



[Robina Foundation](#)

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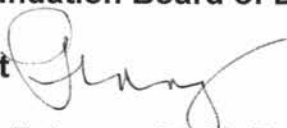
ROBINA FOUNDATION **Board Meeting**

February 21-23, 2011

Location: Washington, DC
On-Site Visit to Council on Foreign Relations

Lodging: The University Club
1135 16th Street NW, Washington, DC 20036

ROBINA FOUNDATION

TO: Robina Foundation Board of Directors
FROM: Penny Hunt 
RE: Material for February 21-23 Board Meeting
DATE: February 10, 2011

The agenda for the meetings in Washington D.C. is interesting and full!

The Board Book includes an agenda and supporting material for the meetings with the Council on Foreign Relations, as well as for the Board's business meeting on Wednesday.

Monday Dinner: Susan Berresford and Rocco and Debby Landesman will join us for dinner on Monday night.

Tuesday Meetings with CFR (Tab 2): As you know, Susan will participate in Tuesday's day-long session with the Council on Foreign Relations. (This is the Foundation's "deep dive" with CFR.) Susan brings a remarkable background of programming and grantmaking experience and expertise, which will provide, I think, new perspective on issues related to Robina's support of CFR, as well as on Robina's grantmaking as a whole. Her perspective is enhanced by her knowledge of CFR through membership and involvement in various CFR initiatives. Susan will also attend the first part of the Board Meeting on Wednesday to debrief on the discussions of the previous day.

Wednesday Robina Board Business Meeting: During the November Board Meeting you asked for extended time to discuss issues related to the Foundation's next round of grantmaking and opportunities at Robina Grantees. I think we've carved out sufficient time on Wednesday for a robust discussion.

Tab 6: Discussion of the Grant Program is the core of the Board Meeting. As noted on the agenda, the Board will discuss:

- Guidelines. This draft of the guidelines was distributed to Robina Grantees for their comments, but also to guide them as they identify new opportunities for Robina support.

- Issues/questions concerning the guidelines (Themes, Human Rights, Endowment Funding, etc.). The issues listed here were raised by Robina Grantees or Board Members. Others may surface during the course of our discussion. Following a discussion of issues/questions regarding the guidelines, I hope the Board will approve a final version of the guidelines.
- The 2011 Workplan outlining the process and action for the year. This is a tentative workplan since the timing of various activities will depend on, among other things, discussions with Robina Grantees.
- Preliminary information concerning potential grants. Discussions with Robina Grantees have surfaced opportunities for the next round of grants. In the case of the University of Minnesota, Kathleen, Tom and I will also describe the U's request for a preliminary commitment. The agenda includes an opportunity to follow up on earlier discussions concerning CFR, if needed.

Tab 7: Each of the Robina Grantees has submitted its quarterly report. The only action required is approval of the fourth year of funding for CFR (CFR's Extension Grant). (Extension Grants for Yale School of Drama, Yale Law School and the University of Minnesota Law School were approved at the November Board Meeting. Abbott Northwestern Hospital did not apply for an additional year of funding.)

I think that's it. Please feel free to get in touch with me if you have questions or concerns. I'll see all of you in DC!

ROBINA FOUNDATION

Robina Foundation Board Meeting **February 21-23, 2011**

Monday, February 21

6:30 p.m.

Board Dinner: President's Room at The University Club
Attendees: Aamoth, Blatz, Crosby, Karoff, Schroeder, Hunt, Gilberg
Guests: Susan Berresford, and Rocco and Debby Landesman, Wheelock
Whitney, Mary Aamoth (See bios for Berresford and Landesman under Tab 1)

Lodging:

The University Club, 1135 16th Street NW, Washington, DC 20036
Phone: 202-824-1376

TUESDAY, February 22

Morning

Breakfast on your own at the University Club (charge to your room)

8:45 a.m.

Van to meet us at the University Club to go to CFR

9:00 a.m. – 5 p.m.

Meeting at CFR (1777 F Street NW)

6:30 p.m.

Dinner: Equinox, 818 Connecticut Ave NW, Washington, DC
Phone: 202-331-8118 (Van to take us to Equinox)
Attendees: Aamoth, Blatz, Crosby, Karoff, Schroeder, Hunt, Gilberg
Guests: Haass, Patrick, Lindsay, Helm, Berresford, Whitney, Mary Aamoth
(See bios under Tab 1)

Lodging:

The University Club

WEDNESDAY, February 23

7:30 a.m.

Breakfast in the President's Room, University Club

8:00 a.m.

Board Meeting begins (President's Room)

12 noon

Lunch in the President's Room

2 p.m.

Adjournment of Board Meeting

AGENDA
February 22, 2011
9 a.m. to 5p.m.
Robina Foundation On-Site Meeting
Council on Foreign Relations

- 9:00 a.m.** Introductions
- 9:10 a.m.** Context – Richard Haass, President
- Trends in global affairs
 - Trends in the Think Tank world
- 9:45 a.m.** CFR Missions and Vision — Richard Haass
- Vision and Priorities
 - Opportunities for CFR
 - Obstacles to advancing priorities and seizing opportunities
- 10:15 a.m.** Break
- 10:30 a.m.** CFR Operations and Finances — Kenneth Castiglia, Chief Financial and Administrative Officer and Treasurer
- CFR's operations
 - Financial position
- 11:00 a.m.** Impact and Assessment—Stewart Patrick, Director of the Program on International Institutions and Global Governance, and James M. Lindsay, Senior Vice President and Director of Studies
- IIGG strategy, activities, and impact
 - CFR assessment strategies
 - IIGG 4th year external review
- 12:00 p.m.** Lunch
- 1:00 p.m.** Break
- 1:15 p.m.** Follow-on investments in education—Richard Haass
- 1:45 p.m.** Follow-on investments in technology—David Kellogg, Chief Information Officer
- 2:15 p.m.** Break
- 2:30 p.m.** Follow-on investments in the IIGG Program—Stewart Patrick
- 3:00 p.m.** Follow-on investments in the Civil Society, Markets, and Democracy Program—Isobel Coleman (by videoconference)
- 3:30 p.m.** Follow-on investments in the Council of Councils—James M. Lindsay
- 4:00 p.m.** Break
- 4:15 p.m.** Next Steps
- 5:00 p.m.** Meeting adjourns
- 6:30 p.m.** Dinner at Equinox Restaurant (818 Connecticut Avenue, N.W.)

Robina Foundation Board Meeting
Wednesday, February 23, 2011, 8 a.m. to 2 p.m.
The University Club, 1135 16th Street NW, Washington, DC 20036

Time	Agenda	Tab
8:00 a.m.	Welcome and Call to Order – Crosby	
8:05 a.m.	Discussion of CFR: IIGG Program and Future Opportunities • Board of Directors • Susan Berresford	
9:00 a.m.	Minutes of November 16, 2010 Board Meeting – Schroeder - Action	3
9:10 a.m.	Governance and Legal Report – Crosby	
9:20 a.m.	Executive Director's Report – Hunt	4
9:35 a.m.	Treasurer's Report – Crosby • Assets and Grants • Assets Detail • Reports ➤ USBank ➤ TIFF ➤ JP Morgan • Fourth Quarter Financial Statement (in back of Board Book) - Action • Sunset Investment Management • 2011 Operating Budget – Hunt - Action	5
10:00 a.m.	Break	
10:15 a.m.	Grant Program • Guidelines – Hunt – Action ➤ Themes ➤ Human Rights ➤ Endowment Funding ➤ Multiple Grants (major and minor grants) ➤ Discretionary Fund ➤ Robina Timeframe • 2011 Work Plan – Hunt • Multi-Year Grant Possibilities ➤ Yale – Karoff/Crosby ➤ University of Minnesota Law School – Blatz/Crosby - Action ➤ Abbott Northwestern – Schroeder/Hunt ➤ CFR – Aamoth/Hunt	6
12 noon	Lunch	
12:30 p.m.	Grants – Hunt ➤ Grant Spread Sheet ➤ Quarterly Reports – Abbott, CFR, U of M, Yale Law, Yale Drama ➤ Extension Grant: CFR - Action ➤ Aspen Institute Report	7
1:45 p.m.	Other Business • Future Board Meeting Dates	8
2 p.m.	Adjournment	

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SUSAN V. BERRESFORD

Susan V. Berresford is the former President of the Ford Foundation.

Ms. Berresford joined the Ford Foundation in 1970. In her 38 years at the Ford Foundation she had numerous jobs including Project Assistant and Program Officer in the Division of National Affairs, Officer in Charge of the Foundation's Women's Programs, Vice President, U.S. and International Affairs Programs and Vice President of the Program Division.

Prior to joining the Foundation, Ms. Berresford served as a Program Officer for the Neighborhood Youth Corps from 1965 until 1967. In 1967-68, she worked for the Manpower Career Development Agency, where she was responsible for evaluation of training, education, and work programs.

Ms. Berresford attended Vassar College and then studied American history at Radcliffe College, where she graduated *cum laude* in 1965.

Ms. Berresford is a board member and chair of United States Artists and is a board member of the Independent Sector. She also serves as an Advisory Board Member of the Trinidad Trust Fund (California) and is a member of the Council on Foreign Relations, the American Academy of Arts and Sciences and Trinity Church Vestry (New York City). Ms. Berresford is the convener of the US-Vietnam Dialogue Group on Agent Orange/Dioxin.

She currently works at The New York Community Trust, consulting on philanthropy, and leading several projects for the Ford Foundation.


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BIOGRAPHY FOR NEA CHAIRMAN ROCCO LANDESMAN

Rocco Landesman was confirmed by the United States Senate on August 7, 2009 as the tenth chairman of the National Endowment for the Arts (NEA). Prior to joining the NEA, he was a Broadway theater producer.

Mr. Landesman was born (July 20, 1947) and raised in St. Louis, Missouri. He pursued his undergraduate education at Colby College and the University of Wisconsin, Madison, and earned a doctorate in Dramatic Literature at the Yale School of Drama. At the completion of his course work, Mr. Landesman stayed at the school for four years, working as an assistant professor.

Mr. Landesman's ensuing career has been a hybrid of commercial and artistic enterprises. In 1977, he left Yale to start a private investment fund which he ran until his appointment in 1987 as president of Jujamcyn, a company that owns and operates five Broadway theaters: St. James, Al Hirschfeld, August Wilson, Eugene O'Neill, and Walter Kerr theaters.

Before and after joining Jujamcyn, Mr. Landesman produced Broadway shows, the most notable of which are *Big River* (1985 Tony Award for Best Musical), *Angels in America: Millennium Approaches* (1993 Tony Award for Best Play), *Angels in America: Perestroika* (1994 Tony Award for Best Play), and *The Producers* (2001 Tony Award for Best Musical). In 2005, he purchased Jujamcyn and operated it until President Obama announced his intention to nominate him to the NEA chairmanship.

Mr. Landesman has been active on numerous boards, including the Municipal Arts Society; the Times Square Alliance; The Actor's Fund; and the Educational Foundation of America. Mr. Landesman has also vigorously engaged the ongoing debate about arts policy, speaking at forums and writing numerous articles, focusing mainly on the relationship between the commercial and not-for-profit sectors of the American theater. Over the years, he returned to the Yale School of Drama and Yale Rep to teach.

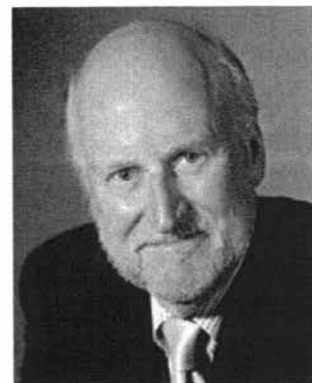
Mr. Landesman is married to Debby Landesman. Mrs. Landesman is an independent consultant and the former executive director of the Levi Strauss Foundation; she advises corporations and foundations on their philanthropic strategies. He has three sons: North, Nash, and Dodge.

Mr. Landesman's biggest passions are theater, baseball, horse racing, and country music. On any given day he will insist that one of these is the perfect expression of American culture. At one time or another, he owned three minor league baseball teams, various racehorses, and a collection of Roger Miller long-playing records.

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Rocco Landesman. Photo by Michael Eastman.

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Isobel Coleman

Dr. Isobel Coleman is a senior fellow at the Council on Foreign Relations in New York, where she directs the Council's Civil Society, Markets, and Democracy initiative and the Women and Foreign Policy program. Her areas of expertise include democratization, civil society, economic development, regional gender issues, educational reform, and microfinance.

Dr. Coleman is the author and co-author of numerous publications, including *Paradise Beneath Her Feet: How Women are Transforming the Middle East* (Random House, 2010), *Restoring the Balance: A Middle East Strategy for the Next President* (Brookings Institution Press, 2008), and *Strategic Foreign Assistance: Civil Society in International Security* (Hoover Institution Press, 2006).



Dr. Coleman's writings have also appeared in publications such as *Foreign Affairs*, *Foreign Policy*, *Washington Post*, *Financial Times*, *International Herald Tribune*, *USA Today*, *Christian Science Monitor*, and *Forbes*, and online venues such as the *Huffington Post*. She is a frequent speaker at academic, business, and policy conferences. In 2010, she served as the track leader for the Girls and Women Action Area at the Clinton Global Initiative.

Prior to joining the Council on Foreign Relations, Dr. Coleman was CEO of a healthcare services company and a partner with McKinsey & Co. in New York. A Marshall Scholar, she holds a DPhil and MPhil in international relations from Oxford University and a BA in public policy and East Asian studies from Princeton University. She serves on several non-profit boards, including Plan USA and Student Sponsor Partners.

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Kenneth Castiglia

Kenneth Castiglia is Chief Financial and Administrative Officer and Treasurer at the Council on Foreign Relations. Ken joined the Council in February 2009 as Chief Financial Officer and at the start of last year assumed the administrative and treasurer functions. He is responsible for CFR's finances including budgets, reporting, financial analysis, cash flow and insurance activities. He is the key point of contact for the Finance and Budget, Investment, Audit and Compensation committees of the Board. Ken also oversees the human resources and facilities functions at CFR's headquarters in New York City and its office in Washington D.C. Prior to joining CFR, Ken spent 25 years at Morgan Stanley in a number of key financial positions. His most recent position at Morgan was managing director/CFO of Morgan Stanley Asset Management, where he led all aspects of the global finance/controllers functions in support of the firm's asset management business. Ken was a member of the Morgan Stanley asset management senior management committee, the risk management committee and the seed investment/capital allocation committee. Ken holds a BS in accounting from Rutgers University and an MBA in finance from Fairleigh Dickinson University.



Richard N. Haass

Dr. Richard Haass is president of the Council on Foreign Relations, a position he has held since July 2003. The Council on Foreign Relations is an independent, nonpartisan membership organization, think tank, and publisher dedicated to being a resource for its members, government officials, business executives, journalists, educators and students, civic and religious leaders, and other interested citizens in order to help them better understand the world and the foreign policy choices facing the United States and other countries.

Dr. Haass is the author or editor of eleven books on American foreign policy, including *War of Necessity, War of Choice: A Memoir of Two Iraq Wars* (Simon and Schuster, May 2009). He is also the author of one book on management: *The Bureaucratic Entrepreneur: How to Be Effective in Any Unruly Organization* (Brookings, 1999).

From January 2001 to June 2003, Dr. Richard Haass was director of policy planning for the Department of State, where he was a principal adviser to Secretary of State Colin Powell. Confirmed by the U.S. Senate to hold the rank of ambassador, Dr. Haass also served as U.S. coordinator for policy toward the future of Afghanistan and U.S. envoy to the Northern Ireland peace process. For his efforts, he received the State Department's Distinguished Honor Award.

Dr. Haass has extensive additional government experience. From 1989 to 1993, he was special assistant to President George H. W. Bush and senior director for Near East and South Asian affairs on the staff of the National Security Council. In 1991, Dr. Haass was awarded the Presidential Citizens Medal for his contributions to the development and articulation of U.S. policy during Operations Desert Shield and Desert Storm. Previously, he served in the Departments of State (1981-85) and Defense (1979-80) and was a legislative aide in the U.S. Senate.

Dr. Haass also was vice president and director of foreign policy studies at the Brookings Institution, the Sol M. Linowitz visiting professor of international studies at Hamilton College, a senior associate at the Carnegie Endowment for International Peace, a lecturer in public policy at Harvard University's John F. Kennedy School of Government, and a research associate at the International Institute for Strategic Studies. A Rhodes Scholar, Dr. Haass holds a BA from Oberlin College and the Master and Doctor of Philosophy degrees from Oxford University. He has received honorary doctorates from Hamilton College, Franklin & Marshall College, Georgetown University, and Oberlin College. Dr. Richard Haass was born in Brooklyn, New York, in 1951. He lives in New York City with his wife and two children.

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Suzanne Helm

Suzanne Helm is vice president for development at the Council on Foreign Relations (CFR). As head of the Development Office, she coordinates fund-raising activities for the Council. She joined CFR in August 2005, one month before CFR began its 85th Anniversary Campaign for the Council. This major fund-raising effort was completed in February 2008, surpassing its \$120 million goal.

Before coming to CFR, she served as director of alumni relations and development at the Potomac School, a nationally acclaimed K-12 independent school in McLean, VA. While there she organized and launched a highly successful, three-year, \$50 million campaign. During the 2004–2005 academic year, her department managed the school's Centennial Celebration, which led to a new school record of annual giving and a doubling of participation in alumni programs.

Helm began her career in higher education administration, working in admissions, communications, and development positions at Roanoke College and the University of Virginia. From 1987 until 2001 she served in the external affairs office of the Brookings Institution, where she managed corporate and individual fundraising and worked on communications and board activities, including the institution's 75th anniversary campaign and gala celebration. She also served as vice president for external affairs at the Gettysburg National Battlefield Museum Foundation from 2001 until joining the Potomac School in June 2002. She has served as a fund-raising consultant to a variety of educational, cultural, and healthcare organizations.

A native of Towson, MD, she is an honors graduate of the University of Virginia. She is a member of the Council for Advancement and Support of Education, and former chair of the Development Committee of the Association of Independent Schools of Greater Washington.

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David Kellogg

As Chief Information Officer and Publisher, Kellogg directs all print and online publishing activities for the nonprofit Council on Foreign Relations, including the bimonthly *Foreign Affairs*; ForeignAffairs.com, the magazine's website; the award-winning CFR.org; all web development and operations; and production and marketing of reports and other expert publications from the organization's think tank. He also oversees the organization's Information Services and Library and Research Services departments.

As publisher of *Foreign Affairs* since 1987, Kellogg has been responsible for all business and marketing operations, including circulation, fulfillment, advertising sales, manufacturing and distribution, and finance. During his time with the magazine, paid circulation has nearly doubled to its current 154,000, and advertising revenue has quadrupled. In 1996 he oversaw the launch of the magazine's first website, and has inaugurated three foreign language versions of the magazine. *Foreign Affairs* is one of the few serious publications to be consistently profitable.

Since 2005, Kellogg has directed CFR.org, which has seen average monthly unique visitors grow from 90,000 in 2005 to close to 500,000. The site received a 2007 Knight-Batten Award for Innovations in Journalism for its multimedia Crisis Guides, won a 2008 News and Documentary Emmy for "Crisis Guide: Darfur," and won a 2009 Business and Financial Reporting Emmy for "Crisis Guide: The Global Economy." The Online News Association named CFR.org Best Specialty News Site in 2007.

From 1999 to 2008, Kellogg also directed CFR's Corporate Membership Program, which involves the executives of 180 leading international companies in the activities and substantive work of the organization.

Before joining CFR in 1983, Kellogg held positions in television and book publishing. He is a cum laude graduate of Yale. In 2009 he was named a Fellow in the Punch Sulzberger Executive News Media Leadership Program at Columbia Journalism School.



James M. Lindsay

James M. Lindsay is senior vice president, director of studies, and Maurice R. Greenberg chair at the Council on Foreign Relations (CFR). He is a leading authority on the American foreign policymaking process and the domestic politics of American foreign policy.

Before returning to CFR in 2009, Dr. Lindsay was the inaugural director of the Robert S. Strauss Center for International Security and Law at The University of Texas at Austin, where he held the Tom Slick chair for international affairs at the Lyndon B. Johnson School of Public Affairs. From 2003 to 2006, he was vice president, director of studies and Maurice R. Greenberg chair at CFR. He previously served as deputy director and senior fellow in the foreign policy studies program at the Brookings Institution and has taught at the University of Iowa. From 1996 to 1997, he was director for global issues and multilateral affairs on the staff of the National Security Council. He has also served as a consultant to the United States Commission on National Security/21st Century (Hart-Rudman Commission) and as a staff expert for the United States Institute of Peace's congressionally mandated Task Force on the United Nations.

Dr. Lindsay has written widely on various aspects of American foreign policy and international relations. His book with Ivo H. Daalder, *America Unbound: The Bush Revolution in Foreign Policy* (Brookings Institution Press, 2003), was awarded the 2003 Lionel Gelber Award, named a finalist for the Arthur S. Ross Book Award, and selected as a top book of 2003 by *The Economist*. His other books include *Agenda for the Nation* (with Henry J. Aaron and Pietro S. Nivola, Brookings Institution Press, 2003), which was named an "Outstanding Academic Book of 2004" by *Choice Magazine*; *Defending America: The Case for Limited National Missile Defense* (with Michael E. O'Hanlon, Brookings Institution Press, 2001); *Congress and the Politics of U.S. Foreign Policy* (Johns Hopkins University Press, 1994); and *Congress and Nuclear Weapons* (Johns Hopkins University Press, 1991). He has also contributed articles to the op-ed pages of many major newspapers, including the *New York Times*, *Washington Post*, and *Los Angeles Times*. He currently writes the blog, The Water's Edge.

Dr. Lindsay holds an AB in economics and political science from the University of Michigan and an MA, MPhil, and PhD from Yale University. He has been a fellow at the Center for International Affairs and the Center for Science and International Affairs, both at Harvard University. He is a recipient of the Pew Faculty Fellowship in International Affairs and an International Affairs Fellowship from the Council on Foreign Relations. He is a member of the Council on Foreign Relations.



Stewart M. Patrick

Dr. Stewart Patrick is senior fellow and director of the program on international institutions and global governance at the Council on Foreign Relations (CFR). His areas of expertise include multilateral cooperation in the management of global issues; U.S. policy toward international institutions, including the United Nations; the challenges posed by fragile, failing, and post-conflict states; and the integration of U.S. defense, development, and diplomatic instruments in U.S. foreign and national security policy.

From 2005 to April 2008, he was research fellow at the Center for Global Development. He directed the Center's research and policy engagement on the intersection between security and development, with a particular focus on the relationship between weak states and transnational threats and on the policy challenges of building effective institutions of governance in fragile settings. He also served as a professorial lecturer in international relations/conflict management at Johns Hopkins University's School of Advanced International Studies.

From September 2002 to January 2005, Dr. Patrick served on the secretary of state's policy planning staff, with lead staff responsibility for U.S. policy toward Afghanistan and a range of global and transnational issues. His portfolio included conducting analysis and providing recommendations for U.S. policies on weak and failing states, post-conflict reconstruction, development, refugees and migration, international law enforcement, and global health affairs. He joined the staff as an international affairs fellow at CFR.

Prior to government service, Dr. Patrick was from 1997 to 2002 a research associate at the Center on International Cooperation at New York University. In that capacity he designed and ran two multi-scholar research programs on post-conflict reconstruction and on multilateralism and U.S. Foreign Policy. He also taught U.S. foreign policy at NYU as an adjunct professor of political science.

Dr. Patrick graduated from Stanford University and received his doctorate in international relations, as well as two masters' degrees, from Oxford University, where he was a Rhodes Scholar. He is the author, co-author or editor of four books and the author of numerous articles and chapters on the subjects of multilateral cooperation, state-building, and U.S. foreign policy. Dr. Patrick lives in Chevy Chase, Maryland, with his wife and three children.

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February 7, 2011

Ms. Penny Hunt
Executive Director
Robina Foundation
80 South 8th Street
Suite 4900
Minneapolis, MN 55402

Dear Penny:

I am looking forward to our meeting with you and your fellow Robina Board members at the Council on Foreign Relations (CFR) in Washington, DC, later this month. Jim Lindsay has told me how helpful you have been in putting together such a comprehensive meeting agenda.

Enclosed are summaries of the five proposals we plan to present for consideration of follow-on investment by the Foundation.

