc.

**Compensation Information**  
For certain Officers, Directors, Trustees, Key Employees, and Highest  
Compensated Employees

▶ Complete if the organization answered "Yes" to Form 990,  
Part IV, line 23.

▶ Attach to Form 990. ▶ See separate instructions.

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Employer identification number

20-3690821

**Part I** Questions Regarding Compensation

**1a** Check the appropriate box(es) if the organization provided any of the following to or for a person listed in Form 990, Part VII, Section A, line 1a. Complete Part III to provide any relevant information regarding these items.

- |  |  |
|--|--|
| <input type="checkbox"/> First-class or charter travel             | <input type="checkbox"/> Housing allowance or residence for personal use |
| <input type="checkbox"/> Travel for companions                     | <input type="checkbox"/> Payments for business use of personal residence |
| <input type="checkbox"/> Tax indemnification and gross-up payments | <input type="checkbox"/> Health or social club dues or initiation fees   |
| <input type="checkbox"/> Discretionary spending account            | <input type="checkbox"/> Personal services (e.g., maid, chauffeur, chef) |

**b** If any of the boxes on line 1a are checked, did the organization follow a written policy regarding payment or reimbursement or provision of all of the expenses described above? If "No," complete Part III to explain.

**2** Did the organization require substantiation prior to reimbursing or allowing expenses incurred by all officers, directors, trustees, and the CEO/Executive Director, regarding the items checked in line 1a?

**3** Indicate which, if any, of the following the filing organization used to establish the compensation of the organization's CEO/Executive Director. Check all that apply. Do not check any boxes for methods used by a related organization to establish compensation of the CEO/Executive Director. Explain in Part III.

- |  |  |
|--|--|
| <input type="checkbox"/> Compensation committee              | <input type="checkbox"/> Written employment contract                     |
| <input type="checkbox"/> Independent compensation consultant | <input type="checkbox"/> Compensation survey or study                    |
| <input type="checkbox"/> Form 990 of other organizations     | <input type="checkbox"/> Approval by the board or compensation committee |

**4** During the year, did any person listed in Form 990, Part VII, Section A, line 1a, with respect to the filing organization or a related organization:

- |  |           |   |
|--|-----------|---|
| <b>a</b> Receive a severance payment or change-of-control payment?                             | <b>4a</b> | ✓ |
| <b>b</b> Participate in, or receive payment from, a supplemental nonqualified retirement plan? | <b>4b</b> | ✓ |
| <b>c</b> Participate in, or receive payment from, an equity-based compensation arrangement?    | <b>4c</b> | ✓ |

If "Yes" to any of lines 4a-c, list the persons and provide the applicable amounts for each item in Part III.

Only section 501(c)(3) and 501(c)(4) organizations must complete lines 5-9.

**5** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the revenues of:

- |                                    |           |   |
|------------------------------------|-----------|---|
| <b>a</b> The organization?         | <b>5a</b> | ✓ |
| <b>b</b> Any related organization? | <b>5b</b> | ✓ |

If "Yes" to line 5a or 5b, describe in Part III.

**6** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization pay or accrue any compensation contingent on the net earnings of:

- |                                    |           |   |
|------------------------------------|-----------|---|
| <b>a</b> The organization?         | <b>6a</b> | ✓ |
| <b>b</b> Any related organization? | <b>6b</b> | ✓ |

If "Yes" to line 6a or 6b, describe in Part III.

**7** For persons listed in Form 990, Part VII, Section A, line 1a, did the organization provide any non-fixed payments not described in lines 5 and 6? If "Yes," describe in Part III.

**8** Were any amounts reported in Form 990, Part VII, paid or accrued pursuant to a contract that was subject to the initial contract exception described in Regulations section 53.4958-4(a)(3)? If "Yes," describe in Part III.

**9** If "Yes" to line 8, did the organization also follow the rebuttable presumption procedure described in Regulations section 53.4958-6(c)?

**Part II Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees.** Use duplicate copies if additional space is needed.

For each individual whose compensation must be reported in Schedule J, report compensation from the organization on row (i) and from related organizations, described in the instructions, on row (ii). Do not list any individuals that are not listed on Form 990, Part VII.

**Note.** The sum of columns (B)(i)-(iii) for each listed individual must equal the total amount of Form 990, Part VII, Section A, line 1a, applicable column (D) and (E) amounts for that individual.

(A) Name	(B) Breakdown of W-2 and/or 1099-MISC compensation				(C) Retirement and other deferred compensation	(D) Nonexcludable benefits	(E) Total of columns (B)(i)-(D)	(F) Compensation reported as deferred in prior Form 990
	(i) Base compensation	(ii) Bonus & incentive compensation	(iii) Other reportable compensation	(iv) Other reportable compensation				
Thomas A. White	157,507	0	276		11,025	16,640	185,172	
1	(i)	(ii)	(iii)					
2	(i)	(ii)	(iii)					
3	(i)	(ii)	(iii)					
4	(i)	(ii)	(iii)					
5	(i)	(ii)	(iii)					
6	(i)	(ii)	(iii)					
7	(i)	(ii)	(iii)					
8	(i)	(ii)	(iii)					
9	(i)	(ii)	(iii)					
10	(i)	(ii)	(iii)					
11	(i)	(ii)	(iii)					
12	(i)	(ii)	(iii)					
13	(i)	(ii)	(iii)					
14	(i)	(ii)	(iii)					
15	(i)	(ii)	(iii)					
16	(i)	(ii)	(iii)					

**Part III** Supplemental Information

Complete this part to provide the information, explanation, or descriptions required for Part I, lines 1a, 1b, 3, 4a, 4b, 4c, 5a, 5b, 6a, 6b, 7, and 8, and for Part II. Also complete this part for any additional information.



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

Department of the Treasury  
Internal Revenue Service

Name of the organization

Rights and Resources Institute, Inc.

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

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

▶ Attach to Form 990 or 990-EZ.

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Employer identification number

20-3690821

**Heading, Line C:**

Rights and Resources Institute, Inc. (RRI) also does business as the "Rights and Resources Initiative", the coalition of RRI and

14 Partner organizations, in RRI's role as secretariat of the coalition.

**Part III - Line 4a: COUNTRY INITIATIVES**

**Africa:**

RRI engaged on several fronts in Africa to more effectively influence regional and subregional decision-makers and processes. Past analysis done by the RRI country coalitions on tenure linkages to gender, participatory mapping, and climate change were effectively transformed into advocacy tools for promoting community rights, and yielded concrete proposals for decision-makers on decentralization and other reform processes. RRI's scope of work expanded to include emerging themes impacting community rights to land and forests, such as monoculture's rapid rise (especially oil palm), pastoralist rights in dryland forests, and an increased focus on harmonizing land, forest, mining and other sectoral policy for an increased and more consistent recognition of community rights. RRI prioritized supporting regional networks to raise the profile of rights and tenure in major policy spaces, and to build capacity for CSO networks' contributions to policy debates in favor of community rights. The African Women's Network for Management of Community Forests (REFACOF) regional workshop provided training and experience exchanges on African legal instruments, gender and rights concepts and climate change, culminating in a concrete action plan for advocacy. At the COP17 in Durban, the Africa Community Rights Network (ACRN) organized workshops to shape African negotiating positions for REDD and climate negotiations, linking with REFACOF to build capacity of communities, raise awareness on gender and human rights, and develop recommendations for full consideration of women's rights in decision-making. At Durban, RRI coalition members directly contributed to Accra Caucus statements at COP17 and engaged with delegates on the importance of community participation in decision-making for REDD.

Cameroon: In collaboration with key government agencies, the Cameroon coalition developed a road map to institutionalize participatory rights mapping in land and forest use planning. In parallel, the coalition also worked with the forests, land and economic development ministries to develop a joint platform to improve policy coordination and harmonization across the sectors, to better recognize community rights. A concrete proposal on the revision of the 1994 forest law was produced and agreed upon by the coalition members, for submission to the government working group. RRI Collaborator REFACOF was admitted into the national platform on REDD and climate change,

injecting RRI's forest and land tenure advocacy into the platform, and identified its focal points in five ministries dealing with issues that For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ. Cat No. 61056K Schedule O (Form 990 or 990-EZ) (2011)

Name of the organization

Rights and Resources Institute, Inc.

Employer identification number

20-3690821

affect women's tenure rights.

**Liberia:** The RRI coalition trained communities to negotiate fair social agreements and documented justifications for renegotiation.