1) *Education Initiative.* CFR has plans to expand dramatically its existing educational outreach programming, as well as undertake new efforts to reach advanced high school students and a broader range of community colleges and universities across the country and the world.

2) *Technology to Transform the Way CFR Connects with its Constituencies.* CFR plans to apply new communications technologies to help expand the quality and quantity of its interactions with its current constituencies as well as develop new audiences.

3) *Center for Civil Society, Markets, and Democracy.* This new research program seeks to hire additional personnel and expand its activities in its effort to offer fresh thinking on what the United States and others can do to foster open, prosperous and stable societies.

4) *International Institutions and Global Governance Program (IIGG).* This program, the beneficiary of Robina's first grants to CFR, plans to build upon its solid foundation to focus on transnational challenges and institutions where cooperation is most urgently needed.

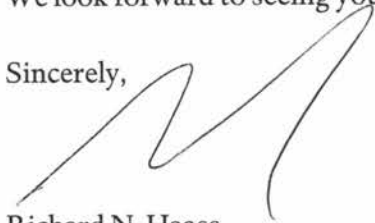
Ms. Penny Hunt
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- 5) *Council of Councils*. CFR will create and lead a global network of policy institutes to facilitate candid dialogue and consensus-building among opinion leaders from both developed and emerging nations.

I understand that Jim has already forwarded the biographies of the CFR staff who will be presenting each of these proposals. Please let Jim or me know if we can provide anything further as you prepare for this meeting.

We look forward to seeing you on February 22.

Sincerely,



Richard N. Haass

President

tel 212.434.9540 fax 212.434.9880

president@cfr.org

Enclosures

COUNCIL *on* FOREIGN RELATIONS

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CFR Education Initiative

February 2011

Americans live in a globally competitive, knowledge-based economy. Yet American students are increasingly lagging behind those in other G20 countries, and the U.S. public education system is producing mediocre results. Much has been written about the relationship between a person's ability to succeed in the workplace and their level of reading and writing ability, math, and science. However, central to the ability to compete in a global world are analytical thinking skills and specific knowledge about (and the ability to operate in) other societies and cultures. These are the very skills that the American education system is failing to equip its students with.

As the premier foreign policy organization in the country, the Council on Foreign Relations (CFR) is well-positioned to make an important contribution to enfranchising American students in the national debate on foreign policy and, in doing so, help prepare them for their role in an increasingly globalized world.

CFR's Academic Initiative, inaugurated in 2005, fosters knowledge of and an enduring interest in U.S. foreign policy by introducing educators and students to the work of CFR, including *Foreign Affairs* and other Council publications, and to its fellows and resources. The Initiative has used its finite resources mainly to target undergraduates at colleges and universities, in addition to conducting some limited outreach to community college students. Drawing upon the success of the Initiative, CFR will dramatically expand the breadth and depth of both its existing outreach to these institutions, and undertake new efforts to connect its resources to advanced high school classes and a broader range of community colleges and universities across the country and the world.

Plans for the new CFR Education Initiative include:

- **Task Force.** Co-chaired by former secretary of state and Stanford University provost Condoleezza Rice and former New York City education chancellor Joel Klein, this Council-sponsored *Independent Task Force on Education and American National Security* will consider America's crisis in K-12 education and present policy recommendations for addressing this critical national security issue.
- **Model National Security Council.** CFR will launch an online Model National Security Council (Model NSC) program that aims to teach high school and college students the mechanics of policymaking and enhance their analytical skills through role-playing scenarios. As a part of this program, CFR will invite a select group of students to participate in an annual two-day Model NSC Conference held at Council headquarters in New York and led by its fellows and members.
- **Global literacy book project, curriculum and online course.** CFR President Richard Haass will author a book on global literacy that includes a curriculum outlining what every student should know about the world and the essential tools required for navigating it. This curriculum will be the basis for the Council's first online open educational resource course on CFR.org that can be adapted for use in formal classroom

settings or by individual self-paced learners. This pilot project will inform CFR's future plans to develop a broader range of online courses taught by Council fellows and members on major regions and the most significant issues shaping today's international agenda.

- **Foreign policy teacher institutes.** CFR will inaugurate annual teacher trainings at its headquarters in New York and Washington, D.C., office. These summer institutes will provide a rarefied opportunity for high school and community college teachers to learn about and discuss pressing foreign policy concerns with CFR fellows and members. Video and audio transcripts of the conference will be posted to CFR.org, making an important contribution to improved efficiency in global literacy education.
- **Online educational resource development.** CFR.org will undertake an initiative to significantly expand the audience for its vast array of nonpartisan foreign policy publications and multimedia interactives. With additional resources, CFR will make critical investments in its technological infrastructure that will bolster its audience-building, social media, and search engine optimization projects.
- **Institutionalize educational outreach at CFR.** The Council will create a senior staff position to help shape and inform an expanded strategic educational outreach program. This staff member will have a background and demonstrated expertise in the education field (particularly in new technologies) to allow the Council to better fulfill this expanded mission. This person will lead the overall Education Initiative, incorporating the Council's many ongoing educational activities with new components into a formal program that aims to connect students in American high schools, community colleges, and undergraduates at colleges and universities with CFR's vast array of resources. While these are the main target groups of the Initiative, the broader scope of this work is both national and global and will extend from high school through lifelong learning.

With the new CFR Education Initiative, the Council will focus on actively marketing its resources to a much broader public by repackaging content to accommodate ease of use in classrooms and by individual learners. This work will serve a third constituency for CFR (in addition to members and traditional elites) and usher in a new era of the Council's commitment to being a public resource in a world where being attuned to foreign affairs is increasingly vital for all Americans. CFR's goal is to promote access to global literacy skills and increase teacher and student knowledge of foreign policy. This renewed focus will allow CFR to market its resources to a broader public and organize its content to make it more accessible to educators, students and life-long learners. CFR's work in this area will contribute to a more informed citizenry who votes, consumes, works, and travels with an enhanced understanding of the world.

Budget

The CFR Education Initiative is in the development stages. The Council is seeking \$6 million over the next three years from the Robina Foundation to launch this work. CFR will leverage this initial investment to seek additional support for the fuller Initiative.

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Technology to Transform the Way CFR Connects with Its Constituencies February 2011

Concept

A major contributor to the high quality and impact of the Council on Foreign Relations' (CFR) publications and programs is the substantive and sustained conversation the organization promotes with a variety of constituencies in the United States and around the world. These interactions—both face-to-face and virtual—directly involve government officials and legislators, policy experts and scholars, business leaders, educators and students, journalists, and opinion leaders, in the creation and dissemination of CFR's work.

With the number and variety of participants in the foreign policy debate expanding at a time when individuals' time and attention is an increasingly scarce resource, the challenge for CFR is to develop new ways to substantially expand the quantity and quality of these interactions. The creative application of communication technologies can help CFR meet that challenge by transforming the way it connects with its constituencies.

There are five areas to which the use of new technology can contribute:

- I. Install "immersive" videoconferencing facilities, such as Telepresence, to permit individuals or groups in CFR's New York headquarters and Washington, DC, office to conduct real-time interactive discussions with multiple locations and audiences around the world under conditions that come close to replicating in-person meetings. This would be an essential tool for all CFR programs, including the new Council of Councils and the Education Initiative.
- II. Adopt web-based collaboration tools that will permit a group of individuals in different locations to do research and co-author or share comments on a report or other document; undertake policy simulations (such as those proposed for the Education Initiative, including the Model National Security Council program and CFR's Contingency Planning Roundtable series); and other new forms of group interactions using new web-based applications, such as Wikistrat. These tools will also be used to permit "time-shifted" group discussions in cases where time zone differences discourage participation in live videoconferences.
- III. Encourage ongoing conversation with members of CFR's various constituencies by using new commenting tools on CFR.org, expanding CFR's blogs, introducing distributed authoring of new information resources (such as a digital encyclopedia devoted to foreign policy issues that is generated by scholars and experts, including CFR members). New "Communities Editors" will coordinate projects like this as well as increase the scope and quality of all interactions with CFR's constituencies on its websites, its blogs, and in social media.

- IV. Expand the number of channels and platforms where CFR's online content is available, including mobile smartphones (such as iPhone), tablets (such as iPad), and eReaders (such as Kindle) in order to expand the audience that is interacting with CFR experts and content. This will be important to the Education Initiative, for example, as a way to expand our connection to students, educators, and life-long learners.
- V. Produce and distribute short-form video interviews and other content on a broad range of issues via CFR.org, ForeignAffairs.com, YouTube, and other platforms through which CFR is reaching its audiences. For example, CFR's Corporate Program is testing a video series featuring leading CEOs discussing issues at the nexus of business and foreign policy. Other recent experiments have produced videos offering breaking analysis on the evolving situation in Egypt's Tahrir Square from experts including former U.S. Secretary of State James A. Baker and CFR Senior Fellows Steven Cook and Isobel Coleman. Short-format video is proving to be an effective way to communicate high-quality ideas and analyze new audiences in new ways.

The estimated cost of these initiatives includes a one-time investment of \$1 million and approximately \$1.425 per year in operating expenses:

- Immersive videoconference facilities: \$1 million for construction and equipment and an additional \$250,000 per year in operating support.
- Web-based collaboration tools: \$170,000 per year.
- Communities Editors (2): \$340,000 per year.
- Development and operation of applications for new digital platforms, including content: \$340,000 per year
- Produce and distribute short-form video interviews: \$325,000 per year.

COUNCIL *on* FOREIGN RELATIONS

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International Institutions and Global Governance (IIGG) Program Phase II Plans February 2011

The path-breaking program on International Institutions and Global Governance (IIGG) has rigorously explored a diverse array of transnational challenges, ranging from climate change to nuclear proliferation to infectious disease to cyber conflict. The program's painstaking research has clarified priorities for reform of global institutions and identified challenges and strategies for promoting multilateral cooperation. IIGG's roundtable meetings, written analyses, multimedia products, and personalized briefings have enriched the public debate on global governance issues and established IIGG as a leading source of expertise and policy advice for policymakers seeking to promote multilateral cooperation. IIGG has at the same time transformed the culture of CFR itself, broadening the vision and agenda of the David Rockefeller Studies Program and promoting unprecedented collaboration among CFR scholars.

IIGG's effort to map the terrain on global governance and to build extensive ties with U.S. and foreign policymakers now enables it to focus on transnational challenges and institutions where cooperation is most urgently needed, and where targeted U.S. leadership can make a major difference. To that end IIGG will continue its robust agenda of meetings, publications, multimedia, and briefings. IIGG has also launched a new publication series, the Policy Innovation Memo (PIM). The PIMs build on the intellectual work already done by IIGG to promote bold new solutions to pressing foreign policy challenges. The PIMs are written with busy policymakers and opinion leaders in mind, so they are relatively short (1,500 words) and written in engaging and jargon-free prose.

Based on its findings to date, IIGG sees five issue areas as ripe for work:

- ***Confronting Transnational Threats:*** Inherited multilateral institutions struggle to address global threats, from terrorism to nuclear proliferation to infectious disease. IIGG will propose reforms to the UN's Counter-Terrorism Committee, the International Atomic Energy Agency, and the World Health Organization.
- ***Building a Resilient Global Economy:*** IIGG program will provide policy recommendations on the role of the Group of Twenty (G20) in managing the global economy. It will also evaluate the creation of a new World Energy Organization and of a new Global Investment Regime.
- ***Managing the Global Commons:*** Peace and prosperity depend on multilateral arrangements to govern the global commons—including outer, maritime, cyber, and civilian air space. IIGG will propose new arrangements to govern these domains, beginning with the Peaceful Uses of Outer Space.
- ***Enlisting Rising Powers:*** Dramatic shifts in global power are testing existing institutions. Working with CFR country experts, IIGG will propose strategies to persuade emerging players to accept their share of global responsibilities.

- ***Leveraging Regional Organizations and Ad Hoc Frameworks:*** Formal international organizations, like the UN, increasingly share space with regional bodies and coalitions of states in addressing global issues. IIGG will explore how to ensure that such frameworks are complementary, rather than working at cross purposes.

While focusing on these five issues, IIGG will deepen its ongoing efforts to educate publics in the United States and abroad about the requirements for and stakes in effective multilateral cooperation. We will produce new installments of its award-winning Global Governance Monitor, including installments on Human Rights and Transnational Crime. In addition, IIGG will launch an Annual Scorecard on the State of Global Governance—a concise, yearly audit of multilateral progress and setbacks in managing the world's most daunting challenges.

Finally, IIGG will be the institutional home for CFR's newest initiative, the Council of Councils, a global network of policy institutes working on global governance issues. The decision to create the CoC flows out of IIGG's efforts in its emerging powers activities to persuade other leading countries to contribute to improving global governance. The CoC initiative is discussed more fully in a separate proposal to the Robina Board. The Council on Foreign Relations (CFR) seeks annual funding at the level of \$1.5 million for IIGG.

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Council of Councils February 2011

Concept

The defining foreign policy challenges of the twenty-first century are global in nature. To help focus high-level international attention and effective policy responses to these threats and opportunities, the Council on Foreign Relations (CFR) is creating a Council of Councils (CoC). The CoC would draw CFR into closer relationships with other global think tanks. The network will be composed, at least initially, of some twenty major policy institutes, one apiece from the world's most influential countries (roughly tracking the G20 membership). The CoC will be designed to facilitate candid, off-the-record dialogue and consensus-building among influential opinion leaders from both established and emerging nations, with the ultimate purpose of injecting the conclusions of these deliberations into high-level foreign policy circles within each country. As a part of this work, CFR and CoC participants will need to invest in new technology, including videoconferencing, wikis, and others to facilitate many of the network's activities. This technology will enable the CoC network to leverage CFR's unique convening power and reputation, while expanding its global reach. Furthermore, the CoC could have a transformational impact on other societies by helping them develop the think tank model of policy analysis.

Activities and Outputs

Annual Conference. The CoC's marquee event will be an annual conference in the United States hosted by CFR, featuring two to three senior representatives of each institution. This event will focus on a narrow set of pressing global issues and reform opportunities. CFR will produce working papers for distribution prior to the meeting to serve as a draft set of principles for global agreement. Products will include the release of a rapporteur summary with policy recommendations, and the formulation of regional or topically driven working groups.

Regional Meetings. Beyond the annual conference, the CoC will hold issue-driven regional meetings in rotating locations. These meetings will serve as the foundation for multi-country platforms that enable policy consultations, research collaboration, and exchange of fellows in particular issue areas. Investments in internet technology both by CFR and CoC participants will be critical to this work.

Inaugural Meeting Format and Agenda

The CoC will hold its first two-day meeting in Washington D.C. in February or March, 2012, and include three to five main sessions, centered around critical topics of broad interest, such as:

1. Alternatives to current models and mechanisms of global governance (e.g., Doha and Copenhagen)

2. Specific functional global economic issues (e.g., Basel IV Accord)
3. Standardization of global refugee policies

To help frame discussions, each session will begin with presentations by featured speakers, including noted experts, former senior officials and, in some cases, members of the network.

Budget

The estimated cost to launch the CoC is roughly \$1.25 million, over an initial three-year period.

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Center for Civil Society, Markets, and Democracy February 2011

The Center for Civil Society, Markets, and Democracy (CSM&D) at the Council on Foreign Relations (CFR), launched this fiscal year, is dedicated to offering fresh thinking on what the United States and others can do to foster open, prosperous, and stable societies. The Center's work comes at a critical time. After the Cold War ended, many believed that the Western model of liberal capitalism and democracy had triumphed. Today, however, that model faces a range of challenges. These include the economic crisis of recent years, which has damaged confidence in the free market; China's exceptional growth, which has made its own economic and political system more attractive; the rise of extremism and non-state terrorist networks, which poses unprecedented risks to open, democratic societies; and, most recently, the crisis in the Middle East, which was sparked in part by the clash between rising economic aspirations and limited opportunities and freedoms.

CSM&D is pursuing four cross-cutting streams of work:

1. **Markets and democracy in the 21st century:** This area of work examines issues surrounding political and economic openness and reform—and the United States' efforts to promote these goals—in the context of the global economic crisis, the changing landscape in the Middle East, and other ongoing developments.
2. **Civil society in troubled states:** In this area of work, the Center is evaluating the most effective ways to strengthen the building blocks of democracy, promote human rights, foster civic engagement, and combat radicalism in the Arab and Muslim worlds and the West.
3. **Women and foreign policy:** In this area, the Center is examining the connection between women's empowerment and the economic and political development of their societies, with particular attention to the evolution of women's rights in Muslim-majority countries.
4. **Entrepreneurship and development:** This area of work explores the inter-relationship among entrepreneurship, economic growth, and governance, and also evaluates what conditions are most conducive to entrepreneurship in developing countries.

Support from the Robina Foundation would enable the Center for Civil Society, Markets, and Democracy to pursue a broader and deeper set of activities.

- First, the Center would advance the debate on innovative solutions to development challenges by bringing new expertise to bear on CSM&D's full range of issues. This would include increasing collaboration with existing CFR scholars, hiring additional experts on such topics as markets and democracy and human rights, and making the best cutting-edge academic work, particularly by economists, accessible to policymakers, business leaders, and other important constituencies.
- Second, to disseminate its ideas, CSM&D would bolster its website (www.cfr.org/csmcd) with multimedia information and analysis. New products would include video interviews with leading thinkers and practitioners, working papers on critical countries and issues, and interactive features

designed to explain the challenges of development and democracy in an engaging way. CSM&D personnel would also continue to produce articles, books, and other publications.

- Third, the Center would enhance its programming for a wide range of constituencies. This would include an expanded suite of roundtable meetings, an annual event designed to bring together CFR experts and leading outside voices, and one or two annual symposia on selected topics.

CSM&D's expansive scope and inter-disciplinary approach allow it to fill a gap in a crowded market for ideas. Using its own resources along with the broader expertise and visibility of CFR, the Center achieves significant impact by bringing together a diverse range of actors, analyzing issues whose complex dimensions are seldom examined together, and marketing innovative ideas to policymakers, business leaders, other influential audiences, and the public.

Support of \$1.5 million per year would allow CSM&D to pursue the full range of activities described here.

**Robina Foundation
Meeting Minutes
November 16, 2010**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on November 16, 2010 via conference call.

Directors present: Gordon Aamoth, Kathleen Blatz, Thomas Crosby, Peter Karoff, and Steven Schroeder.

Staff present: Penny Hunt, Executive Director, and Nancy Gilberg, Administrative Consultant.

Tiffanie Loeb, OfficeTeam temporary employee, was present and served as recorder.

Welcome and Call to Order

Crosby, Chair, called the meeting to order and welcomed Board Members.

Minutes of the August 24-25, 2010 Board Meeting

Crosby proposed that the description of the timeframe for the Foundation be amended to reference "the period ending December 31, 2025."

A motion made and seconded to approve the Minutes of the August 24-25, 2010 meeting as amended was approved unanimously.

Executive Director's Report

Hunt called Board Members' attention to information in the Executive Director's Report describing conversations with David Wippman and Inge Reichenbach concerning meetings with the University of Minnesota and Yale to identify opportunities for Foundation funding. Board Members discussed the purpose of these meetings and attendance.

Governance

Board Members briefly discussed the current operation of the Foundation's "Lead Director" program, including the pros and cons of rotating assignments. A thorough discussion of the program will be on the agenda of the Foundation's annual meeting in August 2011.

Treasurer's and Legal Reports

Crosby called the Board's attention to several items related to the Foundation's assets:

- The reduction in the Foundation's assets is due to the payment of grants, not changes in the market.
- Detail on the Binger Estate's venture capital assets provided by JP Morgan includes more specific numbers on the value of the assets.

- With the upcoming transfer of the Binger Estate assets to the Foundation, the timing is right to buy out Marion Bazal's interest in 301 Clifton by offering Ms. Bazal an amount based on the rental value of the condominium. Crosby will work with JP Morgan to move this forward.
- The Estate's formal application for a tax refund has been submitted to the Joint Committee of Congress, which should result in a tax refund in approximately two months.

Crosby reported that David Crosby and Conley Brooks had agreed to participate on an investment committee to assist the Board in development of the Foundation's investment strategy and selection of a company to manage Foundation assets. Crosby proposed that the Foundation engage Michael Sullivan, former manager of the endowment of St. Thomas University with experience with foundations of limited duration, as a consultant to assist in this process.

Upon motion made by Karoff and seconded by Blatz, the Board agreed to provide \$10,000 to engage Sullivan for approximately two months to provide professional services to the investment committee in the development of an investment strategy and selection of a firm to manage Foundation assets.

Crosby reported that the Foundation had agreed to move estate assets into an agency account at JP Morgan to facilitate the upcoming transfer of assets to the Foundation.

Grant Program – Draft Guidelines and Strategies

Board Members discussed the Draft Guidelines and Strategies included in the Board Book. Hunt agreed to revise the draft as discussed and send it to Board Members for further review before sending it to Robina Grantees for their consideration and input. Plans call for final approval at the February Board Meeting.

Grants

Abbott Northwestern

Quarterly Report: Board Members reviewed Abbott Northwestern's quarterly report, noting in particular that ANW is on schedule with implementation of Phase 2 of the Care Guides in the Primary Care Office program and is making efforts to disseminate Phase 1 results through professional journals.

Proposals for Future Robina Grant: Board Members discussed ANW's three proposals for future funding. Of the three proposals, the proposal for a Late Life Model of Supportive Care received the most Board support. Schroeder questioned the value of ANW's involvement with "Adaptive Health Practice" since many other institutions are already focused on this topic. Board Members were unclear about the purpose of the proposal aimed at the integration of behavioral health with physical health care and the implementation of the program. Hunt agreed to meet with Dr. Wheeler at ANW to discuss the Board's initial response to the three proposals and to seek clarification of

questions raised by Board Members. The Board will discuss the proposals further at the February 2011 Board Meeting.

Council on Foreign Relations

Quarterly report: Hunt called to the Board's attention that CFR is launching two new initiatives to deepen the policy impact of its work: a "policy innovations" memo series and the formation of a new Council of Councils to pull together think tanks from around the world to identify logjams and breakthroughs in international cooperation. While Board Members recognized that CFR is improving its reporting of the impact of the IIGG program, they continue to question whether Robina funding is truly having an impact.

Proposal for Extension Grant: Hunt noted that CFR plans do not call for an external assessment of the IIGG program as recommended by the Board. Board Members expressed particular concern for the budget proposed for the extension grant, which includes vague, unclear categories of expenditures and considerable overhead. Approval of the proposal was delayed until the February 2011 meeting when Board Members will meet with leadership of CFR, as well as of the IIGG program.

University of Minnesota

Quarterly Report: Board Members noted that the report confirms that the Law School is on track in the implementation of the various parts of the LaPPs program

Proposal for Extension Grant:

Upon motion made and seconded, the Board approved the payment of \$2 million to the University of Minnesota Law School in September 2011 to support recent hires in international law, criminal law, and law and science, new clinics in these areas, and related short-term faculty visits as part of the LaPPs program.

Yale Law School

Quarterly Report: Hunt and Karoff called the Board's attention to information provided by Yale Law School concerning the Schell Center and the "community of interest" in human rights and emphasized the significant role the Robina Foundation grant plays in the expansion of Yale Law School's human rights programming.

Proposal for Extension Grant:

Upon motion made and seconded, the Board approved the payment of \$1 million to Yale Law School in June 2011 to support the Robina Human Rights Fellowship Initiative.

Yale School of Drama

Quarterly Report: Board Members noted that Yale School of Drama continues to implement the Robina grant as planned. Karoff mentioned that it will take three to four years for the School of Drama to distribute the Production Enhancement Fund.

Proposal for Extension Grant

Upon motion made and seconded, the Board approved the payment of \$950,000 to Yale School of Drama in September 2011 to support the Center for New Theatre.

Aspen Institute Update

Hunt reported that in early November 2010 the Aspen Institute conducted the Judicial Seminar "International Human Rights and Humanitarian Laws: Their Application in National Jurisprudence" made possible by a \$130,575 Robina Foundation grant in 2009. Approximately 22 judges attended the two-day seminar. ✓

Other Business

Crosby announced that Susan Berresford, former head of the Ford Foundation will participate in the Foundation's February 2011 meeting in Washington DC. She will be present on Monday night, all day Tuesday, and Tuesday night.