Communities lodged formal complaints with the government on corporate non-compliance with the Community Rights Law and failure to meet commitments made in social agreements. The Liberian government formally recognized pit-sawyers: the first pit-sawing permits were acquired, and cooperatives were started and are now engaged with the state. A booklet on women's role in Liberian forest governance has been produced to be shared with policy and decision makers.

**Mali:** Recognition of local conventions for natural resource management advanced, with RRI proposals and guidance in developing their modalities accepted by key government actors. Implementation of decentralization processes and transfer of NRM authority likewise advanced, with a focal point and internal advocacy group on decentralization appointed and adoption of an action plan for the transfer of authority. Advocacy for mainstreaming gender in land and forest policy and for recognizing women's rights scaled up, with recommendation submitted to the Ministry for Women, Children and Family Affairs and a strategic action plan developed by the National Federation of Rural Women. A regional workshop on pastoralism produced recommendations for advocacy to develop regulations to secure pastoralists' rights.

**Burkina Faso:** The tenure champions' platform (TENFOREST) is legally accredited as the first national network in Burkina Faso focused on tenure reform and recognized by key actors and authorities, including the Ministry for Women. TENFOREST developed and validated a guide to drafting gender-sensitive rural land charters along with a flyer on drafting community/regional development plans. Regulations for community natural resource management were disseminated and adopted by stakeholders; informational booklets for stakeholders on regulatory texts were created, validated, and disseminated.

**DRC:** The terms of reference for a baseline study on tenure were completed. The profile of participatory rights mapping and its role in land use planning and zoning was raised; CSO dialogue with government was initiated on the importance of PRM as tool for land use planning and strengthening rights.

**Asia:**

RRI capitalized on the diversity of coalition members for significant convenings to advance the rights agenda across the region. Most notable was the International Conference on Forest Tenure, Governance, and Enterprises held in Indonesia, producing unprecedented commitments from the Indonesian government to implement a tenure reform road map with CSOs. This achievement was due in large part to the strong collaboration among Indonesian CSOs to produce analysis and recommendations shaping the conference outcomes, and to follow up on the commitments by producing a tenure reform road map. RRI also addressed palm oil's implications, through a workshop on human rights and business in Indonesia, as well as establishing a regional network to further develop human rights standards for the palm oil industry. Attention to the gender dimensions of forest tenure in Asia also increased this year, with a successful panel at the Indonesia

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

Department of the Treasury  
Internal Revenue Service

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

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

► Attach to Form 990 or 990-EZ.

OMB No. 1545-0047

**2011**

**Open to Public  
Inspection**

Name of the organization

Rights and Resources Institute, Inc.

Employer identification number

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continued (2)

conference catalyzing new regional analysis on gender. Representatives of Collaborator organizations and civil society advocates from Papua New Guinea, Mekong countries, Nepal, India and China presented lessons from tenure reform in the Indonesia Lombok Conference and other GACF members held a preparatory workshop prior to the Conference that helped shape the final declarations. Regional assessment carried out of community forestry impacts on livelihoods and the economy. Work on building a palm oil network is strengthening and has led to a very significant workshop on human rights and plantations with the participation of major human rights commissions in Asia.

Indonesia: The Conference on Forest Tenure, Governance, and Enterprises held in Lombok led to the formal commitment by Indonesia's Ministry of Forestry to implement a road map with CSOs and other agencies for forest tenure reforms to secure and formalize tenure rights for forest dependent communities. The conference also generated important regional analysis on drivers of deforestation, sustainable alternatives, and the state of tenure and forests in Asia. Work on building a palm oil network is strengthening and has resulted in a very significant workshop on human rights and plantations with the participation of national human rights commissions in Asia.

Nepal: Collective action kept pressure on the Ministry of Forestry and Soil Conservation to prevent an amendment to the Forest Act that would weaken the autonomy of the community forestry user groups. Continuing political pressure limited the expansion of Protected Areas. The recent establishment of a new prime minister and government slowed the recognition of community property rights in the Constitution but advocacy for rights recognition is moving forward.

China: The coalition conducted important work assessing the achievements of the forest tenure reform to date among collective forests, as well as advise the reform of state forests already carried out, hoping to establish some key parameters within the new Forestry Law that will be prepared in 2012.

Laos: As the Forest Investment program moves into gear, new momentum for undertaking forest tenure reform led to a successful workshop on identifying pathways for reform, based on experience of key countries such as Brazil, China, Nepal and Vietnam. This workshop was prefaced and reinforced by a study visit to China by key Laotian ministry officials.