Board Members agreed to extend the Board Meeting on February 23 to 2:00 p.m. to accommodate the full agenda. Crosby agreed to contact Rocco Landesman to invite him to the Board Dinner on Monday, February 21.

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Steven A. Schroeder, Secretary

Date

Ask if want more/less
communication (e.g. monthly
emails or hard copy reports)

**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
February 23, 2011**

EXECUTIVE DIRECTOR'S REPORT

This report will be short and sweet since I described much of my work in a memo to the board dated January 6, 2011, and since preparation for the Board Meeting, along with development of the materials included in the Board Book represent my recent work. The agenda items and the various attachments will be discussed during the course of the business meeting.

"Deep Dives" with Robina Grantees

Although scheduling meetings with Yale and the University of Minnesota was a bit daunting and preparation for the meetings involved considerable work on the part of Yale and the U, the day-long sessions with Yale and the U were quite extraordinary. The meetings provided these two grantees with the opportunity to talk about their key priorities and challenges and then describe in detail initiatives that fit with Robina guidelines. This was their day to put forth information that they feel will help Robina understand where they are and where they want to go and the best way for the Robina Foundation to support them. Robina participants appreciated discussions with senior leadership as well as with the people connected with specific programs.

Following both of these meetings, we provided feedback on the discussions to help the grantees prepare information on potential programs, which the Board will discuss during the Board Meeting.

I'm confident our meetings with CFR and Abbott Northwestern Hospital/Allina will be equally successful and valuable. I worked with Jim Lindsay from CFR on the development of the agenda for the CFR meetings and am working with Marcus Thygeson of Allina on the agenda for the March meeting with ANWH/Allina.

Sunset Investment Management

Tom recently sent an email describing progress made in developing an appropriate sunset investment management strategy for the Foundation. I participated in the various meetings with potential investment managers (USBank, etc.), as well as with the investment committee Tom assembled.

**ROBINA FOUNDATION
ASSETS AND GRANTS**

Q/E DATE	ASSETS	GRANTS (cumulative)	GRANTS (outstanding commitments)
12/31/07	\$149,839,012.57	\$350,000.00	\$ 0
12/31/08	128,359,302.03	7,028,535.00	17,507,864.00
12/31/09	127,065,750.39	14,719,093.00	9,947,881.00
03/31/10	126,595,324.27	14,719,093.00	9,947,881.00
06/30/10	123,001,620.97	15,719,093.00	8,947,881.00
09/30/10	121,856,212.63	20,549,431.00	10,067,543.00 (1)
12/31/10	128,007,811.51	22,922,663	7,694,311 (2)

- (1) Includes the 2010 commitment of \$2,373,232 to be paid in December to Abbott; the 2011 commitment of \$850,854 and the 2012 commitment of \$893,457 to the U of M; and the additional year of funding in 2011 of \$5,950,000 for CFR, U of M, Yale Law and Yale Drama
- (2) Includes 2011 commitment of \$850,854 and the 2012 commitment of \$893,457 to the U of M Law School; the additional year of funding in 2011 of \$5,950,000 for CFR, U of M, Yale Law and Yale Drama

ROBINA FOUNDATION ASSETS DETAIL

*USbank Checking, USbank Investment Account, TIFF Account, Estate of Jim Binger, IRS Refund (a constant number based on recent estimates)

Assets	12/31/07	12/31/08	12/31/09
USbank Checking	\$28,607.85	\$39,292.02	\$3,299,000.81
USbank Investment	28,068,147.99	21,523,747.18	30,793,370.96
TIFF	8,587,802.83	6,356,616.51	8,183,916.75
Estate of Jim Binger	96,165,289.90	83,450,482.32	67,800,297.87
IRS Refund	16,989,164.00	16,989,164.00	16,989,164.00
Total	\$149,839,012.57	\$128,359,302.03	\$127,065,750.39

	03/31/10	06/30/10	9/30/10
USbank Checking	\$3,260,931.19	\$2,211,528.66	\$5,338,375.00
USbank Investment	30,990,610.24	31,231,745.96	23,575,643.46
TIFF	8,441,421.21	8,058,254.83	8,792,014.78
Estate of Jim Binger	66,913,197.63	64,510,927.52	67,161,015.39
IRS Refund	16,989,164.00	16,989,164.00	16,989,164.00
Total	\$126,595,324.27	\$123,001,620.97	\$121,856,212.63

	12/31/10	03/31/11	06/30/11
USbank Checking	5,279,343.30		
USbank Investment	21,160,516.65		
TIFF	9,262,202.25	← 9,340,350.22	
Estate of Jim Binger	82,985,461.31		
IRS Refund	9,320,288.00 (1) ⑦		
Total	128,007,811.51		

(1) Updated IRS info from Peggy Quinn of McDermott (attached)

From: tcrosby@tcrosbylaw.com [mailto:tcrosby@tcrosbylaw.com]
Sent: Thursday, January 20, 2011 6:27 PM
To: Quinn, Peggy A.
Cc: TCrosby T Crosby
Subject: Re: IRS Numbers [IWOV-DM_US.FID936102]

Thanks - that is the information I seek.

From: "Quinn, Peggy A." <pquinn@mwe.com>
Date: Thu, 20 Jan 2011 18:10:38 -0600
To: Thomas Crosby <tcrosby@tcrosbylaw.com>
Subject: RE: IRS Numbers [IWOV-DM_US.FID936102]

Tom,

The gift tax refunds, including interest, received by the estate are \$534,631.13 (2003) and \$10,270,412.91 (2004).

The estate tax refunds, without interest, that are anticipated are \$6,772,151 federal and \$2,548,137 Minnesota. These amounts will be paid in part by the taxing authorities and in part by the Marital Trust.

Please let me know if you have any questions.

Peggy

Peggy A. Quinn
McDermott Will & Emery LLP
227 W. Monroe Street
Chicago, IL 60606
Telephone: 312.984.3363
Fax: 312.277.5216

From: Thomas Crosby [mailto:tcrosby@tcrosbylaw.com]
Sent: Wednesday, January 19, 2011 9:34 AM
To: Quinn, Peggy A.
Cc: ngilberg@robinafoundation.org
Subject: IRS Numbers

For our internal bookkeeping, could you let me know the amount the Estate has received from the IRS to date (two payments) and the outstanding, anticipated amount.

Thanks

IRS Circular 230 Disclosure: To comply with requirements imposed by the IRS, we inform you that any U.S. federal tax advice contained herein (including any attachments), unless specifically stated otherwise, is not intended or written to be used, and cannot be used, for the purposes of (i) avoiding penalties under the Internal Revenue Code or (ii) promoting, marketing or recommending to another party any transaction or matter herein.

From: Penny Hunt <pennhunt@gmail.com>
Subject: **Conversation with Anita and Paul**
Date: February 15, 2011 5:38:28 PM CST
To: Crosby Tom <tcrosby@tcrosbylaw.com>
Cc: Gilberg Nancy <ngilberg@robinafoundation.org>



Hi Tom,

I just got off the phone with Anita and Paul. Here is what I learned:

1. 301 Clifton: Marion is alive and well and going strong at 86. She spends January - March in Arizona, with the balance of her time in Minnesota except for visits to Florida where her daughter lives. She wants to retain a residence in Minnesota, but is open to an offer on her interest in 301 Clifton.

The question is what to offer? JP Morgan will have an appraisal done in the next several months as a basis for determining an appropriate offer. Anita asked if we had researched the tax implications for Robina of a transaction with Marion. JP Morgan will make the offer on Robina's behalf if we prefer.

Here are Marion's contact number: Tucson: 520-299-7053
Minneapolis - 612-879-4192

Per Anita, Marion is not hard to get in touch with.

2. Cash Distributions: Paul mentioned the cash distributions reflected in the recent "Current Residuary Assets statement.

3. Private Equity Transfers: Paul spoke last Friday with people at JP Morgan who have been trying to contact people connected with the private equity assets. They've been unable to reach anyone, but will keep trying.

4. Tartan liquidations: Anita indicated that Robina will receive about \$26 million from the liquidation of the Tartan Limited Partnerships. JP Morgan is prepared to wire transfer these funds + the \$12,000,000 Peggy Quinn discussed with you (total funds: \$38,292,380). Anita is sending you a form you need to sign for the transfer. The form should be on your desk on Monday when you're in the office.

I think that's it. I hope this is clear.

Penny



P.O. Box 1800
Saint Paul, Minnesota 55101-0800

3039 IMG

Y ST01

THE PRIVATE CLIENT RESERVE
Business Statement

Statement Period:
Dec. 1, 2010
through
Dec. 31, 2010

Page 1 of 4



000002512 1 AT 0.357 106481894480756 P
ROBINA FOUNDATION
ATTN: NANCY
80 S 8TH ST STE 4900
MINNEAPOLIS MN 55402-2226



To Contact U.S. Bank

24-Hour Business Solutions: 1-800-673-3555

Telecommunications Device for the Deaf: 1-800-685-5065

Internet: usbank.com

INFORMATION YOU SHOULD KNOW

At U.S. Bank, we place your privacy and the security of your accounts and personal information as a top priority. As permitted by the Internal Revenue Service, to further protect your personal information, we will provide only the last 4 digits of your personal tax identification number on any IRS Form 1099-INT you may receive for this account in the future.

CHECKING

U.S. Bank National Association

Member FDIC

Account Summary

	# Items				
Beginning Balance on Dec. 1		\$	5,295,073.53	Interest Paid this Year	\$ 11,913.33
Other Deposits	1		1,123.23	Number of Days in Statement Period	31
Other Withdrawals	1		72.68-		
Checks Paid	12		16,780.78-		
Ending Balance on Dec. 31, 2010		\$	5,279,343.30		

Other Deposits

Date	Description of Transaction	Ref Number	Amount
Dec. 31	Interest Paid	3100005593	\$ 1,123.23
Total Other Deposits			\$ 1,123.23

Other Withdrawals

Date	Description of Transaction	Ref Number	Amount
Dec. 17	Electronic Withdrawal REF=10350009834684 Y	From DLX For Business 1411877307BUS PROD 02019259844128	\$ 72.68-
Total Other Withdrawals			\$ 72.68-

Checks Presented Conventionally

Check	Date	Ref Number	Amount	Check	Date	Ref Number	Amount
	Dec. 2		49.93		Dec. 13		38.79
	Dec. 2		956.71		Dec. 20		246.79
	Dec. 8		2,475.00		Dec. 20		750.00
	Dec. 9		1,500.00		Dec. 31		450.00
	Dec. 13		161.68		Dec. 29		7,500.00
	Dec. 13		151.88		Dec. 30		2,500.00

Gap in check sequence

Conventional Checks Paid (12) \$ 16,780.78-

Balance Summary

Date	Ending Balance	Date	Ending Balance	Date	Ending Balance
Dec. 2	5,294,066.89	Dec. 13	5,289,739.54	Dec. 29	5,281,170.07
Dec. 8	5,291,591.89	Dec. 17	5,289,666.86	Dec. 30	5,278,670.07
Dec. 9	5,290,091.89	Dec. 20	5,288,670.07	Dec. 31	5,279,343.30

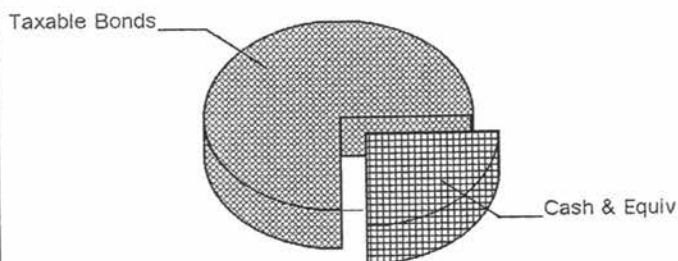
4



This statement is for the period from
December 1, 2010 to December 31, 2010

ASSET SUMMARY AS OF 12/31/10

Assets	Current Period Market Value	% of Total	Est Annual Income
Cash & Equivalents	5,238,292.53	24.80	.00
Taxable Bonds	15,922,224.12	75.20	648,234.90
Total Market Value	\$21,160,516.65	100.00	\$648,234.90



YOUR INVESTMENT OBJECTIVE IS ALL FIXED/NON
TAXABLE

MARKET VALUE SUMMARY

	Current Period 12/01/10 to 12/31/10	Year-to-Date 01/01/10 to 12/31/10
Beginning Market Value	\$23,554,594.59	\$30,793,370.96
Taxable Interest	130,714.41	812,514.69
Paid To/For Beneficiaries		- 8,000,000.00
Fees and Expenses	- 6,746.46	- 83,327.99
Cash Receipts		5,830,338.00
Cash Disbursements	- 2,373,232.00	- 8,203,570.00
Long Term Gains/Losses	- 177,384.61	- 196,146.15
Short Term Gains/Losses		- 10,810.10
Amortization/Accretion		3,300.00
Change in Investment Value	32,570.72	214,847.24
Ending Market Value	\$21,160,516.65	\$21,160,516.65



Four Tower Bridge
200 Barr Harbor Drive, Suite 100
West Conshohocken, PA 19428

Account Statement
12/01/2010 - 12/31/2010
Page 1 of 6

Member Inquiries: (610) 684-8200
Member Services Fax: (610) 684-8210
Website Inquiries: www.tiff.org
Registration: ROBINA FOUNDATION
Account Number: [REDACTED]

858193 F001 3955 1OZ 1/3 ----- 1319
Mr. Thomas M. Crosby, Jr.
Treasurer
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Account Summary - Current Month

Fund Name	Beginning Market Value	Purchases	Redemptions	Distributions	Share Balance	12/31/2010 NAV	Ending Market Value	Average Cost Basis
TIFF MULTI-ASSET FUND	\$8,907,018.24	\$0.00	(\$0.00)	\$314,702.38	595,640.016	\$15.55	\$9,262,202.25	\$9,918,614.84
Account Total	\$8,907,018.24	\$0.00	(\$0.00)	\$314,702.38			\$9,262,202.25	

Distributions may be reinvested or paid in cash at the election of the member. See the Transaction History section for information specific to each fund investment.

The average cost basis is calculated using the single-category average basis method, one of four common methods approved by the IRS. It takes into account all purchases and redemptions, including shares acquired through reinvested dividends and capital gains distributions. The average cost basis is not reported to the IRS.

Numbers may not add to totals due to rounding.

Account Summary - YTD

Fund Name	Purchases	Redemptions	Distributions	Dividend Option	Cap Gain Option	Account Inception
TIFF MULTI-ASSET FUND	\$0.00	(\$0.00)	\$407,265.86	Reinvest	Reinvest	05/22/2007
Account Total	\$0.00	(\$0.00)	\$407,265.86			

[REDACTED]
ROBINA FOUNDATION

Current Residuary Assets on Hand (as of December 31, 2010)

Cash and Short Term

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 16,269,068.65
James H. Binger Revocable Trust - Income Account [REDACTED]	7,220,909.80
Estate of James H. Binger [REDACTED]	25,034,404.26
Estate of James H. Binger - Income Account [REDACTED]	448,522.41
Total Cash and Short Term:	\$ 48,972,905.12

Tartan I LP (as of 12/31/10)

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	28,894,721.72	43.4%	12,540,309.23	
Tartan I LP - ScotchGard	21,898,499.51	33.3%	7,292,200.34	
Tartan I LP - Post It	33,234,826.42	19.8%	6,580,495.63	
Total:	84,028,047.65		26,413,005.19	\$ 26,413,005.19 (Liquidation Value)

Other Assets:

James H. Binger Revocable Trust [REDACTED]		
Tomsten Inc.	125,001.00	
301 Clifton	420,000.00	
MN Community Dev. Bond	-	
Jason McLean Prom. Note	50,000.00	
Venture Capital	6,602,439.00	
Eridon	60,000	
Loring Pasta Bar	66,576	
Myfitlife Inc.	275,000	
Project Apple	-	
Raymedica Inc.	535	
Total:	7,599,551.00	\$ 7,599,551.00

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA:

\$ 82,985,461.31

Note: Distributions to date total \$47MM (an interim distribution of \$27MM was made on 10/4/2007 and another distribution of \$20mm was made on 3/25/2009).

Note: Robert Pennell devise of \$584,575.34 on 1/22/09

Nancy Gilberg

From: Thomas Crosby [tcrosby@tcrosbylaw.com]
Sent: Thursday, January 27, 2011 10:35 AM
To: 'Gordon Aamoth'; 'Blatz Kathleen'; 'H. Peter Karoff'; 'Schroeder, Steve'
Cc: 'penny'; ngilberg@robinafoundation.org; nosde2@aol.com
Subject: Robina Financial news

Two recent developments in Robina finances:

-a recent calculation of the IRS refund situation puts the total number at \$20,125,332 which includes interest payable to Robina by the family because the IRS nets out the amount of interest on the refund (interest on amounts otherwise payable by the family is netted against interest payable to Robina on its refund). Of this amount the estate has received \$10,270,412.91 which is being held by J. P. Morgan. In our planning we had been using a "plug" number of \$16.5 million so this is a bonus of over \$3.5 million

-with respect to our investment in TIFF, in the last quarter of 2010 we, for the first time since the 2008 market break, went into positive territory on our initial investment of \$9 million. We had withdrawn nothing from that fund and had reinvested distributions in further interests in the fund. At the last board meeting we discussed the fact that TIFF was designed for long term endowments comparable to Yale and Harvard, would not fit our 15 year sunset concept and would be sold when we embarked on our new investment strategy. Given the recent market rise and the nearness to our new investment policy, I determined to sell the TIFF. We have today received a wire transfer to our US Bank account of \$9,340,350 as a total liquidation of the TIFF investment – there is no holdback.

Other matters:

Several months ago we authorized J. P. Morgan, at their request, to set up an agency account at J. P. Morgan into which the non liquid investments would be transferred from the Estate. Because general partner approval and other mechanics are required to transfer the interests in partnerships and LLC's, it was deemed most efficient to have it in house at J. P. Morgan. Ultimately it will be transferred to US Bank. J. P. Morgan is characteristically slow in giving us information on how this transfer is going.

-In our last Board meeting we authorized hiring Mike Sullivan, chief investment officer of St. Thomas University, to assist us in our sunset investment plan. I also set up an informal investment committee consisting of my brother, David, an investment banker at Piper Jaffray, and Conley Brooks, Jr., head of a local multifamily office, to help us make the decision. We had proposals from US Bank, Northern Trust and J. P. Morgan. This group met in December and determined to ask US Bank to prepare a modification of their initial proposal to follow a program suggested by Sullivan which was endorsed by the committee. The US Bank proposal was delivered yesterday. More on this topic will be reported at the February Board meeting.

-We have asked J. P. Morgan to sound out Marion Bazal on the purchase from her of her life interest in the condominium. There continue to be private inurement issues if the Foundation were to own the condominium and make payments related to Marion's residency. No report from J. P. Morgan but we will pester them on that matter as well as the other illiquid investments before the February meeting.

I am sending a copy of this report to Ed Spencer because of his past assistance in these matters.



WIRE TRANSFER DEPARTMENT
PO BOX 64830
ST PAUL, MN 55164-0830



January 19 , 2011

Par: [REDACTED]

1/1



000001582 1 SP 106481924504784 P
ROBINA FOUNDATION
ATTN NANCY
80 S 8TH ST STE 4900
MINNEAPOLIS MN 55402-2226

We confirm that we are crediting your account number [REDACTED] with the sum of USD 9,340,350.22, with value 01/19/2011 in respect of the following transaction.

IMAD: [REDACTED]

Originator:

ROBINA FOUNDATION
ATTN NANCY GILBERG
4900 IDS CENTER
MINNEAPOLIS, MN 55402

Originator FI

TIFF
200 CLARENDON ST 29TH FLOOR OPS 22
BOSTON MA 02111

Sender :

011000028
STATE ST BOS MA
STATE ST BOSTON

Beneficiary :

ROBINA FOUNDATION

Payment Details

OBI :

TIFF ACCOUNT [REDACTED]

This information is confidential. If it was received in error or you have any inquiries regarding this wire transfer, please contact US Bank Wire Transfer Customer Service at (888) 799-4737.

OPERATING EXPENSES				2010 Budget		2010 Actual	2011 Budget	
Administration: Contract Service								
		Penny Hunt		\$50,000		63,333.28	\$90,000	
		Baker Management (Nancy Gilberg)		29,700		29,700.00	30,240	
		Outside Consultants		15,000		6,000.00	25,000	
Accounting-Audit Fees				15,000		7,490.00	15,000	
Director's Fees				60,000		49,167.00	50,000	
Insurance								
		D&O		4,800		4,800.00	4,800	
		Property		502		505.50	506	
Legal-Prof Fees				2,000		4,376.10	5,000	
Meeting Expense				20,000		18,947.41	30,000	
Membership Dues				495		495.00	695	
Misc Expense				1,000		792.56	1,000	
Office								
		Equipment and Furnishings		500		421.73	500	
		Misc		2,500		1,305.59	2,000	
		Supplies		500		583.39	600	
Parking and Mileage				2,000		2,448.74	2,500	
Postage and Delivery				2,000		863.32	1,000	
Printing, Web Design and Maintenance				2,000		439.90	1,000	
Professional Development				2,000		0.00	1,000	
Publications and Subscriptions				30		0.00	30	
Rent				11,670		11,371.41	11,372	
Tax: Excise				6,750		3,000.00	30,000	
Telephone/Internet				<u>3,000</u>		<u>2,654.71</u>	<u>2,700</u>	
TOTAL OPERATING EXPENSES				231,447		208,695.64	304,943	
GRANTS				8,203,570		8,203,570.00	6,800,854	
TOTAL OPERATING/GRANTS				8,435,017		8,412,265.64	7,105,797	

Add:

10

Investment Mgmt

**Robina Foundation
Budget Notes
01/01/11 – 12/31/11**

Operating Expenses

Administration – Consultants

Penny Hunt – annual contract: \$90,000.

Baker Management (contract employer for Nancy Gilberg) - \$2,520/mo x 12 months.

External Consultants - \$25,000 for investment planning, grant due diligence, retreat facilitation, issue research, etc.

Accounting/Audit Fees

\$15,000: CBIZ Accounting. Actual for 2010 was \$7,490 because CBIZ neglected to send us two invoices totaling \$3,480. These will be paid in 2011.

Directors Fees

\$50,000: \$10,000 annual fee for directors serving full year.

Insurance

Directors and Officers: Annual premium of \$4,800; possible increase with additional board members and officers.

Property: \$506; Basic policy to cover office equipment/furnishings.

Meeting Expense (Board and Staff)

\$30,000: Includes travel, accommodations and meals for board meetings/retreats, grantee visits, staff meetings with advisors/outside consultants. Increase due to additional meetings with Robina Grantees.

Membership Dues

\$695: Association of Small Foundations' annual membership dues.

Miscellaneous

\$1,000: Certificate of Incorporation annual fee (\$25), holiday gifts, etc.

Office Expense

Equipment and Furnishings: \$500.

Misc: \$2,000; Computer and technology consulting/maintenance/repair.

Supplies: \$600.

Parking and Mileage

\$2,500: Staff parking.

Rent

\$11,372: \$946.71/monthly lease.

Taxes

Excise Tax: \$30,000; estimated at 2%; will be reviewed/revised by tax accountant during the year based on actual new contributions to the foundation and anticipated investment income.

Telephone/Internet

\$2,700: Approximately \$221/monthly.

Grants

\$6,800,854: Grant payments scheduled for 2011. Additional grants may be made if approved by the Board.

From: "Ledwein, Anne" <aledwein@CBIZ.com>
Subject: **RE: Revised 2011 Fees**
Date: February 8, 2011 11:32:51 AM CST
To: <ngilberg@robinafoundation.org>
Cc: "Penny Hunt" <pennhunt@gmail.com>, <tcrosby@tcrosbylaw.com>

Nancy,

In determining the excise tax I assumed investment income of \$1,100,000 and investment fees of about \$100,000. Net amount is \$1,000,000. 2% is then \$20,000.

The \$1,100,000 of income based on the estimated annual income reported on the December US Bank Statement. That statement reported only \$648,000; however it was using only \$21,000,000 of assets (the TIFF assets of \$10,000,000 were transferred in after that date). I used a 4% income amount on the \$10,000,000 that was transferred. The 4% is the amount of estimated earnings on the bonds held at US Bank.