India: Key examination of the land grab phenomenon within forest areas is underway to draw attention to the on-going problems despite the enactment of the 2006 Forest Rights Act. This analysis will form important part of upcoming legal debate on compensation for land acquisition and restoration.

Thailand: Development of the community forestry network is gathering energy which will further mobilize to amend and shape the

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## Community Forestry Bill.

## Latin America:

RRI strengthened analysis on regional trends in external investments in Indigenous territories, as well as on Indigenous territories overlapping with protected areas. The coalition was consolidated considerably, with new key actors engaged in Peru and Colombia, and increased forest community influence in Central American and Colombian REDD+ processes. RRI analyzed opportunities for improving gender equity in territorial governance in Bolivia and Nicaragua, and continued advocacy efforts to influence national legislative processes in favor of forest communities and collective resource management in Guatemala, Bolivia and Peru. RRI extended its reach across the Amazon countries to support leading Indigenous, Afro descendant and extractivist organizations, and produced key knowledge products to support advocacy, notably on themes of conflicts relating to territorial governance and strategies for defense of territory. Sub-regional studies on external investment in forest territories in Central and South America helped to direct plans for advocacy efforts in sub-regional decision-making bodies.

Bolivia: RRI Collaborators developed and executed a strategy for greater harmonization between Indigenous and campesino priorities and advocacy efforts and national legislative agenda related to natural resources and Indigenous territorial rights. Collaborators repositioned advocacy efforts to have greater influence on lawmaking, and improved pathways of support to Indigenous and campesino organizations to help claim and defend collective rights.

Colombia: Afro-descendant and Indigenous forest communities influenced the Government and the World Bank to create a more inclusive and participatory R-PP for national REDD+ strategy. Afro-descendant communities opened spaces for participation in International FCPF processes.

Guatemala: The National Alliance of Community Forest Organizations was legitimized as an active interlocutor in forest, climate change and cadaster sectors. In the Petén, RRI Collaborators developed concrete proposals for renewing community forestry concession models in preparation for the upcoming negotiation with the Government.

Peru: The registration of approximately 200 native forest communities paved the way for the next steps toward recognition of collective land rights for Indigenous communities in the Peruvian Amazon.

## Part III - Line 4b: THEMATIC PROGRAMS (formerly Strategic Analysis)

Tenure & Poverty Analysis: RRI Tenure Analysis increased scope, outreach and relevance to RRI's overarching objectives and specific RRI-wide initiatives (Indonesia Tenure Conference, e.g.). Legal analysis performed for the Deepening Rights Assessment provides RRI with a new set of robust data to inform strategy development and the global narrative: Analyzed 01 Community Forest Tenure Regimes in 30 countries. This analysis will be part of the report on the state of forest tenure 1982-2012, in preparation for the Rio+20 Earth Summit.

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Supported IFRI to develop new spatial-analysis of the links between devolved forest tenure, forest cover and poverty reduction. RRI is positioned to launch a major tenure "baseline study" in DRC in 2012 with reach to the reconstruction, climate change, forest, and land communities.

*Rights and Climate: Forest/climate agenda better informed by tenure and governance considerations and options for improved effectiveness*  
Used Global Dialogues, new analysis, networks and platforms, and global engagement and outreach as instruments. Global decision-makers and thinkers on forests and climate have increasingly asserted the fundamental role that forest tenure reform, governance, community management, participation, and safeguards play in achieving REDD+ goals, especially key governments (U.K., USA e.g.) and partnerships funds (UNREDD, CBFF, and FCPF). Clear progress was made at rhetorical level to advance tenure reforms by working "behind the scenes". Catalyzed broader critical analysis of conventional REDD approach and fostered faster realization of the limits of the carbon market and more emphasis needed to be put on direct drivers, tenure, restoration, existing supply chains, and oncoming threats from the infrastructure and extractive sectors. Facilitated practitioners and policy makers to acceptance that over-reliance on a carbon market is unlikely to achieve REDD goals and that REDD, which focuses on tenure, restoration, drivers and existing supply chains, is necessary. New, forward looking thinking on issues critical to addressing forest-climate-agriculture linkages, and provided a more realistic view of REDD through analyses on REDD+ implementation, finance, and linkages with forests, rights and agriculture. Independent Advisory Group on Forests, Rights and Climate Change influenced the UNREDD Board to undertake a study of land tenure issues and REDD in 2012. Indigenous leaders' engagement in global dialogues and other platforms such as the Independent Advisory Group on Forests, Rights and Climate Change (IAG) strengthened their advocacy and influence.