Investment fees paid to US Bank for 2010 were about \$85,000. It is my understanding that there may be an additional \$10,000 special consulting fee

With the addition of another \$12,000,000, I would assume an additional \$500,000 of income (again about 4%)

As a result, the net investment income is projected to be closer to \$1,500,000.

The 2011 projected excise tax would then be \$30,000 (2% of \$1,500,000).

The excess distributions (or "carryover") does not effect the determination of the excise tax rate.

When determining the excise tax rate, only distributions actually paid out during the year are used.

In order to qualify for the reduced rate, a foundation must distribute a larger percentage of the assets in the current year then it has – on average – over the last 5 years.

As you recall, foundations must distribute about 5% of its assets each year. To the extent they distribute more than the required amount, the excess is carried over. If they don't distribute enough, they can use the cumulative carryover from the last 5 years to satisfy the current year requirement.

The satisfaction of the required distributions and the determination of the excise tax rate are completely independent.

The carryover still exists. As of the end of 2009, the excess distributions total approximately \$14,500,000

As far as the fees go, It is anticipated that they will be less than in 2010. During 2010, there was spent consulting that I don't anticipate in 2011. That time included discussions with Penny in her new role as well as the manner in which the financial information is prepared by us and presented.

Let me know if you need additional information or clarification.

Anne Ledwein

Managing Director, CBIZ MHM

&

Shareholder, Mayer Hoffman McCann P.C., An Independent CPA Firm

222 S. 9th Street, Suite 1000

Minneapolis, MN 55402

Phone: (612) 376-1265

Direct Fax: (612) 677-7025

aledwein@cbiz.com

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From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]

Sent: Tuesday, February 08, 2011 9:47 AM

To: Ledwein, Anne

Cc: 'Penny Hunt'; 'Thomas Crosby'

Subject: FW: Revised 2011 Fees

Anne,

See Tom's response below. We would appreciate your "quick and easy" response to clarify!!

Also, could you please show us the way you came up with the \$20,000 for the Excise Tax.

Thanks,

Nancy

From: Thomas Crosby [mailto:tcrosby@tcrosbylaw.com]

Sent: Tuesday, February 08, 2011 9:24 AM

To: ngilberg@robinafoundation.org

Cc: 'Penny Hunt'

Subject: RE: Revised 2011 Fees

I am surprised that we have used our carry forward from the early years in which the Hennepin County Land was donated – and given out \$8 million +/- for several years which is more than 5%.

I just learned yesterday that we will be receiving another \$12 million from J P. Morgan soon reflecting the IRS refund.

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]

Sent: Tuesday, February 08, 2011 7:46 AM

To: 'Thomas Crosby'

Cc: 'Penny Hunt'

Subject: FW: Revised 2011 Fees

Tom – I thought you would want to see this before the Meeting in DC. We would have to distribute approximately \$8M, I believe, to qualify for the 1% tax rate and that's before we receive the funds from the Binger Estate. Nancy

From: Ledwein, Anne [mailto:aledwein@CBIZ.com]
Sent: Monday, February 07, 2011 5:08 PM
To: ngilberg@robinafoundation.org; Penny Hunt
Subject: RE: Revised 2011 Fees

Penny and Nancy,

Based on my conversations with both of you, I estimated the following amounts for 2011:

Excise tax – \$20,000

Accounting - \$7,000

The projected excise tax based on using the 2% tax rate because budgeted distributions will not be sufficient to qualify for the 1% rate.

It assumes that all of the assets are invested with US Bank (TIFF Mutual funds were liquidated) and there will be no capital gains. It does not factor in the potential for additional assets (and the income earned on them) to be received from the Binger estate. Those assets may total over \$90,000,000 (which includes the IRS refund). If and when those assets are received, we can adjust the estimated amount of 2011 excise taxes.

The accounting and tax prep fees include the preparation of annual returns (Form 990, Forms 1099, and MN Annual Registration), planning, and bookkeeping services.

Let me know if you need additional information.

Anne Ledwein

Managing Director, CBIZ MHM

&

Shareholder, Mayer Hoffman McCann P.C., An Independent CPA Firm

222 S. 9th Street, Suite 1000

Minneapolis, MN 55402

Phone: (612) 376-1265

Direct Fax: (612) 677-7025

aledwein@cbiz.com

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From: Ledwein, Anne
Sent: Tuesday, February 01, 2011 6:10 PM
To: ngilberg@robinafoundation.org
Subject: RE: 2011 Fees

Nancy,

First of all, I can estimate the amount of net investment income to be about \$850,000. This does not include any capital gains (in 2010 there were net losses).

Depending on the level of distributions, the foundation will qualify for either a 1% or a 2% excise tax rate.

Based on prior conversations I am assuming that the distributions will be sufficient for the foundation to qualify for the reduced 1% rate. This will result in an excise tax of about \$8,500.

It is anticipated that the foundation will need to distribute at least \$8,000,000 for charitable purposes to qualify for the reduced rate.

Also, with regards to the fees for 2011. I would anticipate the fees to be similar to 2010. That being said I am a bit confused about the fees that you have reported of being paid of \$7,490.

Our records show that you did pay \$7,490 during 2010; however, there are a couple of outstanding invoices.

One for \$3,155 dated 8/19/2010 and one for \$325 dated 9/20/2010.

This past fall I had some issues with invoices not being received by clients and I am wondering if that was the case with Robina Foundation.

I am attaching the copies of the 2 invoices.

I apologize for any of the confusion. Let's talk in morning.

Anne Ledwein

Managing Director, CBIZ MHM

&

Shareholder, Mayer Hoffman McCann P.C., An Independent CPA Firm

222 S. 9th Street, Suite 1000

Minneapolis, MN 55402

Phone: (612) 376-1265

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aledwein@cbiz.com

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From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]

Sent: Thursday, January 27, 2011 4:30 PM

To: Ledwein, Anne

Cc: Swanstrom, Lisa; 'Penny Hunt'

Subject: 2011 Fees

Anne,

Last year we paid a total to CBIZ of \$7,490 – do we assume that will be the fee for 2011?

Nancy

Nancy Gilberg

Administrative Consultant

Robina Foundation

4900 IDS Center

Robina Foundation
Calculation of 1% Excise Tax Rate
2011

	Qualifying Distributions	Noncharitable-Use Assets	Distribution Ratio
2010 * estimate	\$ 8,400,000.00	\$ 40,000,000.00	0.210000000000
2009	\$ 7,850,412.00	\$ 43,402,484.00	0.180874716756
2008	\$ 6,978,507.00	\$ 32,030,611.00	0.217869930736
2007	\$ 4,504,764.00	\$ 17,155,533.00	0.262583739019
2006	\$ 296,594.00	\$ 9,766,827.00	0.030367487824
Total			<u>90.1695874334399%</u>
Average Distribution Ratio			<u><u>0.180339175</u></u>
Noncharitable-use assets for 2011 (Estimate)			\$ 40,000,000.00
Distributions required to qualify for the 1% rate (average Distribution ratio X Noncharitable-use Assets)			<u>\$ 7,213,566.99</u>

budgeted distributions

DRAFT

Approved

ROBINA FOUNDATION

FRAMEWORK

MISSION: The Robina Foundation seeks to have a positive impact on critical social issues primarily by encouraging innovation and financially supporting transformative projects of its four institutional partners selected by the Foundation's founder, James H. Binger: Abbott Northwestern Hospital, Minneapolis, MN; The Council on Foreign Relations, New York, NY; University of Minnesota Law School, Minneapolis, MN; and Yale University, New Haven, CT.

GOALS:

- Foster the development of new ideas and models that have the potential to transform significantly or improve both the selected institutions and the larger society in which we live.
- Support innovative, forward-thinking, and practical projects designed to have a significant and long-term positive impact on the institutions and on society.
- Spend the Foundation's assets wisely to achieve the best possible impact.

TIME HORIZON: Robina Foundation is a foundation of limited duration with a time horizon ending not later than December 31, 2025. Earlier termination may result if the Foundation identifies programs that merit larger grants during a shorter period of time to achieve maximum impact.

FOUNDATION ASSETS AND GRANTS BUDGET: The Foundation anticipates that its total assets will equal approximately \$125 million. While the Foundation's annual grants budget will depend on the size of grant proposals approved, equal expenditures during a 15 year term of the Foundation might result in annual expenditures of approximately \$11 million.

GRANT PROGRAM

2005 - 2006: PLANNING GRANTS

In 2005 and 2006 each of the four institutions identified by James Binger for Foundation funding ("Robina Grantees") received planning grants to assist in the development of proposals for multi-year funding. The University of Minnesota also received funding to support faculty retention and other initiatives at the time of the arrival of the new law school dean.

2008 - 2012: MULTI-YEAR GRANTS

In 2008 the Robina Foundation awarded multi-year grants to each of the Robina Grantees. The grants are approximately equal (~\$6 million to each institution), with Yale's \$6 million grant divided between Yale School of Drama and Yale Law

School. In 2010 the Robina Board of Directors agreed to provide an additional year of support at the base level to Yale Law School and Yale School of Drama, the University of Minnesota Law School and the Council on Foreign Relations. During this grant period, the Robina Foundation signaled an interest in human rights and funded several human rights programs at Robina Grantees.

2012 and Beyond

MULTI-YEAR GRANTS

Beginning in 2012, the Robina Foundation will provide new multi-year grants to Robina Grantees. In order to fulfill the Foundation's Mission and further the Foundation's Goals, the Board of Directors looks for opportunities where Robina Foundation funding can have a positive impact on Robina Grantees and the broader society. The following General Criteria will guide the Board of Directors' consideration of grant proposals:

"Transformative" Projects: The Robina Foundation seeks to fund "transformative projects" that improve both the Robina Grantees and the larger society in which we live, such as:

- Projects that redesign or change the operation of an institution or a program or have the potential to develop new models for the operation of an institution or a program
- Projects that enhance or expand an institution, a program or part of a program in ways that benefit the institution and increase the impact on society
- Projects that approach a problem, an issue or an area in a new way, perhaps building on experience in other areas
- Unique strategies that build on the strengths of an organization while challenging the status quo

Requirements:

- Proposals must be in alignment with an institution's long-range priorities and long-range plans.
- Institutions must be able to articulate realistic goals and clear, realizable benchmarks to be met during the course of the grant.
- Proposals must describe how the institution intends to define and assess success in the short term and the long term. Grants may include funds for a formal evaluation to measure success of the program or project.
- Proposals should describe how the program will be sustained following the term of the Robina Foundation grant.

Outside Funders?

Grant Size and Duration:

- The Foundation is especially interested in major projects and initiatives.
- Grants will be awarded competitively based on merit and alignment with Robina Foundation's mission and priorities.
- Grants will vary in size and duration, depending on the nature and size of the program.
- Depending on proposals accepted for funding by the Robina Foundation, each Robina Grantee may not receive grants of the same size in a given year or over the course of the Foundation's Grant Program.

Restrictions: The Foundation does not wish to provide:

- General operating support
- Grants for capital projects or endowments

DISCRETIONARY FUND

Beginning in 2012, the Robina Foundation will set aside a "discretionary fund" for grants in addition to the Foundation's Multi-Year Grants. Through the implementation of the Discretionary Fund, the Foundation will support its mission by funding unique, transformative, unforeseen opportunities that may arise from time to time within or without the Robina Grantees.

Board Meeting – 2/23/11

ROBINA FOUNDATION

2011 WORKPLAN

Key Activities

- Finalize guidelines for new Multi-Year Grants and Discretionary Fund
- Conduct information-gathering sessions with all Robina Grantees
- Implement process to develop and fund new Multi-Year Grants
- Develop and begin implementation of sunset investment strategy

January

Information-gathering sessions with Yale and the University of Minnesota

Purpose:

- Learn more about the strategies, priorities and plans of the institutions through an intense information-gathering session;
- Identify key opportunities to support people or programs with “wind at their back” that could benefit from a multi-year grant from the Robina Foundation;
- Explore options that could be a good fit for the Foundation.

Attendees:

- Robina: Lead Director, Executive Director, other available Directors, as appropriate
- Robina Grantee: Senior Leadership; leaders of programs that have potential for Robina funding; others as selected by Senior Leadership.

February

Information-gathering session with CFR

Board Meeting:

- Approve Sunset Investment Management strategy
- Finalize Guidelines for Multi-Year Grants and Discretionary Fund
- Discuss multi-year grant opportunities identified to date
- Agree on a preliminary commitment to the University of Minnesota Law School, if possible
- Agree on Workplan for 2011

Following Board Meeting: Provide Robina Grantees with

- Final Guidelines, including updated information on Themes, Human Rights, Endowment Funding, Multiple Grants, etc. as determined at Board Meeting;
- Feedback on multi-year grant opportunities identified to date
- Timetable and process for 2011

March - April

- **Information-gathering session with ANWH/Allina** (April 4)
- Follow-up with ANWH/Allina after information-gathering session and primary care retreat (scheduled for April 20-21)
- Continue discussions with Yale, the University of Minnesota Law School and CFR regarding Multi-Year Grants; "green light" development of full proposals, as appropriate

May

Board Meeting

- Yale Law School annual report: take action on payment of Extension Grant to Yale Law School;
- Quarterly reports from Robina Grantees
- Review preliminary budget for new Multi-Year Grants and Discretionary Fund

June - July

- Continue work with Robina Grantees
- Engage outside readers, as appropriate

August

Board Meeting

- Yale School of Drama, University of Minnesota Law School, CFR, ANWH annual reports: take action on payment of Extension Grants for YSD, U of M, and CFR
- Take action on Robina Grantees' proposals for new Multi-Year Grants
- Finalize tentative grant budget for 2012 and beyond

September - October

- Follow up / continue work with Robina Grantees
- Engage outside readers, as appropriate

November

Board Meeting

- Take action on additional grant proposals



Yale University

OFFICE OF DEVELOPMENT

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New Haven, Connecticut 06510-2100

Telephone: 203 432-5461
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inge.reichenbach@yale.edu

INGE T. REICHENBACH
Vice President for Development

February 18, 2011

Ms. Penny Hunt
Executive Director
The Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Penny,

I am delighted to send to you an outline of Yale's plan for transforming undergraduate science teaching for consideration by the board of the Robina Foundation. This concept paper is the result of the work of a highly-committed faculty team, comprised of 15 professors, already among the best teachers at Yale, who bring their experience and expertise to the design of what we are calling the "Yale Model." President Levin and Provost Salovey are resolved to make Yale a top research university in the sciences where the quality of undergraduate science teaching rivals the quality of the science itself. We are deeply grateful for the Robina Foundation's interest in this important issue and the opportunity to present this plan to you.

The concept paper establishes, in principal, ~~our foundational approach~~. Not all of the program specifics are yet fully articulated. For example, the budget still requires significant work but we wanted to first focus on identifying the programmatic components of the plan that will need financial support.

We envision a ~~ten-year commitment with a comprehensive review and assessment in year five~~. The five-year point is a good juncture at which to evaluate and assess comprehensively our accomplishments. We will be able to follow one class for all of its four years through graduation, providing us with substantial and reliable data on which to evaluate the program and make adjustments as required.

A ~~ten-year framework~~ would permit us to establish the program fully, and collect data for assessment. We were mindful of the Foundation's decision not to provide support for endowment or capital projects and have not included

any such request in the budget. The ten-year timeframe will allow us to fundraise for those endowment and facilities needs that will help make the program sustainable after funding from the Robina Foundation comes to an end.

We await both your guidance on how to develop the proposal further and a positive decision by the Board to allow us to move forward with the Yale Model. We greatly appreciate your patience and flexibility with the timing of our submission. My faculty colleagues and I stand ready to answer any questions you may have, or to speak further to the particulars of Yale's plan for undergraduate science teaching and its transformative potential.

On behalf of the 15 faculty members involved in the development of the foundational concept, I want to thank you and the Board of the Robina Foundation for allowing us to advance this important project to you.

With my best regards,

A handwritten signature in dark ink, appearing to read 'Inge' followed by a stylized surname.

Inge T. Reichenbach

TRANSFORMING UNDERGRADUATE SCIENCE TEACHING
AT YALE AND BEYOND

PREPARED FOR THE
ROBINA FOUNDATION

FEBRUARY 2011



YALE UNIVERSITY

Transforming Undergraduate Science Teaching at Yale and Beyond

"There are those who say we cannot afford to invest in science, that support for research is somehow a luxury at moments defined by necessities. I fundamentally disagree. Science is more essential for our prosperity, our security, our health, our environment, and our quality of life than it has ever been before. . . . And so today I want to challenge you to use your love and knowledge of science to spark the same sense of wonder and excitement in a new generation. . . . We can't start soon enough."

President Barack Obama, National Academy of Sciences, 2009

"We are looking extensively at our own science and engineering curriculum here at Yale and the quality of teaching. How can we improve the gateway experience for scientists and engineers at Yale - so that their first years are years that get them excited about continuing in those fields. From the point of view of a contribution to America's future, we should be educating more, have more persistence in the sciences and engineering. I think that President Obama's agenda and Yale's, not surprisingly, are very much aligned."

Richard C. Levin, Yale Town Hall Meeting, 2011

Vision for Change

Yale's vision for transforming undergraduate science teaching will meet the challenge in two inseparable ways: **re-conceiving class design and pedagogy**. We aim to create a robust pipeline of scientists and scientifically literate graduates by **reconfiguring the gateway**, the introductory curricula through which students become interested in science, and by providing cohorts of teachers with new skills in scientific pedagogy. Yale is convinced of the potential of this transformation for its own students and for students from educational institutions throughout the country. Success will be measured by the increasing numbers of students drawn by the gateway to major in science, by the growth in the numbers of eminent scientists and technologists ready to tackle the world's most pressing problems, and by the next generation of leaders, well versed in the lexicon and rigors of scientific study.

The Opportunity

As a leader in education and science, Yale aims to be at the forefront, driving the national conversation about the **reform in science education**. Science education is at the center of concerns of many leaders in the United States. The National Academy of Sciences has issued a series of reports in the past decade calling for reform of science education to attract more U.S. students to science careers and increase science literacy of all citizens. Major funders are taking an increased interest in addressing the problem. The Howard Hughes Medical Institute has invested heavily in efforts to engage students in learning science in the classroom and the research lab. President Obama recently commissioned a committee to advise him on the key steps he should take to improve science learning in K-12 and college education.

An opportune confluence of important factors positions Yale to take a leadership role in this transformational effort. We currently have in place a faculty team that is deeply committed to bringing about this change and a Yale culture that already excels in a strong tradition of undergraduate teaching. Yale leaders are also positioned nationally to advance the course of science education. President Levin is a member of President Obama's Council of Advisors on Science and Technology (PCAST). Professor Jo Handelsman is the co-chair of the Sub-Committee on Science Learning in Higher Education of PCAST. Professor Handelsman is also the Director of the Center for Scientific Teaching, soon to be located at Yale, a ground-breaking organization dedicated to revolutionizing how undergraduate science is taught in research universities. The Howard Hughes Medical Institute has awarded Yale University significant support for science education, including funding an innovative course designed by Professor Scott Strobel. And we have a critical mass of senior faculty leaders intent on making major contributions to this effort.

The Yale Model for Transforming Undergraduate Science Teaching

Plans for transforming undergraduate science education at Yale are multi-dimensional and include designing novel approaches to the basic building blocks of the curriculum such as the lecture and the lab, providing the opportunity for fieldwork and research early in a student's undergraduate career, enriching the experience of science by fostering intellectual ownership, and teaching the current and future generations of teachers in an entirely new pedagogy for science. Embedded within the rationale for what we will call the Yale Model is that learning and teaching are two sides of the same coin, and both must be addressed simultaneously.

Taken as a comprehensive program, these approaches will be developed and combined in ways that are at the cutting edge of what we know about science education and how to succeed at it. We hope that the Yale Model, in its multiple parts, will also serve as a template for the national efforts we mentioned to improve undergraduate science education. In doing so, we are convinced that The Yale Model will accomplish two main objectives: increase the number of college graduates who choose to pursue advanced science degrees and careers; and ensure greater success in the nation's efforts to educate a scientifically literate populace.

The Yale Model will accomplish these improvements in

Learning by

- ❖ Expanding inquiry based and other active learning methods
- ❖ Emphasizing the total scientific experience including meaningful field and lab work early in undergraduate science education
- ❖ Making science truly compelling through stellar lecture courses that narrate and explain what science is and engage students actively in further exploration

Teaching by

- ❖ Committing to training a cohort of "next generation" science teachers among graduate students and postdoctoral fellows

- ❖ Committing to extending new pedagogical methods and techniques to instructors at all levels, including senior faculty, by offering training and incentives for the adoption of new course paradigms

I. Re-conceptualizing the Science Gateway

Training scientists involves educating them in the basics of their discipline, often supported by the lecture format; introducing them to the essentials of the laboratory and the instruments and techniques they will employ; and depending on the discipline, training can also involve fieldwork, or data gathering and observation in real time. In turn, scientific training includes taking ownership of a novel research topic or problem and working with it over time. However, undergraduate science education is usually limited in its exposure to the elements of science training, often beginning and ending with large lectures and labs. Rarely do undergraduates get the opportunity to engage fully in the tradecraft of science. Additionally, the manner in which undergraduates are taught is often influenced by the need to maximize a relatively narrow range of possibilities. As well, the teachers involved are not themselves necessarily trained in pedagogy or in the assessment techniques that would allow them to measure success or learning outcomes.

The Yale Model seeks to transform undergraduate science education by broadening substantially a student's introductory experience with science, ensuring that the basic building blocks of the undergraduate science curriculum are best suited to a broader array of educational opportunities, improving the pedagogical skills and techniques of science teachers, and instilling in undergraduate students the challenges and rewards of independent thinking and research as fundamental to the development of a scientist: claiming a problem as their own and pursuing it through the various stages of investigation. Following are the principal approaches we seek to follow.

Expanding inquiry-based learning

Curiosity about the natural world is part of being human. Science is about curiosity. But science education too often evolves into collections of facts to be memorized without context. The central goal of the Yale Model is to bring inquiry and discovery to introductory courses so that students understand the process – and therefore the excitement – of science. In other fields, it is unthinkable to teach about the subject without engaging in the subject firsthand – we would not expect students who had never read literature to be in a lecture on Dickens – but scientists often assume that the material is intrinsically interesting without the driver of participation in original research. Consequently, many creative students are lost from science who might have been fabulous researchers, but are discouraged by the tedium of memorization and lack of apparent relevance.

Inquiry based learning requires students to play an active role in the science coursework, engaging them by providing the opportunity to produce original work and ideas over which they exert intellectual control. This type of learning proves effective in attracting and retaining students in the sciences. Yale has a unique example of such a course, the Rainforest Expedition

and Laboratory, designed by Professor Scott Strobel which will be described below. While there is no prescribed recipe for what makes such a course successful, there are a few components that inspire and encourage students which we believe are widely applicable and adaptable throughout the sciences. Professor Strobel's course is also instructive in that it recapitulates three major elements of science education: the lecture, the field expedition, and the lab. The course employs all three elements in its aim to foster the idea of intellectual ownership and persistence as innovative but solid principles of a revised approach to science education.

The Model Course: The Rainforest Expedition and Laboratory (REAL) – Professor Scott Strobel

The REAL course is founded on the principle that one of the best ways to inspire a student's interest in the possibilities of scientific investigation is to have the student develop an original project over which he/she has intellectual ownership. The central premise of REAL is that the discovery of biological diversity is an accessible and highly engaging paradigm for novice scientists to make original observations about the natural world. This program is focused on collecting and identifying endophytes from plants from a tropical rainforest in Ecuador. Endophytes are microorganisms that live within healthy plants. Estimates suggest there are more than one million endophytic fungi, only a small fraction of which have been characterized. Students thus have an opportunity to identify not only new species of organisms, but even entirely new genera. These organisms have a demonstrated but under-explored potential to make a trove of novel products that await discovery and utilization. In addition, all regions of the earth, from deserts to rainforests, harbor distinct and exceptional endophyte diversity, making the project accessible to a wide variety of educational programs.

The Lecture

REAL begins with a spring semester course that prepares students for the field work and subsequent laboratory research. Topics include information about the history of the field sites. There is also a significant segment of material devoted to botany, ecology, microbiology, plant and microbe taxonomy, chemical characterization of natural products, molecular and structural analysis and commercial product development. Students come up with a plant-related research question based on their scientific interests and develop a research plan to address that question. They are also required to find a Yale professor who can suggest assays to screen for compounds related to their research.