*Realizing Rights: A unique Forum on Participatory Mapping in Latin America*, entitled "Participatory Cartography and Rights to Territory and Resources" in Bogota defined the regional context and local strategies struggles, and set new parameters for analyzing who, why and how communities should/could utilize approaches to mapping for their needs in the future. Enabled information sharing within and between continents about processes, opportunities and threats by bringing together -80 people from Latin America and community representatives from Asia and Africa. • Created a working group on rights based conservation and attempted the organization of a Dialogue on Conservation Change.

*Alternative Tenure and Enterprise Models (ATEMs):* The UNFF included strong language supporting tenure reform and the importance of supporting community enterprises in its declaration - In part due to the background paper prepared by RRI on SMEs for the UNFF, the slide For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

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event co-organized with ACICAFOC and strong participation by community representatives in the negotiations. Generated a proposal outlining key ATEMs actions, priorities and gaps in knowledge. Better understanding of the importance and feasibility of a SMFE based economy made possible by organizing 2 study tours and publishing a brief. Initiated discussions with law schools in the USA to conduct a study on legal barriers to SMFE/CFE.

**Part III - Line 4c: COALITION COORDINATION (formerly part of Communications & Coordination)**

Effective RRI Governance and Planning meetings held. Third RRI Global Programs planning meeting held in November (DC) with Partners, RRI Follows, and regional representatives. Integrated planning for RRI Global Programs at the Country/Regional planning level. Successful completion of the Rethink & Renew Process, with involvement from Partners, Collaborators, and Original supporters of RRI in suite of activities, including Blue Skies brainstorming sessions, the Independent Mid-Term Evaluation of RRI's Framework Proposal Monitoring and Evaluation of all RRI Programs; including an Independent evaluation of RRI's internal M&E system.

**Part III - Line 4d: COMMUNICATIONS AND OUTREACH (formerly part of Communications & Coordination)**

Began a more active email campaign, building on existing communications (Tenure Trends, Quarterly Newsletters, etc.) by increasing the use of targeted outreach a wider array of constituencies by type (media, donor, etc.), interest area, and geography. Increased functionality of the RRI website, streamlined organization, and increased "toggle" capability to both French and Spanish language information. Hosted a Communications Workshop with IUCN for the Tenure Champions in Burkina Faso, building upon the October 2010 Communications Exchange in Ghana. Worked with Country/Regional staff to insert communications forethought and discussion in the Asia and Latin America planning meetings. Worked with Regional Coordinators and Associates to introduce discussions on communications activities and efforts at the Country/Regional Planning level in Asia and Latin America. Worked closely with various Partners and Collaborators on the ground to ensure successful communications activities; specifically regarding the promotion of PUSHBACK: Local Power, Global Realignment, at relevant RRI Dialogues in London and The Hague, and at the International Conference on Forests, Governance and Enterprise in Lombok, Indonesia. Explored new opportunities and built relationships and with relevant bloggers - such as REDD-Monitor.org and Mongabay.com and actively engaged with followers on Facebook & Twitter.

**Part III - Line 4e: NETWORKING SUPPORT**

MegaForests' annual meeting gathered 21 leaders of public agencies representing more than 60% of the world's forest in Oaxaca, Mexico, in October and discussed "Forest governance in times of economic turmoil" and increased country ownership of the process. The second convening of the Global Issues in Governance seminar exposed and connected emerging "next generation" leaders from MegaForests agencies to tenure, governance and rights issues relevant to their work in Millford, Pennsylvania in September. And the Rethinking Forest Regulations workshop exposed technical officers and civil society representative from MegaForests agencies to Montana's approach to

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forest regulations in Missoula, MT, in July. Improved understanding of the importance of secured tenure rights understood thanks to RRI's continued engagement in MegaForests network. Worked with IUCN and ACICAFOC to support the participation of 25 community representatives (23 from Latin America, 2 from Africa and 1 from Asia) in ITTC 47 in Antigua in November. Supported the participation of 5 members of the African civil society (Liberia, Cameroon and DRC) in COP17 in Durban, South Africa, in December.

**Part VI - Section B - Line 11a/b**

This return has been submitted for review of RRG's Board of Directors. The Treasurer of the Board reviewed this return in detail, referencing the organization's audited financial statements for the year. The Board reviewed the return in summary, with input from the Treasurer, President, Executive Director, and Director of Finance and Administration. Questions about specific items or sections were asked and answered with supplemental detail provided as appropriate.

**Part VI - Section B - Line 12a/b/c**

Directors and Officers are required to review the Conflict of Interest Policy annually and to sign annually their commitment to abide by the Policy. The Policy requires that any known or potential conflicts of interest be communicated to the Board as soon as they are known, and the facts and Board decisions concerning the conflict be documented in the minutes of the Board. The Board and Officers assess annually whether all Officers and Directors are in compliance with the Policy based on all facts known to the Board and Officers. An audit of the Policy and its implementation was undertaken in November by an independent consultant.

**Part VI - Section B - Line 15a**

The President is the top management official of the organization. An assessment of other non-profit organizations is periodically undertaken based on compensation figures reported on IRS 990 returns and other sources at the request of the Board. Assessed organizations are selected to most closely resemble RRG in terms of budget, number of employees, complexity of programs, role, expertise, and geographic location. The Board reviews the assessment, the performance of the President, and may consider other relevant factors in determining whether a salary adjustment is warranted, which is subject to voting by the Board. This full process was last undertaken in January 2010, with a review of the President's performance in January 2011.

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## Part VI - Section C - Line 10

RRG posts the following institutional documents on its website, available to the general public. Additional documents are also posted to demonstrate RRG's commitment to best practices in transparency and accountability.

\* RRI Institutional and Business Arrangements: documents the mission, goals, modus operandi, program areas, products, business strategy, institutional arrangements, and the responsibilities of RRG, the RRI Partner organizations, RRI Collaborating organizations, RRI Fellows, and RRG's Board of Directors.

\* RRI Memorandum of Understanding - documents the means of collaboration between RRG and the RRI Partner organizations

\* Conflict of Interest Policy

\* Annual Workplan Documents, including strategic priorities

\* Independent Monitor Evaluations

\* Annual Statements of Business and Affairs and Annual Activities

\* Annual Audited Financial Statements

\* IRS 990 Annual Information Return

## ADDITIONAL INFORMATION

Rights and Resources Institute, dba Rights and Resources Group serves as the coordinating mechanism for the Rights and Resources Initiative, a strategic coalition of international, regional, and community organizations engaged in development, research, and conservation, working together to encourage greater global commitment and action on pro-poor tenure, policy, and market reforms.

The RRI coalition is formed by a group of core Partners who conduct work in specific areas of their regional and thematic expertise.

Partners also engage with a wide group of Collaborating organizations who participate in and support RRI activities around the world.

RRI is a strategic coalition that goes beyond the traditional set of international development actors to involve a wide spectrum of organizations, each of which provides a critical perspective in the larger chain of actors necessary to advance change.

As of December 31, 2011, the following organizations were RRI Partners, signatories to the RRI Memorandum of Understanding governing their collaboration:

ACICAFOC - Asociación Coordinadora Indígena y Campesina de Agroforestería Comunitaria Centroamericana

(Coordinating Association of Indigenous and Community Agroforestry in Central America)

San José, Costa Rica



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CED - Center for Environment and Development

Yaoundé, Cameroon

Civic Response

Accra, Ghana

FECOFUN - Federation of Community Forestry Users, Nepal

Kathmandu, Nepal

Forest Peoples Programme

Moreton-in-Marsh, England

Forest Trends

Washington DC, USA

FPCD - Foundation for People and Community Development

Boroko, NCD, Papua New Guinea

HELVETAS Swiss Intercooperation

Berne, Switzerland

ICRAF - World Agroforestry Centre

Nairobi, Kenya

IFRI - International Forestry Resources and Institutions

Ann Arbor, Michigan, USA

PRISMA - Programa Salvadoreño de Investigación sobre Desarrollo y Medio Ambiente

(Salvadoran Research Program on Development and Environment)

San Salvador, El Salvador

RECOFTC - The Center for People and Forests

Bangkok, Thailand

Samdhana Institute

Bogor, Indonesia and Cagayan de Oro City, Philippines

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Tobtebba - Indigenous Peoples' International Centre for Policy Research and Education

Baguio City, Philippines