Students "own" scientific inquiry

The Field Experience/Expedition

In March, Professor Strobel leads sixteen undergraduate students on a two-week expedition to the upper Amazonian forests of Ecuador. Plant samples are collected by the students based upon a theme they select during the lecture course. Examples of collecting themes selected in previous years include plants used as fish poisons, as snake bite treatments, as treatments for wounds or abrasions, as hallucinogens, and to ease complications related to childbirth. Each student will collect, document, catalog and prepare voucher specimens for 25-30 plant samples for analysis upon return to campus.

- Any new Government taxes, levies, fuel or industry increases which are beyond our control;
- Visa fees where relevant. If a visa payment is required, then this must be made in US Dollars cash. Change is often not provided and so the exact amounts payable are required. Traveller's cheques and credit cards are not accepted for this purpose.
- International flights
- Airport departure taxes applicable from manned airports only, which is to be paid in US\$ cash on departure unless included in your ticket cost;
- Zambian International airport departure tax of US\$25 per person & Zimbabwean International departure tax of US\$35 per person and US\$8 Domestic departure tax per person in Zambia and US\$10 domestic departure tax per person in Zimbabwe (applicable at manned airports only), to be paid in US\$ cash on departure;
- New Zambian Security tax of US\$5 per person for international departures and US\$3 per person for domestic is being introduced in January 2011, which are payable on departure.
- Any items of a personal nature.

MALAWI :

Excludes: drinks throughout, extra meals, motorised watersports at Mumbo, international flights, airport taxes, visas, items of personal nature

The Laboratory

Following the close of the spring semester, students remain on campus to participate in an 11-week full-time laboratory research experience at Yale throughout the summer. The lab begins in mid-May and continues until the last week in July. The University has dedicated space and a significant amount of equipment for this effort.

During the summer lab, the students use their samples to culture new microorganisms. They become the experts on the new organism they culture and isolate, and ultimately characterize and name. They screen these microbes for molecules that could have beneficial applications for human health or sustaining healthy ecosystems. Since 2006, nearly 80 students from Yale have participated in the program. They have collected more than 2,000 plant samples and isolated over 5,000 endophytes. They have isolated hundreds of organisms that could be classified as new species and, on average they have discovered one new genus per student per year. This represents an opportunity for novice scientists to analyze new branches of the tree of life.

Because it is unlikely that their research can be completed during the summer, students have the option of continuing their work over subsequent semesters in Yale laboratories. In the first four years of the program (total of 63 students), of the 58 non-seniors who could continue their research projects, 54 elected to do so. Research from the REAL program has resulted in eight publications, including a joint paper with 15 undergraduate coauthors that showed that the organisms isolated by these students are among the most diverse fungi that have ever been characterized.

What if we
students?

Faculty Partners

The program provides students with the opportunity to express and develop their own scientific interests. Each student identifies a faculty member with a biological assay against which the endophyte extract library produced during the summer can be screened. Students meet with their faculty member, prepare a written report and make an oral presentation to the class about their bioassay. This is not just an academic exercise. The unique extract collection generated from all endophyte isolates is used in each of these bioassays in collaboration with faculty across the campus. In this way the course engages scientific experts with a broad diversity of interests and it provides the students with a faculty collaborator with whom their research can continue in subsequent semesters, but with an important difference. Unlike the typical situation where a student knocks on a professor's door hoping to be assigned a project, these students approach the faculty with a unique resource that could significantly advance their research program. Through this process we have initiated collaborations with faculty in departments throughout the University and at other research institutions.

Measures of Success – Impacts on Students

For the past three years we have implemented this educational experiment and tested the impact of inquiry-based undergraduate research experiences that bridge traditional scientific boundaries and are tailored for individual project ownership. The program has been highly

TRIP COSTS –OPTION #1

PLEASE NOTE: Your total trip cost is the combination of two different currencies - South African Rand and U.S. Dollars. Because the exchange rate fluctuates on a daily basis, Travel Beyond does not convert the Rand portion of your trip into U.S. dollars until the day you make a trip payment (deposit and final payment). When converting the Rand portion of your trip into US Dollars, Travel Beyond uses the exchange rate of that day. For example, the exchange rate today (Jan. 14, 2011) is 6.8643 ZAR / 1 USD.

South African Rand Costs for Land Services:	
Per person rate	ZAR 2,300 per person
US Dollar Costs for Land Services:	
Per person rate	USD 6,963 per person
TOTAL LAND SERVICES TRIP COST (per person) (using today's exchange rate of 6.8643 ZAR/1USD to convert the South African Rand to US Dollars - actual cost of trip will be calculated on the day payment is made) *Commercial flight costs not included in this cost	USD 7,298 per person

GENERAL INCLUSIONS:

ZIMBABWE:

All accommodation on a shared basis;

- Meals as specified;
- Excursions and transfers as included in the quote;
- Most safari camps and lodges include two game activities a day in their tariff (one in the morning and the other in the afternoon). A private vehicle and guide can be booked, at an additional cost, for extra activities (or special interest activities). Please advise if you would like additional information on this service;
- Services of the lodge guides and staff;
- Relevant park fees as specified in quote;
- Drinks as specified – drink inclusions may differ between camps/lodges;
- Laundry can be done at most camps/lodges and hotels. In some cases this is included in the tariff quoted.
- Air transfers as specified;
- Accommodation taxes, the applicable Tourism Levies and all relevant Value Added Tax (VAT) or Government Sales Tax (GST).

MALAWI :

Includes: all accommodation and transfers as specified, all road, boat and light aircraft transfers as specified, non motorised watersports at Mumbo, park fees and safari activities at Mvuu

GENERAL EXCLUSIONS:

ZIMBABWE:

- Meals not specified in the quote such as lunch and dinner in city hotels;
- Drinks, entrance fees, portorage, tours/excursions and transfers not specified in the quote;
- Any scheduled flights and related taxes;
- Cancellation, baggage and medical insurance;
- Staff gratuities;

successful by every metric we have monitored. Additionally, data collected by REAL students provided preliminary data for six grant applications involving faculty collaborators. Upon graduation, 50% of the students who participated in REAL pursued Ph.D. or M.D./Ph.D. degrees, a rate that is five times higher than the typical rate of Ph.D. matriculation among graduating Yale science students. Our goal is to continue this level of success at Yale University as well as to adapt the principles of inquiry-based learning to develop new platforms throughout the science disciplines at Yale. Beyond Yale, we plan to disseminate the primary features of the program to other institutions (see Section V, below).

Adapting the rainforest course model to other areas

Yale's model anticipates the long term continuation of Professor Strobel's REAL course using both the small scale international model and incorporating a new, larger course based on domestic collection opportunities. Beyond that, Yale believes that the model provided by the rainforest course can be widely adapted to other areas of science. Not every adaptation must comply strictly with the components of Professor Strobel's course, but each program empowers the students to "own" their scientific inquiry. The following are a few examples of adapting the concept to the life sciences, physical sciences, and beyond and the academic leadership who would lead the development of each course.

Biological and Chemical Diversity, Professors Jo Handelsman and Scott Miller

Biodiversity affords endless possibilities for the collection and study of organisms. Professor Handelsman (Molecular, Cellular and Developmental Biology) and Miller (Chair of Chemistry) will serve as co-instructors of a two-semester long course which will combine descriptive biological analysis with analytical chemical techniques.

The first semester will be devoted to biology and will entail a laboratory component in which the students will learn isolation of microorganisms from natural samples, basic microbial taxonomy and phylogeny including DNA sequence analysis, approaches to screening for potential drug activities, and characterization of active isolates. Laboratory experiments will be complemented and informed by 2 lectures per week on the fundamental science that is needed for them to pursue their projects. They will bring creativity to the research in the choice of samples to study, design of the screen for activity, and the choice of which active isolates to pursue.

In the second semester of the course, devoted to chemistry, the students will focus on isolating and identifying the molecules responsible for the activities of interest. They will learn physical isolation techniques, spectrometry methods for characterization, and structural analysis. The lecture portion of the course will introduce the fundamental chemistry needed to pursue the research.

Microbial Evolution-In-Action, Professor Paul Turner

In addition to the study of endophytes, inquiry-based learning methods will also be extended to the study of many classes of ubiquitous and easily accessible microbes. An ideal

**SCHEDULE J
(Form 990)**

Department of the Treasury
Internal Revenue Service

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

2009

Open to Public Inspection

Name of the organization

MACPHAIL CENTER FOR MUSIC

Employer identification number
41-1729340

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.

- | | |
|--|--|
| ☐ First-class or charter travel | ☐ Housing allowance or residence for personal use |
| ☐ Travel for companions | ☐ Payments for business use of personal residence |
| ☐ Tax indemnification and gross-up payments | ☐ Health or social club dues or initiation fees |
| ☐ Discretionary spending account | ☐ 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 organization uses to establish the compensation of the organization's CEO/Executive Director. Check all that apply.

- | | |
|---|---|
| ☒ Compensation committee | ☒ Written employment contract |
| ☐ Independent compensation consultant | ☒ Compensation survey or study |
| ☒ Form 990 of other organizations | ☒ 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:

- a** Receive a severance payment or change-of-control payment? **4a**
- b** Participate in, or receive payment from, a supplemental nonqualified retirement plan? **4b**
- c** Participate in, or receive payment from, an equity-based compensation arrangement? **4c**
- 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:

- a** The organization? **5a**
- b** Any related organization? **5b**
- 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:

- a** The organization? **6a**
- b** Any related organization? **6b**
- 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 Regs. 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)? **9**

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

Schedule J (Form 990) 2009

system in which to examine evolutionary dynamics in real time, microbes such as bacteriophages (viruses that infect bacteria), allow students to study hundreds of generations of evolution over the course of a single semester. Their extremely small genome size also permits students to examine evolution in novel environments, and to fully sequence the evolved strains to identify molecular changes across the entire genome. Although scientists currently know very little about the vast diversity of microbial life on the planet, studies of bacteriophages isolated from natural local environments, such as Long Island Sound and the Yale Forest, will provide students with unparalleled opportunities to contribute to efforts at cataloging Earth's biodiversity and to observe how these newly discovered microbes evolve in the face of environmental change.

Leveraging Fieldwork, Professor Richard Prum

In addition to enhancing the laboratory experience, fieldwork for undergraduates will also be enriched by including classes that focus on teaching observational skills. Field biology provides an additional dimension to the breadth of such scientific training through direct experiences of observation of biodiversity. Field research requires students to employ their senses and extract information about biodiversity from the environment in a scientific context. The experience of field-based scientific inquiry is distinct from the abstract sterility of a PowerPoint lecture, the controlled environment of the laboratory, or even the most dynamic seminar discussion.

Going into the field with professor-mentors who are experts in specific groups of organisms or ecosystems can be a truly transformative experience for young scientists. The physical context of field science has unique appeal to students with a variety of personal learning styles. Most of all, they learn that inspiration and inquiry are activities, and that biodiversity provides an inexhaustible focus for these activities.

Professor Richard Prum has experience leading field biology courses at Yale. He has taken undergraduate students to Ecuador during Spring Break to observe avian diversity in multiple life zones from the heights of the Andes to the lowland Amazonian rainforest. These groups observed 450 to 490 species of birds, and experienced firsthand the tremendous ecological diversity and geographic complexity for all this biodiversity. Unfortunately, this course was eliminated during the economic downturn. Yale would like to reestablish this course or replicate it in some other venue, perhaps capitalizing on bird populations in the United States, for example.

Inquiry-based learning principles and techniques will be extended to other science courses, including those with and without laboratory sections, customizing them accordingly. As an example, the following is a description of a course from the School of Engineering and Applied Science where students again "own" their work:

Appropriate Technology for Developing Countries, Professor John Morrell

The developing world presents unique problems for solving seemingly intractable issues. Designing technical solutions to providing clean water, improved cook stoves or new agricultural

*Prepared by Matt Bracken and Kelly Ritter
for The Bracken Party of 9*



Kumbali Country Lodge is a private lodge, situated on a 650Ha forest reserve & dairy farm in Malawi, southern Africa, only 10 minutes from the capital city, Lilongwe, along a quiet traffic-free road. Stylish, relaxed and informal, it is the ideal home for the professional traveler. The 16 individual thatched suites offer comfortable and spacious accommodation which are cool in the hot season and retain warmth during the cold months of June and July. All rooms have their own entrance, en-suite bathroom and private verandah with seating.

September 23, Friday

Kumbali Lodge to Chembe Village and Mumbo Island

We'll wake up this morning and have breakfast at the Lodge before departing for Chembe Village via Dedza for a look at their pottery (and coffee and cheesecake for those who are interested!). We arrive in Chembe Village (aka Cape Maclear) in time for lunch at a local restaurant/lodge and catch the afternoon boat to Mumbo Island. For those who are feeling strong, the option to kayak the 10km is possible! We'll stop half-way on Thumbé Island for a quick swim in the lake then continue paddling (a kayak guide will be with those who want to paddle out). Upon arrival, we'll enjoy a sunset cruise and dinner on Mumbo Island.

Mumbo Island B/D



Mumbo Island Camp is named after the pristine, practically deserted tropical island on which it is built. The crystal-clear, warm waters of Lake Malawi National Park boast some 2000 species. It's no wonder this region of Lake Malawi is often considered the best freshwater diving and snorkeling location on the planet. Accommodation at the intimate Mumbo Island Camp comprises tastefully furnished, comfortable tents with hot bucket showers and 'eco-loos'. With an exclusive limit of only 14 guests at a time, Mumbo Island Camp is perched on rocks high above the water - blending with the environment perfectly to create a place of rustic charm and minimal impact. Tucked into the lush foliage, each tent is fully furnished with its own shaded view-deck and hammock. Mumbo Island Camp adheres to strict principles of eco-architecture, so the dining area, bar and water sport gazebo, are all hand built from timber, thatch and canvas. Unlike most island destinations in the region, Mumbo Island has never been populated by humans and is still in its natural state.

techniques is only the first step in creating lasting change because an understanding of the local culture and norms is critical to ensuring widespread adoption of any new technology.

Mechanical Engineering Professor, John Morrell, has designed a class that targets engineers and political science/economics students to simultaneously develop both a technology and commercialization strategy which will be acceptable to the local population. Professor Morrell believes that this course would be even stronger if a field component could be included so that the students would have the opportunity to see firsthand the challenges of the target population and the implementation of their technology. More importantly, this class provides only one example of how the concepts of REAL can be expanded into the physical sciences.

Scientific teaching and inquiry based learning extends to other course configurations beyond lab and fieldwork. Lecture courses and seminars may be developed thematically, around a compelling narrative. These courses will provide, among other things, the context of scientific endeavor, and in some cases, its rich history. An example of a thematic course is:

The Irish Potato Famine, Professor Jo Handelsman

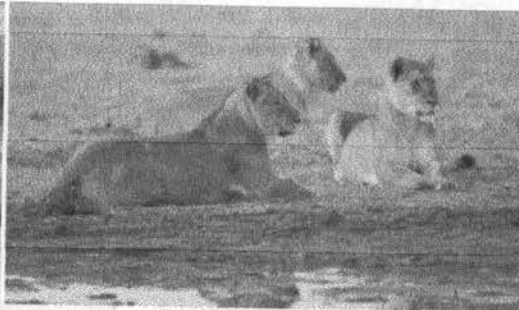
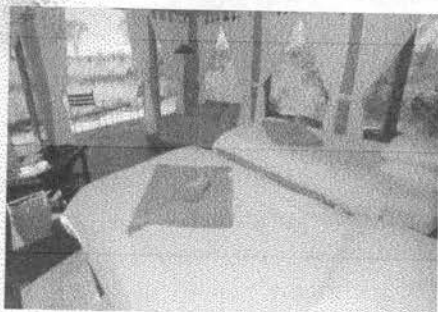
The Irish Potato Famine is a part of history that fascinates and absorbs people for its horror and implications. Students are drawn to its human dimensions, but the scientific issues are complex, interesting, and historically significant as well. The Irish Potato Famine course will explore the historical record about the Famine and then dissect the events biologically. Topics will include, discovery of the potato and its route to Ireland; genetic diversity in plants; modes of reproduction in plants; microorganisms and plant disease and health; plant breeding and genetics; modern genetic engineering of crops; and epidemiology. Using the Famine as a point of reference, the course will be cohesive and yet expansive in the scientific ideas that are studied. The mode of teaching will be inquiry-based, requiring students to learn on their own, be responsible for bringing knowledge to class, ask questions, and design creative strategies for experiments and practical problem solving.

Timeline for expansion

Yale's Model anticipates the long-term continuation of Scott Strobel's REAL course as well as a new domestically-focused course. In addition, Yale will design three new inquiry based learning courses for implementation during the academic year 2012-2013, and two for each of the subsequent three academic years. We expect to offer ten new inquiry based courses by the end of the fifth year. Assessment will be ongoing during this time frame, and the five year time period will allow for evaluation of the first class to experience four years of the newly designed curricula. Continued scale up after the first five year period will be planned according to the results achieved.

Designing spectacular introductory lecture courses

Beyond the expansion of inquiry-based learning, another hallmark of Yale's transformational plan is to design "spectacular introductory science lecture courses." There can be no doubt that the lecture course has been a vital and successful attribute to undergraduate



Davison's Camp lies deep in Hwange National Park, in the south-eastern Linkwasha Concession - one of the best game viewing areas of the entire Park. It is a classic African tented camp, with the units tastefully hidden beneath a grove of false mopane trees, overlooking a waterhole and open plain. Named after the founder of Hwange National Park and its first warden, Ted Davison, this camp, with its 8 tents and a family tent, offers a wonderful bush experience. Both the tents and the separate main area, comprising a lounge, dining room, and open campfire area, look out over the productive waterhole. Activities include game drives in open 4x4 vehicles, or guided walks in the early mornings, while during the siesta hours, guests can view wildlife coming down to the waterhole to drink from their tent veranda or the main area. Game viewing is productive year-round in the Linkwasha Concession and wildlife frequently encountered here includes lion, large herds of elephant, buffalo, leopard, white rhino, spotted hyaena, southern giraffe, sable, blue wildebeest, impala, common waterbuck and reedbuck. There are a number of large, open plains areas which make for excellent game viewing; in summer, wildebeest, zebra and eland are found in abundance here, while in winter the waterholes are magnets around which elephant in enormous numbers congregate to drink.

Website: www.davisonscamp.com

Sept 20 & 21, Tue & Wed

Davison's Camp

We will enjoy two full days on safari in Hwange National Park! Activities include: game drives, walking safaris, and night drives.

Davison's Camp B/L/D

September 22, Thursday

Davison's Camp to Kumbali Lodge, Malawi

This morning, after our game drive and brunch, we will be transferred to the airstrip for our light aircraft transfer to Victoria Falls airport. Upon arrival in Victoria Falls, we will be assisted to our light aircraft transfer to Livingstone airport in Zambia. On arrival at the Livingstone airport, we will make our way to the terminal for our flight to Kumbali Lodge in Malawi. Kumbali Lodge is situated outside Malawi's capital city, Lilongwe; it is the lodge that Madonna stays when she comes to Malawi to build her school. There really is no need to be in the city as we'll be tired from the flights coming in and this will allow us to have a night of relaxation before we immerse ourselves into the Malawi culture.

Kumbali Lodge D/B

education in the humanities and the social sciences, and we expect it will be equally revered in the sciences.

The Power of the Spectacular Lecture: A Case in Point

For more than 60 years, Vincent Scully, Sterling Professor Emeritus of the History of Art, offered two legendary introductory courses in the histories of architecture and art, which were among the most sought-after undergraduate classes ever taught at Yale. Professor Scully's lectures were a combination of the effects of a master storyteller, a superb lecturer, and the adoption of necessary changes, aided by expert support, in the presentation and course design reflecting corresponding changes in student learning. Enrollments were consistently at capacity; standing room only for those observers fortunate enough to gain admittance was a commonplace. Some of the most important architects and art historians of our time were taught and mentored by Professor Scully, but many more Yale undergraduates were encouraged to experience his lecture courses and took away lifetime memories of them and a level of literacy in art history and architecture similar to the science literacy we are aspiring to teach. Travelling the country and the world, Yale officers and staff are often told by alumni, "I was lucky enough to take Scully's class."

Another iconic figure was Professor Harvey Goldberg, the renowned historian best known for his rapt audiences at Ohio State University and then at the University of Wisconsin. Professor Goldberg's lectures were tour-de-force performances that drew standing room only crowds in the largest venues available on the Madison campus. He brought history to life, and made it pertinent to the lives of his students. His field was modern and contemporary history; his range diverse—the courses included lectures on the October Revolution in 1917, Greek Fascism and Resistance, 20th Century China, French Social Democracy, the post-World War II Truman Doctrine, and Russia under De-Stalinization. The thread running through these varied offerings was an unrelenting commitment to galvanizing students into social awareness and making them believe that history was relevant at a time of particular social upheaval in the United States when more than anything, the young wished to leave the past behind. Harvey Goldberg's classes proved a revelation and for many, served as a transformative experience. The Harvey Goldberg Center for the Study of Contemporary History at the University of Wisconsin-Madison is named in memory of this extraordinary teacher.

While success might be as much a matter of personal chemistry as superior course design, some of the principles of the spectacular lecture that could be adapted to science education are:

- Creating a compelling narrative

- Adapting the manner of presentation to current methodologies (e.g. technology in the classroom)

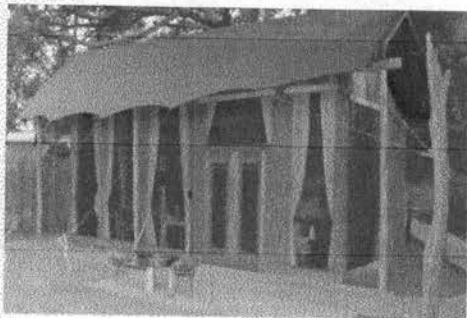
- Recognizing the ways in which undergraduates work and learn

- Creating sections or labs that are inquiry based

- Inspiring wonder and the desire to learn more

The development of a superior lecture course, however, requires a considerable commitment of resources. If we are to encourage more of them at Yale, we need to:

*Prepared by Matt Bracken and Kelly Ritter
for The Bracken Party of 9*



*On the middle reaches of the Zambezi River, a hundred kilometers below Lake Kariba is the Mana Pools National Park situated in the heart of the Zambezi Valley. **Ruckomechi Camp** lies on the banks of the Zambezi, shaded by a large grove of acacia and mahogany trees and with a superb view of the mountains of Africa's Great Rift Valley across the river in Zambia. Ruckomechi Camp accommodates guests in ten spacious en-suite tented units, including a honeymoon suite, all of which overlook the Zambezi River. Each tent has both indoor and outdoor showers, and the camp boasts a favorite amongst guests: its outdoor 'bath-with-a-view' in a secluded, scenic spot. The central dining, bar, library and lounge areas face the escarpment and are connected to the rest of the camp by low-level walkways that minimize the environmental impact. There is a separate deck with infinity pool for swimming and sun bathing, and an inviting, cushion-strewn star gazing deck. Ruckomechi Camp has aimed to be as environmentally friendly as possible - hot water and lighting for each unit is provided by solar power. The camp vegetation is dominated by broad canopied albida trees, much loved by elephants for their rich nutritious pods; these animals often join visitors in camp for a light meal! The area is renowned for large numbers of elephant, buffalo, hippo and eland, especially in the winter when they concentrate along the river. Predators such as lion, leopard and wild dog are all found in the area. Birdlife is superb, particularly for both mopane woodland and riverine species with numerous local specials like Collared Palm-Thrush, Racket-tailed Roller, Purple-banded Sunbird and Black-throated Wattle-Eyes. Activities include wildlife viewing in open 4x4 vehicles, on motorised pontoon boats, on foot, in hides and in canoes. **Website: www.ruckomechi.com***

Sept 17 & 18, Sat & Sun

Ruckomechi Camp

We enjoy two full days on safari in Mana Pools National Park! Activities on offer include: game drives, boating, fishing, walking safaris.

Ruckomechi Camp B/L/D

September 19, Monday

Ruckomechi Camp to Davison's Camp, Hwange National Park

Today after our morning activity and brunch, we will be transferred via light aircraft to Davison's Camp in Hwange National Park where we will enjoy 3 nights in four tented rooms inclusive of meals, drinks, and activities. We'll arrive at Davison's in time for lunch and an afternoon game drive followed by dinner in camp.

Davison's Camp B/L/D

Enlist more of our top senior faculty

Allocate appropriate resources for new course design, including providing release (where necessary) from upper-level teaching commitments for faculty willing to develop new introductory-level classes

Provide assistance with course preparation (stunning visuals, class materials, etc.)

Support lab-like or field-like experiences as components of introductory lecture courses

Offer summer salary to enable some prospective faculty to dedicate this time for course development

Commit resources to developing on-line components

Engage graduate students as co-developers, instructors and mentors (for faculty as needed and for students, see II, below)

Professor Michael Donoghue, Sterling Professor of Ecology and Evolutionary Biology has committed to the development of such a course in the area of evolution, and in early conversations with some of Yale's most prominent faculty, has learned of their own enthusiasm for creating a stellar lecture course in the sciences. The Yale Model envisions incorporating five new lecture courses over the first five years. The inception of the first new lecture course is planned for the 2012-2013 academic year and will be attended by ~100 undergraduates. Through the expansion of these lecture courses, Yale will reach significant numbers of undergraduates over the course of the first five years.

Enriching the undergraduate laboratory experience

Another way in which the undergraduate science educational experience will be enriched is through re-thinking the lab. The Yale Model will take into consideration two particular areas of improvement. The first is increasing research lab opportunities for undergraduates, including freshmen. Professor Strobel's idea of faculty partners for his students is a case in point. The second area involves developing new models for laboratory use, through an innovative training program for postdocs and graduate students as mentors, as further described in the next section, and maximizing laboratory schedules with the aim of fewer students in the labs at a given time.

Creating a summer science experience for incoming freshmen

The re-conceived gateway to the sciences does not need to wait to encourage and inspire until classes begin freshman year. Leveraging a highly successful orientation wilderness program for new students, the Freshman Outdoor Orientation Trip (FOOT), Yale will design one or two sections of 50 incoming freshmen who have indicated an interest in the sciences. Approximately 400 freshmen participate in FOOT each summer. The trips are lead by trained upperclassmen who lead backpacking trips in eight scenic locations throughout the Northeast. The possibilities for such a program to provide an early and personal introduction to science at Yale are enormous and compelling. For example, this trip could be used as the opportunity for the students to collect materials in the field. These can be used as the basis for study throughout the year, transitioning from biological study (mainly descriptive) into chemical study (mostly analytical). Such a preparatory program would also help to establish a community of undergraduates interested in science. Experience demonstrates that the students will bond

*Prepared by Matt Bracken and Kelly Ritter
for The Bracken Party of 9*



***The Victoria Falls Hotel**, popularly known as “the grand old lady of the Falls”, is situated in the Victoria Falls National Park, a world heritage site, and is a member of the exclusive Leading Hotels of the World group. The Edwardian-style five-star hotel, built in 1904, combines the charm of the old with the convenience of the new. Set in lush tropical gardens with lily ponds, palm trees and semi-tropical shrubs, it provides the tranquility and seclusion that many guests seek. The famous Victoria Falls are just a ten-minute walk away using the hotel's private pathway, and “the smoke that thunders” or “Mosi-O-Tunya” in the local dialect, is clearly audible and visible from this luxurious landmark. For guests who wish to take in some game viewing, a five kilometre drive (or walk) brings them to the national park and, guided by professional rangers, they will seek out Zimbabwe's “big five” – elephant, rhino, leopard, lion and buffalo – and be able to capture their encounters forever, on camera! **Website:** www.victoriafallshotel.com*

September 15, Thursday Victoria Falls

This morning after breakfast, we will be met at the hotel and taken on a private tour of the Falls. After the tour, we will return to the hotel where the rest of your day will be spent enjoying the many activities in and around Victoria Falls including: shopping, rafting, bungee jumping, zip-line, meeting with anti-poaching teams, elephant back safari, relaxing on the veranda of the Victoria falls Hotel enjoying the scenery. (Activities can be booked upon arrival and paid for at the Victoria Falls Hotel)

Victoria Falls Hotel B

September 16, Friday Victoria Falls to Ruckomechi Camp, Mana Pools National Park

This morning, after breakfast and checkout from the hotel, we will be transferred via shared vehicle to the Victoria Falls Airport where we will be met by a Travel Beyond representative and assisted onto our light aircraft transfer to Ruckomechi Camp in Mana Pools National Park along the Zambezi River where we will enjoy three nights in four tented rooms inclusive of meals, drinks, and activities. This afternoon we will enjoy our first activity at Ruckomechi followed by dinner in camp.

Ruckomechi Camp B/L/D

quickly and once starting classes, be able to distinguish their like-minded colleagues. These connections have already been shown to aid in the retention of students in the sciences.

Timeline for expansion

Professor Michael Donoghue is already planning a redesigned lecture course on evolution which he will offer in 2012-2103. We expect that another new lecture course will be ready for implementation during this academic year. In the following three years, one new lecture course will be added to each year, with the goal of providing a total of five new lectures over the course of five years.

II. Re-Inventing Scientific Pedagogy

"Imagine if music schools trained pianists to play with only the right hand, leaving them on their own to figure out the left hand's responsibility. Ridiculous? Yes, but that is not unlike the way research universities train scientists, who emerge largely untrained to teach. Research universities should raise a generation of future scientists who, like pianists who play with both hands, practice their art with a dynamic component of skills, to the great benefit of society."
Professor Jo Handelsman

A successful transformation in science education cannot be limited to course design or focusing on new methods of student learning. The Yale Model seeks to achieve transformation through re-inventing scientific pedagogy at Yale as integral to the process and through training faculty, post docs and graduate students in this new approach. There will be no success in learning without similar success in teaching.

The Center for Scientific Teaching at Yale

The Center for Scientific Teaching at Yale will serve as the focal point for re-inventing pedagogy for undergraduate education at Yale. The Center's Director, Jo Handelsman, Professor of Molecular, Cellular, and Developmental Biology, came to Yale in 2010 from the University of Wisconsin-Madison, where the Center for Scientific Teaching was first initiated. The Center provides leadership to enhance science education at Yale and in universities nationwide.

Its work is based on the principles of "scientific teaching," an evidence-based approach to teaching college-level science formulated by Professor Handelsman. Decades of education research demonstrate that traditional modes of teaching science have proven ineffective in the means by which students acquire information and is even less effective in advancing higher order thinking skills (analysis, evaluation, and creative synthesis of ideas). Simple additions to lectures that engage students actively in processing information and ideas transform lectures into highly effective teaching tools. It is these methods that form the basis for the arsenal presented by scientific teaching.

ITINERARY-OPTION #1, (including Victoria Falls)

B = Breakfast, L = Lunch, D = Dinner

September 12, Monday Depart USA

Today we depart the United States for Johannesburg, South Africa (*flights to be booked at a later date*).

Overnight flight

September 13, Tuesday Arrive Johannesburg, South Africa

On arrival in Johannesburg, we will be met by a Travel Beyond representative and assisted to the Intercontinental Johannesburg Hotel where we will spend one night in four standard rooms.

Intercontinental Airport Sun



The **Intercontinental Airport Sun** is South Africa's first and only luxury hotel at an airport. This conveniently located 138-room hotel is situated within walking distance from the terminals at Johannesburg International Airport and all rooms have their own bathroom, air conditioning, television, radio, coffee and tea making facilities as well as a mini-bar, and 24-hour room service. Special features include in-room flight information and a Camelot Health spa offering a full variety of treatments and massage facilities complemented by steam rooms and a fully equipped gymnasium to ease the stress of long distance travel. The signature restaurant, Quills, aptly named after the unique 18-meter long porcupine quill mobile spanning the entire length of the restaurant, offers modern "Aero African cuisine" - a fusion of African concepts incorporating flavors from around the world served from breakfast through to late night a la carte dining. Quills Bar is an ideal meeting place for local and international business associates and in-transit travelers. Other relaxation facilities include an indoor heated swimming pool that has a panoramic view across the Johannesburg skyline. The InterContinental Airport Sun welcomes both domestic and international travelers to experience the ultimate in comfort and convenience.

Website: www.ichotelsgroup.com/intercontinental/en/qb/locations/overview/johannesburg-ortamboairport

September 14, Wednesday Johannesburg to Victoria Falls, Zimbabwe

This morning, after breakfast and check out we will be met at the hotel and assisted to the international departures terminal for our flight to Victoria Falls. Upon arrival at Victoria Falls Airport, we will be met by a Travel Beyond representative and transferred via shared vehicle to the Victoria Falls Hotel where we will spend two nights in four deluxe rooms.

Victoria Falls Hotel B

The Center sponsors programs in which graduate students, postdocs, and faculty at Yale learn the principles and practices of scientific teaching and designs processes for evaluating teaching effectiveness. The Center also directs a national program, the National Academies Summer Institute on Undergraduate Education in Biology, an annual workshop that is at the forefront of the to drive change in college-level science education. Current programs along with expansions for the Yale Model include:

Yale Scientific Teaching Fellows Program

The Center presently offers a year-long training program for graduate students and postdocs that harnesses the latest information on cognitive research into how students learn. During the fall semester, each fellow enrolls in a course, "Scientific Teaching," in which the instructors teach about the active engagement of diverse students, regular assessment of learning, and redesign of classroom strategies based on data collected – and the students experiment with methods and philosophies to achieve their own style of scientific teaching. The participants then design teaching materials and during the second semester, they pilot them in an undergraduate biology course. The graduates of the Fellows Program are well-equipped to attain and excel in positions at the nation's leading colleges and universities. Entry into this program is highly competitive. Last year, 54 students applied and only 20 could be accommodated. The Yale Model envisions expanding the Center's operations in order to train post docs and graduate students who will partner with the faculty in the design and teaching of the new courses described in Section I.

Expanding Opportunities for Graduate Students and Post-Docs

The Yale Model will transform graduate and post-graduate education by training graduate students and postdocs in methods to foster active learning in undergraduate science education. The results of this effort will be multifold: improved teaching of Yale undergraduates; teaching partnerships between graduate students/postdocs and faculty; and a unique graduate training experience that builds excellence in both teaching and research, which will attract students and postdocs to train at Yale and will launch a new generation of educators in the U.S.

Postdoc Program. Postdocs will be invited to participate in the training program for one year, during which their stipends will be paid by the grant. This is an important aspect of the Yale Model as the participants need to have the freedom to spend time on their teaching and not be constrained by the source of funding for their research. They will be expected to continue their research, but dedicate 10 to 20 hours/week to teaching. The program will teach time management skills and discuss strategies for having two priorities, which will provide excellent training for future faculty. Postdocs will be invited to attend the Yale Summer Institute with faculty so that they share a common experience and perspective for the ensuing academic year, during which they will develop and collaboratively teach an undergraduate science course, implementing the principles of scientific teaching.

Graduate Student Program. Graduate students from across the sciences will be invited to participate in a two-semester program in teaching. During the first semester, the participants

Insurance Coverages

SCHEDULE OF BENEFITS

All coverages are per person.

COVERAGE	MAXIMUM BENEFIT
 Trip Cancellation	100% of Insured Trip Cost*
 Trip Interruption	150% of Insured Trip Cost*
 Trip Interruption — Return Air Only	\$750†
 Trip Delay	\$750 (Maximum of \$125 per day)
 Missed Connection	\$250
 Baggage & Personal Effects Loss	\$1,000
 Baggage Delay	\$300
 Medical Expense	\$25,000
 Emergency Evacuation & Repatriation of Remains	\$500,000
 Accidental Death & Dismemberment	\$10,000
FAMILY COVERAGE — At no additional charge, this plan covers all children age 17 and under who are traveling with and related to the primary adult named on the enrollment form. Offer does not apply to optional coverages.	

Extra Coverage

When you purchase the Premier GOLD travel insurance plan within 21 days** of making your initial trip payment, you also receive:

-  Coverage against cruise line, airline, or tour operator default. (Financial default is not covered for all suppliers. Please check our website for details.)
-  Coverage if pre-existing medical conditions force you to cancel or interrupt a trip. Applies to the first \$50,000 of trip cost per person. (Restrictions apply.)
-  Missed Connection Benefit increases to \$500.
-  \$50,000 Flight Guard®
(This coverage is added to any additional Flight Guard that is purchased.)

**Only one in the date the initial payment is received.

Optional Additional Coverages

-  Cancel for Any Reason — The insurer will reimburse 50% of nonrefundable expenses if you cancel your trip for any reason, up to 48 hours prior to your departure. (Can only be purchased at the time the base plan is purchased and within 21 days of initial trip payment. Coverage must be purchased for the full cost of all prepaid nonrefundable trip arrangements.)
Plan Cost: Multiply base plan cost by 1.5
-  Medical Coverage Upgrade — A valuable addition to increase your coverage limits. Your Medical and Emergency Evacuation benefits will double. Emergency Evacuation to the adequate licensed medical facility of the insured's choice is included. (See chart for plan cost. Cannot be purchased separately.)

-  Flight Guard® — Coverage to \$500,000 for accidental death or dismemberment that occurs while flying.
Plan Cost: \$9 per \$100,000 of coverage

-  Car Rental Collision Coverage — \$25,000 in primary coverage covers collision damage to a rental car for which the car rental contract would hold you responsible. (\$250 deductible applies.)
Plan Cost: \$9 per day, per car

Any payments under the policy will only be made in full compliance with all United States federal laws, executive orders, trade sanctions laws or regulations, including, but not limited to, sanctions, laws and regulations administered and enforced by the U.S. Treasury Department's Office of Foreign Assets Control (OFAC). Therefore, any expenses incurred or claims made involving travel that is in violation of such sanctions, laws and regulations will not be covered under the policy. For more information, you may consult the OFAC internet website at www.treasury.gov/press/releases/10411.cfm or a Travel Guard representative.

TRAVEL GUARD CHARTIS

Travel Guard
3500 Boshart Park Drive
Shrews Point, WI 53418
www.TravelGuard.com
1.866.388.6235



SIGNATURE
TRAVEL NETWORK

30108-5 DM 3/09 Coverage may not be available in all states.

THIS IS A BRIEF OUTLINE OF COVERAGE — RESTRICTIONS APPLY

For complete coverage information, please refer to the Description of Coverage prior to purchase.

Travel Insurance Coverage

Trip Cost Trip Cancellation Shows how Trip Cost Trip Interruption Pays this benefit up to the Maximum Benefit shown on the Schedule of Benefits. If a Trip is canceled or interrupted due to any of the following Unforeseen Circumstances:

- Sickness, injury, or death of you, your Family (Member, Traveling Companion, or Business Partner), Cancellation due to an injury or sickness of a Family Member must be because their condition is life-threatening, or because the Family Member requires your or a Traveling Companion's care;
- Sickness, injury, hospitalization, or death of the Insured's Most at Destination. A Physician must certify the injury or sickness;
- Financial Default of an airline, cruise line, or tour operator resulting in the complete cessation of service. This coverage applies only if (i) you purchased this coverage within 21 days of initial trip payment and (ii) the Financial Default occurs no more than 14 days after your coverage effective date;
- The Insured or Travel Companion is involuntarily terminated or laid off, provided that he or she has been an active employee for the same employer for at least one year. Termination must occur following the effective date of coverage. This provision is not applicable to temporary employment, independent contractors, or self-employed persons;
- You or your Traveling Companion is required to work during his/her scheduled trip. He/she must provide proof of requirement to work, such as a notarized statement signed by an officer of his/her employer;
- You or your Traveling Companion is directly involved in a merger, acquisition, government required product recall, or bankruptcy proceedings and must be currently employed by the company that is involved in said event;
- You or your Traveling Companion's company is deemed to be unavailable for business due to burglary or Natural Disaster and the Insured or Traveling Companion is directly involved as a Key Employee of the disaster recovery team;
- Inherent Weather causing cancellation or interruption of travel;
- Strike resulting in the complete cessation of travel services at the point of departure or destination;
- Your Primary Residence or Destination being made uninhabitable by vandalism, burglary, or Natural Disaster;
- You or your Traveling Companion being subpoenaed, required to serve on a jury, hijacked, or quarantined;
- Your or your Traveling Companion being called into active military service or being here required or being conscripted;
- Mechanical equipment failure of a Common Carrier that occurs on a scheduled trip and causes complete cessation of the Insured's travel and results in a Loss of 50% of the Insured's Trip Costs;
- A Terrorist Incident in a City listed on your Itinerary within 30 days of your scheduled arrival;
- "City" means an incorporated municipality having defined borders and does not include the high seas, uninhabited areas, or airports.

"Financial Default" means the total cessation of operations due to insolvency, with or without the filing of a bankruptcy petition by a transporter, cruise line, or airline provided the Financial Default occurs more than 14 days following your effective date for the Trip Cancellation Benefits. There is no coverage for the Financial Default of any person, organization, agency or firm from whom you purchased travel arrangements, supplied by others.

"Family Member" means the Insured's or Traveling Companion's spouse, Domestic Partner, Child, daughter-in-law, son-in-law, brother, sister, mother, father, grandparent, grandchild, step-child, step-brother, step-sister, step-parent, parent-in-law, brother-in-law, sister-in-law, aunt, uncle, niece, nephew, legal guardian, Companion, legal ward or Domestic Partner of any of the above.

"Sickness" means an illness or disease diagnosed or treated by a physician.

Trip Delay — Return Air Only Reimbursement for the additional airline transportation expenses up to the Maximum Benefit shown on the Schedule of Benefits incurred by you to reach the return destination for Trip Interruption due to one of the Unforeseen Circumstances listed above. However, the benefit payable above will not exceed the cost of economy airfare (or same class of your original tickets) by the most direct route. Itinerary refunds paid or payable.

Trip Delay — From Home Up to 1 day to the Maximum Benefit shown on the Schedule of Benefits for reasonable Additional Expenses for meals, accommodation, taxi fares, and essential phone calls, if your Trip is delayed for more than 5 hours due to covered reasons.

Missed Connection Reimburses this benefit up to the Maximum Benefit shown on the Schedule of Benefits if scheduled flights for those or more hours to your point of departure.

Baggage Insurance Coverage

\$1,000 Baggage & Personal Effects Loss Can reimburse you if your baggage is lost, stolen, or damaged while on your Trip, subject to the Maximum Benefit. This coverage is in excess of any other coverage or indemnity.

\$500 Baggage Delay If your baggage is delayed more than 12 hours, you can be reimbursed for the purchase of necessary Personal Effects, subject to the Maximum Benefit.

Medical Expense & Emergency Evacuation Coverage

\$25,000 Medical Expense Pays this benefit, up to the Maximum Benefit shown on the Schedule of Benefits. Pays for necessary medical expenses incurred while on a Trip.

\$500,000 Emergency Evacuation & Repatriation of Remains Covers evacuation and transportation as directed by a Physician to the nearest adequate medical facility (home in the event of death or medically required). Pays for special medical escort if recommended in writing by the attending Physician.

\$10,000 Accidental Death & Dismemberment Pays for loss of life or limb if it occurs within 365 days of an accident during your Trip.

Optional Coverages

Amount Purchased (up to \$500,000) **Flight Guard®** Coverage for accidental death or dismemberment that occurs while traveling on a regularly scheduled flight or charter, subject to the Maximum Benefit shown in the Schedule.

Car Rental Collision Coverage \$25,000 in primary coverage, subject to a \$250 deductible. Covers collision damage to a rental car for which the car rental contract would hold you responsible.

Medical Coverage Upgrade Valuable addition to increase your coverage limit. Your Medical and Emergency Evacuation Benefits will double. Emergency Evacuation to the adequate licensed medical facility of the Insured's choice. Available globally, anytime you are more than 100 miles from home.

Cancel for Any Reason Provides reimbursement of 50% of nonrefundable expenses if you decide to cancel for any reason up to 48 hours prior to departure.

PRE-EXISTING MEDICAL CONDITIONS EXCLUSION:

The Insurer will not pay for any Loss or expense incurred as the result of an injury, sickness, or other condition of you, a Traveling Companion, Business Partner, or Family Member which, within the 180-day period immediately preceding and including your coverage effective date, first manifested itself, pending and including your coverage effective date, first manifested itself, or had symptoms which would have prompted a reasonable person to seek or be diagnosed, care, or treatment; or for which care or treatment was given or recommended by a physician; or required the taking of prescription drugs or medicines; or required the use of a wheelchair for which the drug or medicines are taken remain controlled without any change in the prescription drugs or medicines.

The Insurer will waive this exclusion if you meet the following conditions:

- You purchase the plan within 21 days of making your initial trip payment;
- The amount of Trip Cancellation coverage purchased must equal the full cost of all pre-paid nonrefundable trip arrangements. The cost of any subsequent arrangement(s) added to the same Trip must be insured within 21 days of the date of payment or deposit for any subsequent trip arrangement(s). Failure to do so may affect the pre-existing medical condition waiver; i.e., you must be medically able to travel when you pay your plan cost. Applies to the first \$50,000 of Trip cost per person.

This is a brief description of the insurance benefits provided under policy number 3505CHRTIS-TC, issued pursuant to underwritten by National Union Fire Insurance Company of Pittsburgh, Pa., a Pennsylvania Insurance Company, NAIC #59446, with its principal place of business at 70 Pine Street, New York, NY 10270, and currently authorized to transact business in all states and the District of Columbia. The policy will contain exclusions, limitations, conditions, and termination provisions. All coverages may not be available in all states.

*Coverage only included if prepaid trip costs identified on the enrollment form and if the required premium has been paid.
†Coverage for Trip Interruption and Trip Interruption Return Air Only cannot be combined.

will take a course in pedagogy and then develop instructional materials in collaboration a faculty member to be used in the faculty member's course. In the spring semester, the graduate students will implement the instructional materials that they develop in an undergraduate science course. We envision that graduate students will implement their own and each others' instructional materials and evaluate and revise the materials accordingly.

The graduate student program described here will provide intensive, high level training in teaching coupled with a rigorous in-class experience. This is in contrast to many current teaching opportunities available to many graduate students, which involve menial lab chores and grading. The graduate students emerging from this program will have a unique type of doctoral degree, one that indicates excellence in both teaching and research, and these graduates will step into the professional world with a prowess that will distinguish them from peers from all other research universities. The Yale Model will make our graduate programs more attractive to students who will be attractive to other universities, in turn extending our impact far beyond the walls of Yale.

National Academies Summer Institute on Undergraduate Education in Biology

The Summer Institute is the product of a collaboration among the National Academies, the Howard Hughes Medical Institute, and the Center for Scientific Teaching. The Summer Institute's goal is to induce a revolution in science education at research universities by training faculty revolutionaries who effect change in their classrooms, institutions, and disciplines. At present, in a competitive annual process, 40-50 university faculty and instructional staff are chosen to participate in a 5-day workshop in which they develop instructional materials for introductory biology courses. Expert instructors present tested approaches to classroom teaching and assessment through presentations that model the techniques being taught so that participants experience them as students. Past participants of the Summer Institute teach well over 100,000 undergraduates annually. The Summer Institute is slated to move to Yale in 2012. HHMI has recently funded the expansion of the Summer Institute so that it can be offered 5 to 9 times each summer in diverse regions of the United States. The Yale Model aims to capitalize on these well-tested and effective Institutes to create a Yale Summer Institute dedicated exclusively to serving Yale faculty. We expect that we could train all of the faculty in Yale College who are interested over the course of several years. In addition to changing teaching practices in our undergraduate science courses, the Yale Summer Institute will create a common language and shared experience that will serve as the basis for building a community of teaching scholars. We envision a time when faculty will engage as vigorously and enthusiastically in discussions of pedagogy as in those about research.

III. Implementation and Timeline

The Yale Model is based on the premise that the two principal components, re-conceptualizing the science gateway and re-designing scientific pedagogy are interdependent and that the programs must be developed and implemented in tandem. As the program budget illustrates, such an integrated approach requires funding to cover the initiation of all the essential program elements at the same time.

Travel Assistance Services*

Plan includes 24-hour travel assistance services — your personal "911" hotline when you travel.

- **LiveTravel®** — your 24-hour travel counselor for emergency or last-minute travel changes, such as rebooking flights, hotel reservations or ground transportation, tracking lost luggage, and more.
- **Pre-trip travel advice** — access to passport, visa, and vaccine requirements; travel safety and health advisories; embassy contacts; weather; and currency information.
- **Emergency medical assistance** — locating English-speaking medical specialists or facilities and assistance with medical evacuations anywhere in the world.
- **E-mail or phone message relay** — to family, friends, and business associates.
- **Cash advance** — for general travel and medical emergencies.
- **Replacing lost travel documents** — such as tickets, passport, or visa.
- **Bag Trak®** — assists in locating lost or stolen possessions — for one year.
- **Telephone interpretation** — for medical or legal emergencies.

Concierge Services*

- **Restaurant referrals/reservations** — Worldwide dining referrals and reservations made on your behalf, based on availability.
- **Ground transportation** — Car or limo arrangements throughout your trip, including transportation to and from airport, hotel, meetings and more.
- **Event ticketing** — Assistance with obtaining tickets to sporting, theater, concert, and other events, based on availability.
- **Tee time reservations** — Assistance with scheduling tee times and making course recommendations, based on availability.
- **Floral services** — Coordination of flower delivery for missed birthdays, anniversaries, holidays, and other special occasions while traveling.

Identity Theft*

(Not available to residents of New York state.)

- **Order and review credit card bureau records** on your behalf if you become a victim of identity theft.
- **Investigate financial accounts** where identity theft is suspected.
- **Interact with law enforcement** to pursue prosecution of criminals.
- **Review account activity** to identify any suspicious activities.
- **Review and resolve identity theft-related issues** on your behalf.

*These are not insurance benefits. Rather they are services provided by Travel Guard.

Premier Gold — Plan Cost

Trip Cost Per Person (not to exceed)	0-24	25-39	40-49	AGE 50-59	70-74	75-79	80-84	85+
\$ 0 - \$ 250	\$ 19	\$ 29	\$ 37	\$ 48	\$ 61	\$ 97	\$ 100	\$ 100
\$ 251 - \$ 500	\$ 23	\$ 32	\$ 38	\$ 52	\$ 63	\$ 100	\$ 100	\$ 100
\$ 501 - \$ 750	\$ 25	\$ 36	\$ 41	\$ 54	\$ 65	\$ 104	\$ 104	\$ 104
\$ 751 - \$ 1,000	\$ 41	\$ 52	\$ 58	\$ 81	\$ 102	\$ 163	\$ 163	\$ 163
\$ 1,001 - \$ 1,500	\$ 53	\$ 71	\$ 81	\$ 126	\$ 156	\$ 217	\$ 217	\$ 217
\$ 1,501 - \$ 2,000	\$ 72	\$ 95	\$ 125	\$ 175	\$ 218	\$ 280	\$ 280	\$ 280
\$ 2,001 - \$ 2,500	\$ 92	\$ 120	\$ 155	\$ 257	\$ 303	\$ 404	\$ 404	\$ 404
\$ 2,501 - \$ 3,000	\$ 111	\$ 141	\$ 186	\$ 299	\$ 353	\$ 454	\$ 454	\$ 454
\$ 3,001 - \$ 4,000	\$ 130	\$ 160	\$ 215	\$ 373	\$ 439	\$ 569	\$ 569	\$ 569
\$ 4,001 - \$ 5,000	\$ 148	\$ 184	\$ 244	\$ 414	\$ 495	\$ 630	\$ 630	\$ 630
\$ 5,001 - \$ 6,000	\$ 165	\$ 197	\$ 265	\$ 445	\$ 540	\$ 680	\$ 680	\$ 680
\$ 6,001 - \$ 7,000	\$ 184	\$ 229	\$ 309	\$ 478	\$ 574	\$ 724	\$ 724	\$ 724
\$ 7,001 - \$ 8,000	\$ 211	\$ 247	\$ 330	\$ 507	\$ 600	\$ 750	\$ 750	\$ 750
\$ 8,001 - \$ 9,000	\$ 239	\$ 284	\$ 366	\$ 538	\$ 630	\$ 780	\$ 780	\$ 780
\$ 9,001 - \$ 10,000	\$ 280	\$ 311	\$ 451	\$ 568	\$ 660	\$ 810	\$ 810	\$ 810
\$ 10,001 - \$ 15,000	\$ 281	\$ 337	\$ 499	\$ 615	\$ 684	\$ 864	\$ 864	\$ 864
\$ 15,001 - \$ 20,000	\$ 309	\$ 349	\$ 551	\$ 705	\$ 778	\$ 978	\$ 978	\$ 978
\$ 20,001 - \$ 25,000	\$ 347	\$ 389	\$ 614	\$ 786	\$ 865	\$ 1,085	\$ 1,085	\$ 1,085
\$ 25,001 - \$ 30,000	\$ 384	\$ 429	\$ 675	\$ 880	\$ 978	\$ 1,218	\$ 1,218	\$ 1,218
\$ 30,001 - \$ 35,000	\$ 441	\$ 488	\$ 756	\$ 978	\$ 1,116	\$ 1,368	\$ 1,368	\$ 1,368
\$ 35,001 - \$ 40,000	\$ 498	\$ 542	\$ 840	\$ 1,080	\$ 1,252	\$ 1,512	\$ 1,512	\$ 1,512
\$ 40,001 - \$ 45,000	\$ 555	\$ 630	\$ 910	\$ 1,190	\$ 1,470	\$ 1,770	\$ 1,770	\$ 1,770
\$ 45,001 - \$ 50,000	\$ 615	\$ 686	\$ 982	\$ 1,302	\$ 1,597	\$ 1,927	\$ 1,927	\$ 1,927
\$ 50,001 - \$ 55,000	\$ 675	\$ 769	\$ 1,074	\$ 1,435	\$ 1,758	\$ 2,285	\$ 2,285	\$ 2,285
Medical Consultation/Supplies	\$ 2	\$ 1	\$ 1	\$ 1	\$ 1	\$ 1	\$ 1	\$ 1

The following is an example of the anticipated scale up of the Model over the first three years with similar growth in years 4 and 5 by which time we expect to offer ten new inquiry based courses and five new lecture courses:

Year 1 2011-2012

Continue REAL

Design three new inquiry based courses for implementation during academic year 2012-2013

Train graduate students and post docs in scientific teaching and guide them in development and implementation of course materials in discussion sections of introductory science courses

Provide faculty time for the preparation of two lecture courses for implementation during academic year 2012-2013

Hold first Yale Summer Institute with 10 faculty

Year 2 2012-2013

Continue REAL

Implement three new inquiry based with the assistance of trained graduate students and post docs

Design two new inquiry based courses for implementation during academic year 2013-2014

Implement two introductory lecture courses

Provide faculty time for the preparation of a third lecture course for implementation during academic year 2013-2014

Train graduate students and post docs in scientific teaching and guide them in development and implementation of course materials in discussion sections of introductory science courses

Hold second Summer Institute at Yale (10 Yale faculty)

Year 3 2013-2014

Continue REAL

Implement the fourth and fifth inquiry based courses

Design two new inquiry based courses for implementation during academic year 2014-2015

Implement a third introductory lecture course

Train graduate students in scientific teaching and guide them in development and implementation of course materials in discussion sections of introductory science courses

Provide faculty time for the preparation of a fourth lecture course for implementation during academic year 2014-2015

Hold third Summer Institute at Yale (10 Yale faculty)



Travel Beyond

A World Of Difference™

Flight insurance

Many of us grew up noticing those insurance kiosks at airports. They offer to pay out big bucks if you bought the insurance, the plane crashed and you were on it. Advice: This is not necessary. In fact, if you annualized the premium, it's the most expensive kind of travel insurance you can buy, and probably the least necessary. My advice: NO.

Trip Cancellation and Interruption insurance

This is a biggie. The key here is price point. If you're flying on a \$59 Southwest Airlines ticket from Burbank to Las Vegas, you have an incredibly small investment to protect. You shouldn't buy trip cancellation and interruption insurance. A \$15,000 once-in-a-lifetime cruise vacation? My advice: YES. Buy this insurance. If you get sick, or miss your trip, or the travel provider (airline, cruise line, bus transfer company) goes out of business, you're not left high and dry. You're covered.

Health Care insurance

This is perhaps the most confusing area. Most people think they are covered if they already have existing health care insurance. Within the United States, that's true. Outside the U.S., however, is a big IF. And in some cases, your insurance won't even cover you if you're traveling on a foreign-flagged vessel. This is a huge red flag, since most cruise ships, even those cruising U.S. waters, are not flagged in the U.S.

And in many cases, even if you are covered for basic emergency care overseas (again, a big IF), in almost all cases, your current health insurance does NOT cover you to evacuate you and repatriate you back to the U.S. This is where "Medical Evacuation and Repatriation" insurance comes into play. I believe this is essential for anyone who travels. It's an insurance program (usually an annual premium, not often purchased per trip) where if you get sick or injured overseas the policy will get you treated, stabilized and flown back to the U.S. There are a number of good companies that provide this plan, two of which are Travel Guard and Medjet Assist. My Advice: YES, get this, with another important caveat: read the fine print. With Travel Guard and Medjet assist, these policies provide that they will get you initially treated and stabilized and then send a medically equipped and staffed jet to fly you to the doctor and medical facility of your choice. This is crucial. Outside of Travel Guard and Medjet assist, many other companies that offer this insurance will fly you to the doctor and medical facility of their choice.

And then there's another reason for getting this coverage: If you're in a foreign country, particularly a developing country, many hospitals will admit you without caring about coverage, but they won't let you leave until you pay. Travel insurance can help facilitate payment, and act as an advocate so that you're not overcharged because you're an American.

IV. Assessment

Redefining the undergraduate science learning experience necessitates that we address the question: What does success look like? It also requires that we expand upon models/programs that are working and discontinue those that are not. Planned assessment will be directed by the Graduate Teaching Center, which has personnel trained and experienced in evaluation of educational programs. Assessment will include a focus on both learning and teaching as follows (see also Table in attachments):

For the undergraduates:

We will examine the impact of the inquiry-based courses on the students' learning. Evidence suggests that many more students will experience what the literature refers to as "deep learning" – significant shifts in how they understand and are motivated toward science. Students in this model will not be mere recipients of instruction; rather they will learn to reflect on what they are learning, and how they are learning it. We will examine specific instructional strategies and collect data on the learning they are designed to produce. We will look, for example, at the effects of certain –inquiry-oriented strategies on different populations of students or the way in which certain disciplinary goals are met through alternative approaches to teaching. We will collect data on what students are learning and experiencing in innovative courses and compare them to similar data from traditional courses. To do this, we will use questions that have been developed for national use to assess learning in various scientific disciplines. The application of these questions will enable us to compare learning across courses and campuses. Yale plans to share these results through publications.

Ultimately, any evaluation of the components of Yale undergraduate science curriculum and pedagogy must be benchmarked against broad-based student recruitment and retention criteria. These include how many Yale undergraduates become science majors, how many non-majors take science course beyond the core requirements, how many science majors go on to graduate and post-graduate work, and how many non-majors, who, after taking Yale science courses, pursue graduate and post-graduate work in the sciences and medicine. Yale has an outstanding analysis of retention of students in the sciences, broken down by discipline, gender, race and ethnicity; thus, the data we collect in this project can be compared with data from many previous years as well as with students who are in the traditional curriculum (this latter analysis is flawed because of self-selection, so it is essential to couple it with a pre-/post-implementation analysis).

For the participants in the Center for Scientific Teaching:

Evaluating the success of the Yale model in implementing new methods of teaching and the training programs for them, will consist of assessing the degree to which teaching philosophies and practices based on the components of scientific teaching and learner-centered approaches are adopted. Measuring change will reveal how much and in what ways active learning is incorporated into individual classes. Evidence of active learning can be assessed by whether students engage in small group discussions, are given the opportunity to analyze a case study, or respond to questions using clicker technology for immediate statistical data capture.



Travel Beyond

A World Of DifferenceSM

Baggage insurance

Many trip cancellation and interruption policies also provide coverage for lost, damaged, delayed or stolen bags...And this is especially necessary if you're flying overseas and checking bags. Why? Because of a nasty little thing called the Warsaw Convention. The old Warsaw Convention limits liability to approximately \$9.07 per pound for checked baggage and \$400 per passenger for unchecked baggage. Do the math. If you're only allowed 44 pounds of baggage as a coach passenger, you're not getting a fat check.

But if you're just flying between U.S. cities and think you have no need for a larger trip cancellation and interruption policy, you may think you are simply covered by the airlines' published limits of liability when it comes to lost, stolen, delayed or damaged bags.

Indeed, at least on the surface, it seems like you're covered. As of Feb. 28, 2007, U.S. airlines' liability for lost or damaged luggage increased to \$3,000 per passenger from the current limit of \$2,800. Sounds good, right? Well, let's talk about that limit in realistic terms: First, there's an entire list of excluded items not covered (jewels, furs, negotiable financial documents, et al), and then there's something called....depreciation. The airlines may have a \$3,000 liability limit, but that limit is not per bag, it's per incident, and it's all based on depreciated value. Hardly anyone in the history of aviation has ever received \$3,000.

But there's a little known insurance provision you've probably never heard about. And the airlines aren't exactly rushing to tell you about it. In fact, not one single airline even advertises this provision, even though it's available to every single passenger. It's something called "excess valuation." When you get to the airport, ask the counter agent for this little known option called "excess valuation." It provides up to \$5,000 additional coverage, at a rate of about \$1 per \$100 in value. If you purchase excess valuation, you will be asked to describe the contents of the bag. It's well worth it if the airline does lose your bags.

Non-refundable insurance

Some policies also offer straight coverage if you buy the non-refundable airline ticket and then can't use it and don't want to be hit with the minimum \$100 change fee. This runs about \$13 per \$100 of coverage. An expensive premium, but still worth it if you really think you might have to change your trip once you purchase your ticket.

Adventure/extreme sports travel

In most cases, there are exclusions on basic travel insurance when it comes to adventure travel. That means specifications on how high is the mountain you're climbing, and how far are you scuba diving. However, third-party travel insurance can offer additional coverage for adventure and extreme sports—even professional sporting events can be covered, but it will cost you.

Outcomes sought for students taught in active learning classes include whether they are introduced to and learn one or more aspects of scientific discovery—scientific methods, science as an iterative process, group-problem solving, critical thinking, communication of scientific ideals, as examples

Program assessment will also involve measuring changes in attitudes towards, and philosophies of, scientific teaching. This process will include comparing statements written before and after the training program, responding to survey questions, and rating an individual's ability to develop active learning strategies, employ myriad assessments, and foster inclusive classrooms—ones that are attentive to student diversity and where teachers engage with problems in context, including socioeconomic, international and global issues as well as those reflecting race, gender, and ethnicity.

Finally, we will also measure other criteria such as the graduate students' time-to-degree and conduct longitudinal tracking of career trajectories.

V. Outcomes - Documentation and Dissemination

Explaining the “how” and the “what” of the success of the Yale Model will be crucial, but we also need to understand the “why.” For example we will focus on:

Quantitative and qualitative changes in faculty participation: we will encourage a few early adopters who have success and by example they inspire their colleagues to participate. What level of interest do the new teaching paradigms generate and how quickly are they adopted? Do the innovations prove exciting to faculty as well to students? Do the new approaches become the “new normal?”

Different attitudes towards undergraduate science teaching: Yale has a very strong college teaching identity, but has that extended to the sciences? Are science faculty judged more on their research or advanced teaching than on undergraduate teaching, particularly at the introductory level? Are undergraduate teaching and mentoring as well regarded in tenure and promotion decisions? If not, would attitudes and outcomes change?

Extending REAL Beyond Yale

A desired outcome of the Yale Model will be to extend to research universities across the country the innovative science teaching platform our program envisions. As an initial step, the present Rainforest Expedition and Laboratory (REAL) program will be expanded to other universities. There is already considerable interest from colleague institutions and Professor Strobel is becoming a national resource on the methods for developing and delivering inquiry-based undergraduate courses. The course has proved successful enough and has warranted sufficient interest that making it into a “franchise” of sorts has significant merit. The potential also derives from the expectation that the concept of ownership as a platform for undergraduate

Credit card coverage

If you book your trip on a credit card you may already be covered in many cases. But more often than not, your basic credit card coverage will be limited to flight accident insurance, rental car insurance or limited baggage insurance. Be sure to read your card's terms and conditions, or call your credit card provider's toll-free line for guidance.

Terrorism tips

Read the policy wording carefully. If war breaks out, or there is a terrorist act, are there clauses that essentially void your policy? Very few policies cover trip cancellation for reasons of any kind. Most policies now include "force majeure" clauses. For example, most policies now still cover trip cancellation if the U.S. State Department issues a travel warning. Also many policies only cover you for your trip if an act of terrorism occurs in the specific country you're traveling to or from. And they set limits on how close an attack has to be to your destination before it goes into effect. You generally must buy the policy before violence erupts to be covered. But almost all policies will not cover any losses caused by war or threat of war.

Call and talk to the agency personally, ask them the specific questions you have before your trip, to put your mind at ease. Some insurance plans cover you only if a travel company formally files for bankruptcy protection. (Not every policy covers every bankruptcy.) Other policies leave it up to the U.S. State Department, law enforcement agencies or news media outlets - not you - to define what constitutes a terrorist attack, foreign or domestic.

Understand that most insurance policies won't cover last-minute anxiety. After the Sept. 11 attacks, for example, Travel Guard reimbursed customers who canceled trips because they were afraid to fly. While Travel Guard felt it was the right thing to do, it's unlikely the insurer will do it again. It was the costliest event in the history of that company.

To buy, or not to buy?

Compare the cost of the trip versus the cost of the policy. If you just bought a \$200 airline ticket, is that worth covering? If you paid for it with a credit card, and the airline ceases to operate before your flight, you're already covered - under federal credit laws - by your own credit card company, since you bought or contracted for a service which you didn't get.

Look for a policy with a travel insurer that is independent from your tour operator and is licensed by your state. Many cruise lines and tour operators offer insurance, often at lower premiums than those charged by outside insurers. But if the cruise line or tour company goes out of business, there may not be money to cover your claim.

If flight or cruise delays make you want to cancel, you may be out of luck. Read the fine print, as with some policies, more than half of your vacation has to be delayed before you can cancel and be covered.

science education can be readily adopted by other institutions, both nationally and internationally.

Dissemination will occur in numerous ways. Professor Strobel is already highly sought after as a keynote speaker and presenter at seminars in colleague institutions throughout the country. He is presently in conversations with several institutions to implement a REAL-based program including University of Texas at Austin, Miami University of Ohio, and John Hopkins University. Based upon experience with these partners, Yale will identify additional dissemination sites over the next five years including the possibility of expanding into a liberal arts college and a community college.

We anticipate that dissemination of the newly designed inquiry based courses will follow a pathway similar to Professor Strobel's REAL course. However, Yale will also consider other opportunities for engaging our colleagues such as an annual conference where the outcomes and assessment of the Yale Model are presented. In addition, we will continue to make results widely available through publications. Another idea under consideration is the creation of a website accessible to all partner institutions to provide a forum for exchange of ideas and comparison of results.

Dissemination of Scientific Teaching through Regional HHMI Summer Institutes

The Center for Scientific Teaching will expand to allow growth from the present 20 students to enable 80 students to participate in training by year 5. It will also increase dissemination of its program content by amplifying the amount and variety of Center publications and informational resources, including guidebooks, websites, webinars and videos, making the Institute content more widely accessible

The Request

Yale is eager for the opportunity to transform scientific teaching and believes in the potential of the Yale Model. Through expanding inquiry-based and new lecture courses, we expect to attract and retain many more students in the sciences. The commitment to undergraduate teaching is already deeply imbedded in Yale's culture. The opportunity to improve upon teaching skills through learning the most current cognitive approaches in a program located on campus, will be highly compelling for faculty, post docs and graduate students. We believe that the Yale Model comprises the requisite components for success: a highly motivated and well-positioned leadership team; a deep understanding of and experience with the issues; the passion for finding a solution; and a robust and determined strategy.

Yale respectfully requests that the Robina Foundation consider support for the Yale Model to transform undergraduate science teaching in the projected amount over ten years of \$24M. For the first five years, we are requesting approximately \$12M. The five year time period allows for the first class that has experienced the transformation to graduate and thus the opportunity to completely assess the impact of each of the components. The program for the second five year period will be designed with these results in hand. The University would be honored to partner with the Robina Foundation in this transformative endeavor.

Do you need travel insurance?

Advice on when and when not to buy various coverages



Peter Greenberg
TODAY Travel Editor

For years, it was the great unmentionable in the travel transaction: insurance. Travel agents were afraid to bring up the subject of travel insurance for fear of losing the overall deal. It was considered a negative.

Not anymore. Whether it's your trip, your possessions, your luggage, or your health, travel insurance — and most important, the right kind of travel insurance — has become an essential item to pack for smart travelers. And if you don't buy travel insurance — or the right kind — more than your trip could be ruined.

According to the U.S. Travel Insurance Association, about 30 percent of Americans purchase travel insurance, an increase from 10 percent before 9/11. The top three reasons are: peace of mind, protection against the unexpected and concern over losing the financial investment in a trip. Some 70 percent of cruisers buy travel insurance.

While a majority of those who don't buy travel insurance are familiar with flight and trip cancellation insurance, many people are unaware of travel health insurance, baggage coverage and medical evacuation insurance. Even among travel insurance buyers, only 50 percent were aware of medical evacuation insurance.

Reasons to buy travel insurance:

1. Your flight has been cancelled.
2. Your bags are lost and your medication is in it. You need to have an emergency prescription filled.
3. Your passport and wallet are stolen, and you need emergency cash and a replacement passport.
4. You're involved in an accident and adequate medical treatment is not available. You need medical evacuation.
5. You need to cancel your trip due to illness.
6. Your cruise line, airline or tour operator goes bankrupt. You need your non-refundable expenses covered and to get to your destination.
7. You have a medical emergency in a foreign country.
8. A terrorist incident occurs in the city where you're planning to visit and you want to cancel your trip.
9. A hurricane or earthquake forces you to evacuate your resort, hotel or cruise

Assessment Tables

The Yale Model for Transformation of Science Education Undergraduate Learning				
Initiative	Lead Faculty Member	Assessment		
REAL courses	Strobel	Student surveys Interviews Performance on nationally approved questions to test competency Longitudinal tracking of science courses taken, graduate study, and career choices;		
First-year "Biological Chemical Diversity" Sequence	Miller, Phillips, and Handelsman			
Boot camp				
Semester I				
Semester II				
Evolution-in-action	Turner			
Leveraging Field Work	Prum			
Appropriate Technology for Developing Countries	Morrell			
Spectacular Undergraduate Science Courses	Donoghue			

Travel Insurance Waiver

PLEASE READ CAREFULLY

I _____ (full name) choose to decline insurance coverage and will personally assume *full responsibility* for any financial loss associated with my travel arrangements. I understand the examples below could result in the loss of our travel investment and/or require more money to correct the situation. I also acknowledge without insurance, there is no way to recoup my investment.

- My flight(s) have been cancelled and my hotel and tours are nonrefundable.
- I need to cancel my trip due to illness.
- A hurricane, volcano or earthquake occurs while traveling and I'm stranded.
- My cruise line, airline or tour operator files for bankruptcy.
- A terrorist incident occurs at the destination I planned on visiting.
- I have a medical emergency in a foreign country and need medical attention or evacuation.
- My bags are lost and my medication is in it. I need to have an emergency prescription filled.
- My passport and wallet are stolen, and I need emergency cash and a replacement passport.

☐ I've changed my mind. I'd like to learn more about finding the right coverage for my needs.

☐ I decline to purchase travel insurance and assume ALL FINANCIAL RESPONSIBILITY.

NAME _____

SIGNATURE _____

DATE _____

The Yale Model
for Transformation of Science Education
Graduate Student, Postdoctoral, and Faculty Training

Initiative	Target Group	Activity	Assessment
Yale Summer Institute	Faculty-postdoc partners	Attend the Yale Summer Institute to learn scientific teaching approaches	Surveys Interviews Measure time-to-degree (graduate students) Longitudinal tracking of career trajectory
Inquiry-based course development	Faculty-postdoc partners	Design and teach new or revised course using active learning	
Course – “Scientific Teaching”	Graduate Teaching Fellows	Learn about scientific teaching approaches	
Instructional materials development	Graduate Teaching Fellows	Develop instructional materials that can be used in discussion sections of undergraduate course	
Design and implementation of discussion section for existing or new course	Graduate Teaching Fellows	Teach discussion sections with material they and other Fellows developed.	
Plant and Microbial Sciences Graduate Training Program	Graduate students	Create new graduate program to experiment with teaching training as a required aspect of graduate training	

Easter Island-
900 carved stone statues called
Moai weigh 17 tons each



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TravelBeyond



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Matt's Passe...doc (47.5 KB)



Guest inform...ocx (147 KB)



208108 Pre...0.pdf (187 KB)



Travel Insura...pdf (105 KB)



Matt's TRAV...doc (48.0 KB)

TRAVEL BEYOND TERMS AND CONDITIONS

RESERVATIONS AND PAYMENTS: Payment of a non-refundable deposit of 25% of the fare, along with a completed and signed **Passenger Reservation Booking Form**, **Trip Cancellation Insurance Acceptance Form** and a completed and signed **Terms and Conditions** are required in order to confirm your reservation. Upon receipt of your completed forms and your deposit, we will, subject to availability, reserve your place on your selected adventure. The balance of the trip price is due not later than 75 days prior to departure.

LAND CANCELLATION AND REFUND POLICY: Travel Beyond policy is based on the most stringent refund policies of our preferred ground handlers. Deposit money is forwarded to these ground handlers shortly after booking. Travel Beyond will work with due diligence to receive refunds for any unused services, but can not guarantee refunds beyond the limits of these terms and conditions. The cancellation charges, expressed as a percentage of the total trip cost, are as follows:

- More than 75 days: 100% of your deposit.
- More than 44 days: 50% of the total trip cost.
- Less than 45 days: 100% of the total trip cost.

More liberal cancellation policies will often be quoted on your sales invoice so please read your sales invoice carefully and speak to your agent! Should you fail to join a tour or join it after departure or leave it prior to its completion, no tour fare refund will be made. There will be no refunds from Travel Beyond for any unused portions of the tour or occasionally missed meals and sightseeing. The above policy applies to all travel arrangements made via Travel Beyond.

AIRFARES & DELAYS: Airfares are subject to change without notice prior to payment and ticketing. Travel Beyond will make every reasonable attempt to advise you of schedule changes affecting your itinerary. Travel Beyond is not responsible for damage or loss of baggage and property. Any and all claims for any loss or injury suffered on any airline must be made directly with the airline involved and not Travel Beyond.

PASSPORTS & VISAS: International travel requires a passport valid 6 months beyond your intended return travel date with at least two adjoining blank pages remaining in your passport. Travel Beyond cannot be held liable for visas and/or passports which were not verified and processed by our agency.

NOT INCLUDED: (varies by itinerary): Insurance premiums for trip cancellation, non-refundable or penalty-carrying airline tickets, alcoholic beverages (unless specified), personal laundry (unless specified), gratuities to guides and to camp staff, optional meals, travel visas and passport fees.

Passenger Signature

Date

Printed Name

ROBINA FOUNDATION BUDGET CONSIDERATIONS

February 19, 2011

	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Inquiry based course expansion						
Assumes costs for two courses in year 1 increasing incrementally to costs for 10 courses in year 5*	105,000	225,000	275,000	405,000	455,000	1,465,000
Pre-Frosh Summer Orientation		25,000	25,000	25,000	25,000	100,000
Lab Expenses average of \$25K/course	25,000	100,000	150,000	200,000	250,000	725,000
Office supplies/Publication costs	10,000	10,000	10,000	10,000	10,000	50,000
Inquiry Based Expansion Total	140,000	360,000	460,000	640,000	740,000	2,340,000
Lectures						
Release time - one summer month, \$15K per professor	30,000	15,450	15,914	16,391	16,883	94,637
Lab/Field Expenses (Assumes \$1K per student. Not every lecture will have a lab)		100,000	200,000	200,000	300,000	800,000
Online Development		20,000	20,000	20,000	20,000	80,000
Lectures Total	30,000	135,450	235,914	236,391	336,883	974,637
Training for post docs and graduate students						
Post doc stipends - \$45K plus fringe to assist with teaching	178,200	244,728	315,087	454,356	534,842	1,727,213
Graduate student stipends - graduate students \$25K plus fringe	165,000	271,920	385,107	504,840	594,269	1,921,135
Training Total	343,200	516,648	700,194	959,196	1,129,110	3,648,348
Center for Scientific Teaching						
Summer Salary - one month for 7 professors	105,000	108,150	111,395	114,736	118,178	557,459
Staff to teach scientific teaching 2 staff members @ \$100K/year	200,000	206,000	212,180	218,545	225,102	1,061,827
Administrative Support	60,000	61,800	63,654	65,564	67,531	318,549
Center for Scientific Teaching Total	365,000	375,950	387,229	398,846	410,811	1,937,835
Assessment	100,000	103,000	106,090	109,273	112,551	530,914
Assessment Total	100,000	103,000	106,090	109,273	112,551	530,914
Dissemination	200,000	206,000	212,180	218,545	225,102	1,061,827
Dissemination Total	200,000	206,000	212,180	218,545	225,102	1,061,827
Grand Total Direct Costs	1,178,200	1,697,048	2,101,606	2,562,251	2,954,457	10,493,561
Indirect Costs @12%	141,384	203,646	252,193	307,470	354,535	1,259,227
GRAND TOTAL DIRECT AND INDIRECTS	1,319,584	1,900,694	2,353,799	2,869,721	3,308,992	11,752,789

*Course costs vary depending on international or domestic travel

**Inflation is included in the Program Administration salaries at 3% per University guideline.

DRAFT

A Concept Paper for the Robina Institute on Criminal Law and Justice

January 9, 2011

The University of Minnesota Law School proposes to create the Robina Institute on Criminal Law and Justice, with funding for an initial period of six years; an application for further funding for a longer period may be made on the basis of the Institute's performance over its first four years. This document describes the Institute's basic structure (s. 1); the context that makes its creation both important and likely to be fruitful (s. 2); the Institute's aims (s. 3); how it will be organized to achieve those aims (s. 4); how its success will be defined and assessed (s. 5); and how it will be able to continue after the end of funding from the Robina Foundation (s. 6).

1. *The Institute*

The Institute will be based in the University of Minnesota Law School.

Personnel will include—

- a director and an assistant director: full-time tenured faculty (the director a senior scholar, the assistant director a more junior scholar), who will give intellectual leadership and direction.
- existing senior and mid-career criminal law faculty at the University of Minnesota Law School (Blumenthal, Duff, Feld, Frase, Green, Reitz, Tonry, & Moriarty).
- one or two entry-level faculty appointments, in addition to one criminal law clinical law appointment to advance experiential learning capacity in the criminal law arena.
- a small number of visiting assistant professors (VAP's), targeted at post-doctoral students with speciality in the criminal law field.
- a full-time administrator;
- faculty from other departments in the University with relevant interests and expertise in criminal justice (political science, sociology, philosophy) and other local law schools;
- prosecutors, government officials, and practitioners with an interest in criminal law theory and policy;
- a management board composed of scholars from the Law School and from elsewhere in the United States (including the directors of the various research streams, discussed below), and appropriate local practitioners and policy makers.

The Institute's central functions will include the following activities—

- the initiation of, and pump-priming support for, coordinated research in a number of streams dealing with different aspects of criminal justice;
- the advancement and maintenance of a preeminent role for the University of Minnesota Law School in curricular developments and innovation in the criminal law and criminal justice;
- the development of experiential and external learning opportunity for students interested in criminal law and criminal justice while at the law school;
- the provision of fellowships for senior scholars, junior scholars, early career researchers, and policy makers and practitioners;
- the organization of a major annual Robina Conference;
- the development of a web site to assist the coordination and dissemination of research and curricular innovation;
- the development of appropriate links between researchers, policy makers and the public, and the dissemination of Institute reports and proposals to academics, policy makers, news media, and others in a position to influence the development of criminal law and procedure.

These activities are sketched in a little more detail in s. 3 below. A central aim is the development and strengthening of boundary-crossing connections and conversation: between researchers from different disciplinary backgrounds, different jurisdictions, and different traditions of criminal law theory; between scholars and policy makers and practitioners; between researchers and students. The international dimension, especially connecting American and European thought, is crucial.

2. *The Context*

Several features of the local, national and international context make this a very appropriate time and place to create such an institute. Part of that context is the climate of crisis that surrounds criminal law and criminal justice both in the US and elsewhere. The perceived crises include—

- *Overcriminalization.* Our criminal law is constantly expanding, as legislatures seem prone to reach for criminalization as a first rather than as a last resort. More and more people thus become liable to conviction and punishment for an ever wider range of conduct, conduct that is often increasingly remote from the harms or mischiefs with which the criminal law is properly concerned. More fundamentally, we have lost any understanding that we once might have shared about the proper aims of criminal law and the role it should play in a modern democracy.
- *Policing and Prosecuting.* A further effect of an ever-expanding criminal law is that police and prosecutors are forced to exercise an ever-wider discretion in deciding which cases to investigate, whom to prosecute, and on what charges. Such discretion has obvious dangers: the danger of selective, discriminatory police attention that bears especially harshly on some (often disadvantaged) groups; the danger that prosecutors will choose cases, charges and

plea-bargains on the basis of convenience and economy of effort, or of actual or perceived bias, rather than of justice.

- *Criminal Process.* Overcriminalization also undermines the criminal process and the criminal trial. Instead of a process through which alleged wrongdoers are called to answer to appropriate charges and are convicted and punished only after a fair process in which they have a chance to make an answer to those charges, they are too often processed through a system of plea bargaining that has little to do with justice or the truth of the charges that they face, and more to do with the cost-effective control of an expanding criminal population.
- *Criminal Punishment.* The most dramatic effect of overcriminalization is over-punishment, especially when that punishment so often consists of imprisonment, and when the lengths of prison terms are constantly ratcheted up. It is by now a commonplace to note, and to deplore, the massive difference between imprisonment practices (the number and per capita rate of people in custody; the length of time they are held) in the US and those in most other countries—in particular those in other western democracies. It is also worth noting the very large numbers of people in the US who are in other ways under the restrictive control of the criminal justice system (for instance on probation). It is also a commonplace to note, and to deplore, the great over-representation in prison and other custodial populations of members of minority groups and of members of socially disadvantaged groups.
- *After Punishment.* Punishment effectively continues for many offenders after the completion of their formal criminal sentence. They might notionally have “paid their debt” to society, but they do not gain the readmission to ordinary civic life that the metaphor of debt-paying suggests: they may be subject to further legal restrictions (including disenfranchisement, which is of enormous symbolic importance); they are also likely to face a range of economic and social barriers that make resocialization almost impossible.

The proper role of the criminal law in a free society is arguably to define a limited range of public wrongs (wrongs which properly concern the political community as a whole); to provide for the investigation of such wrongs and to call to account those who are alleged to have committed them through a fair criminal process; and to convict and punish those proved guilty of such wrongs through such a process. The criminal law that we have now has moved further and further away from its proper role, to expand in ways that must create serious moral doubts about its legitimacy; it has done so without adequate public discussion of whether that narrower vision of the criminal law’s role is sustainable, or of how it should be revised or replaced. We are left with a system, or a collection of systems, whose proper functions or purposes have become quite unclear; whose operations are certainly expensive and harmful, but whose benefits are far from clear; and whose legitimacy is increasingly called into doubt both by those subjected to the law’s coercion and by those in whose name the criminal law claims to act.

A second, more hopeful, aspect of that context is that there is no lack of intellectual resources to address the various crises of criminal justice. In the US a large number of researchers and scholars are engaged, from different disciplinary backgrounds and with different agendas, with aspects of criminal justice, and are producing both incisive diagnoses of our current malaises and innovative ideas for how to tackle them. Some of these researchers, notably some of the

internationally recognised leaders of research in sentencing and penal policy, are already based in the University of Minnesota Law School. Outside the US—especially in Canada, in Britain, and elsewhere in Europe, where problems akin to those facing the US have been tackled in different ways, on the basis of political and moral ideals that should resonate with American thinking—there is also a wealth of creative thinking about the proper purposes and workings of criminal law. *What is missing is the kind of institutional structure (and resources) that would enable these researchers and scholars to work together more effectively; to engage effectively with policy makers and practitioners; and to train new generations of students and scholars who can take the work forward.* One thing that makes the need for such a structure particularly acute is that productive research in this area must be genuinely interdisciplinary and inter-jurisdictional: it must mobilise the resources of a range of disciplines, including law, criminology, philosophy, political science, and history; it must involve conversations and explorations between different countries and different legal traditions. What is required is nothing less than a rethinking of criminal law—of its proper aims, of its place in a contemporary democratic polity, of the principles that should guide and structure its operations. Such a rethinking will need to be historically situated, empirically grounded, and informed by deep normative theorizing; it can be achieved only collaboratively, through extensive conversations and explorations reaching across disciplinary and jurisdictional boundaries. But these kinds of collaboration are very hard, often impossible, to secure and maintain without appropriate institutional resources.

A third, more local aspect of the context is the existing research strength to be found in the Law School at the University of Minnesota, where scholars have for some years been engaged in just the kind of empirically grounded, theoretically informed, policy-oriented research that is needed. Scholars such as Michael Tonry, Barry Feld, Richard Frase, and Kevin Reitz, have produced seminal work in areas such as sentencing policy and juvenile justice. The criminal law faculty has recently been strengthened by the appointment of Antony Duff, who is internationally recognised as a leading theorist of criminal law and punishment, and who brings with him experience of running large interdisciplinary research projects in the UK (on the criminal trial and on criminalization) as well as close connections to a European network of criminal law theorists. Close relations have also been established with two leaders in criminal law scholarship and policy-oriented research in Britain—Andrew Ashworth and Nicola Lacey (All Souls, Oxford); they will be regular visitors to Minneapolis. In addition to this core group of senior scholars, the Institute would support the appointment, mentoring and development of the next generation of leading scholars/teachers in the criminal law area; this will enable the Institute to sustain and grow its intellectual and policy influence nationally and internationally. The Law School also has internationally recognised groups working in international law and human rights and in law and science, with which fruitful collaborations will be possible (the burgeoning field of international criminal law is a key focus for research, and important new work is being done on the question of what impact science, especially neuroscience, should have on the content and operations of the criminal law). The Law School's existing reputation as a center for criminal justice research, and the wealth of relevant experience among its faculty, make it an ideal place in which to create a new Institute that will transform research in criminal justice in the U.S.

3. *The Institute's Mission*

The Institute's mission will be to foster the systematic, critical, interdisciplinary, international, and integrated policy-oriented study and teaching of criminal law—

- *systematic*, because what is needed is an institutional structure that will bring together some of the often disparate kinds of research being done in criminal justice (e.g., to bring together work on criminal procedure and work on substantive criminal law);
- *critical*, because what is needed is not just to understand where we are now, but why we have the problems we do and how we can pursue viable reforms to address those problems;
- *interdisciplinary*, because any serious critical work of this kind will need to draw on a range of disciplines, to understand the operations and underpinnings of our present systems, and to explore plausible directions for reform;
- *international*, because we can gain a clearer understanding of our present situation, and of possible directions for change, by drawing on the thought and experience of other countries, and because the increasing transnational and international dimensions of criminal law make international collaboration and dialogue ever more important;
- *policy-oriented*, because an essential aim must be to engage productively with policy-makers and practitioners of criminal justice in ways that make a difference to their understanding of what they are doing, and that help them rethink criminal law in practice.
- *Integrated*, because in addition to applying these dimensions to scholarly and policy arenas we will also train and teach the next generation of leading practitioners, policy-makers and scholars, making Minnesota the leading educational home for thinking about, teaching in, and changing the criminal law.

The Institute will connect deep theory to policy and practice, and bring together researchers from different disciplinary and national backgrounds to work together fruitfully on common themes, to engage with policy-makers and practitioners about practicable ways of responding to the serious problems that we face, and to equip new generations of students to tackle those problems. This linkage between policy and practice will enhance and revitalize the student experience and students will be the direct beneficiaries of an invigorated and challenging environment, advancing the broader model of arcs to excellence that pervades the Law School's approach to scholarly and teaching distinction.

4. *The Institute's Operations*

The Institute's main proposed functions were outlined in s. 2 above; a slightly more detailed account of them is provided here.

Research Streams

The research streams will build on the existing scholarly and policy strengths of our criminal law faculty, augmented by a number of strategic appointments bringing greater depth and diversity to the group of criminal law scholars at the Law School. This generational approach to new

appointments will be particularly important in developing a balanced cohort of scholars, where generational leadership and the transfer and development of leadership skills will be a core element. The research streams give capacity for a depth of coverage and expertise at the Law School which will be unrivalled by any university in the United States, and arguably elsewhere. In terms of its scholarly and policy work, the Institute will create and provide the initial funding for a series of research streams, each dealing with one dimension of criminal justice. A possible set of streams is—

- **Substantive criminal law:** the proper scope of the criminal law, its relation to other modes of legal regulation, the principles of criminal liability. (*Duff's current (UK-based) project on the principles of criminalisation is one example of a project that could fall within this stream; other examples include the criminalisation of drug possession and use, and the growing use of strict liability offenses.*)
- **Criminal process:** policing, prosecutorial activity, and the criminal trial (especially the role of plea-bargaining). (*Tonry's new project on comparative prosecutorial practice could feed into this stream, as could Feld's research on police interrogation of juveniles, which he plans to expand to cover interrogations of adult suspects.*)
- **Sentencing and alternative dispositions:** the punishments that should be available to courts, sentencing principles, possible non-punitive dispositions. (*Reitz's ongoing work on a new version of the Model Penal Code sentencing provisions and Frase's work on a principled framework for sentencing are examples of projects that could fall within this stream; further work on non-custodial punishments will also be important.*)
- **International criminal law:** the foundation, scope and authority of international criminal law, and its relationship to domestic criminal law. A particularly important and developing area is the influence that the development of the International Criminal Court and other hybrid courts are having on the application of domestic norms and procedures. There is substantial expertise on the international law faculty in the area of international criminal law (Gross, Green, Ni Aoláin, & Wippman) and this research stream offers the capacity to leverage the research and policy strengths of the Law School in two concentrations of scholarly strength in a complimentary way. (*Gross & Ni Aoláin, are working on domestic complementarity of international criminal law; Green is working on transnational legal accountability; Duff has also begun work on issues concerning the authority of international criminal tribunals that will feed into this stream.*)

In each stream the emphasis must be on new thinking—on new ways of conceptualizing criminal law and its role in contemporary politics, new ways of thinking about our responses to crime. Two goals are paramount; 1) to influence policy making at both the domestic and international level, and 2) to apply insights from theory to the teaching of a new generation of students whose understanding of the function, capacity and future of domestic and international criminal law will have influence far beyond the Law School.

Each stream will be led by two directors whose main responsibility will be to stimulate, assist and coordinate collaborative research projects on topics within the stream, which would include

the identification of suitable researchers, both within and outside the US, to pursue such projects. In advancing the goal of solidifying and sustaining the influence of the Law School, particular emphasis will be placed on utilizing our existing scholars and giving prominent roles to newly appointed scholars in the leadership of the Institute and its various streams. We place particular importance on fostering the new generation of scholars and thinkers in the criminal law, developing and honing their leadership skills.

However, given our broader ambitions for the project and the sense that the influence of the Law School can be national and international there is an important role for researchers from elsewhere in the US in leading roles: senior researchers from other universities will be invited to co-direct some of the research streams. To this end, to facilitate course and administrative relief for our own as well as some external faculty, the Institute will offer some initial funding to cover the cost of some of the directors' time and of preliminary meetings and workshops; an important task for the directors and the researchers will be to identify other sources of external funding for their projects.

Coordination and collaboration between the streams will be crucial to the success of the whole enterprise: the problems of our criminal justice systems can be effectively tackled only by a properly connected series of projects that can draw on and learn from each other. This will be one task for the Institute's director, assisted by regular meetings between the directors of all the streams and the management board, and by the web site and the annual conference (see below).

Academic Staff

Faculty Appointments: The core of the Institute's mission will be strengthened by the addition of one or two outstanding early career scholars. With support from the Robina Foundation, the Law School has already added an internationally recognized senior scholar (Duff) and is building visiting relationships with two of the leading scholars of criminal law in Europe (Ashworth & Lacey). Robina has also supported a number of valuable research initiatives in the criminal law. This strategy has augmented our visibility in the scholarly and policy fields and means that with our existing senior scholars (Tonry, Duff, Frase, Reitz, Feld), we have the strongest group of senior scholars in the criminal law in the country working together in one institution. However, we are conscious that without the presence of a younger cohort of scholars, we may lose the opportunity to build and influence the next generation of scholars and teachers.

Clinical Appointments: In tandem, we view criminal law as a key site for advancing skills based learning, particularly for those students wishing to pursue some form of criminal practice in their careers (e.g. white collar crime, criminal defence, public prosecution). To that end, the Institute would also support an expansion of our clinical offerings by appointing one full time clinical member of the faculty. The clinical appointment would be fully integrated into the research life of the Institute, and the clinical program would offer exciting opportunities to advance and address 'real-life' problems encountered in the broader criminal law research streams.

Visiting Assistant Professors: To help develop the next generation of leading teachers and scholars in the United States and elsewhere, the Institute would also support the appointment of one or two Visiting Assistant Professors (VAP) in criminal law and criminal justice each year. These appointments would typically be post-doctoral students preparing to enter the teaching market. These positions are modelled on the VAP programs of other leading universities, none of which has a program specifically focused on the development and enhancement of research and teaching in the criminal law. These visiting faculty would undertake a major research project as part of one of the Institute's research streams, and would have the substantial benefit of being mentored by the leading criminal law scholars in the country. The VAP program offers the route to 'export' to other Law Schools the Minnesota model of teaching and policy-oriented research in criminal law.

Fellowships

The Institute's mission will also be furthered by the funding of various fellowships, to be held at the Institute.

- ***Robina Visiting Professors:*** These will be high profile, internationally known researchers in criminal justice, from the US and from overseas. They will normally spend between two and four weeks in the Law School (but longer visits will be possible) during which they will work with other Institute members and fellows; pursue their own projects and receive feedback on them; give at least one public lecture; participate in a workshop or conference on a theme connected to their work; and put on or contribute to an intensive seminar course for students at the Law School.
- ***Robina Visiting Fellows:*** These will be more junior scholars; the aim will be to invite some of the rising stars in criminal justice research, from the US and from overseas. They too will normally spend between two and four weeks in the Law School (but longer visits will also be possible), during which they will work with other Institute members and fellows, pursue their own projects and receive feedback, participate in a workshop or conference, and put on or contribute to an intensive seminar course for students at the Law School.
- ***Robina Practitioner Fellowships:*** These will be held (either full-time for a short period or part-time for a longer period) by leaders in the criminal justice field—for instance, policy makers, legislators, judges, prosecutors, senior police officers, and journalists. The fellowships will enable the Fellows to step back from their daily work and reflect on the criminal justice issues with which the Institute will deal; to engage with other members and fellows of the Institute in conversations that will benefit all parties; and to engage with the Law School's students by offering seminars or contributing to courses.

This set of fellowships will serve a number of important aims. It will advance research and collaboration in criminal justice; it will help young researchers to establish themselves and to develop their skills; it will foster fruitful interaction between practitioners and researchers, and enable practitioners to reflect on their practice; and it will significantly enrich the criminal law curriculum for the Law School's students. It will also, of course, help to establish the Institute and the Law School yet more firmly as the center of criminal law research in the U.S.

Student Support & Opportunities

The Institute has a strategic and overarching role to play in generating support for students interested in the study and practice of criminal law and criminal justice. In this context, the broader strategic goals of the Law School with respect to student support dovetail with the utilitarian and pragmatic vision of the Institute. The Institute wants the best and brightest students with an interest in criminal law and criminal justice to come to the law school. When they graduate, we want their career choices to be driven by choice rather than debt. To that end, the Institute would provide —

- ***Student Fellowships in Criminal Law and Criminal Justice*** (10). These will fund 5 entering students with a demonstrated interest or experience in criminal law. The students will be selected with input from the Director and Associate-Director of the Institute working with the Law School admissions committee. The students will be identified as a cohort and will have a sustained relationship of support and mentoring from Institute faculty prior to and during their law school studies. A further 5 students will be competitively selected at the end of the first year for as Student Fellows, having during the course of their first year excelled in their criminal law studies, and demonstrated notable interest or external experiences in the criminal law.
- ***Robina Student Externships***: These will be held by students during the course of their J.D. studies. We envisage up to 20 student fellowships being offered each year to upper-class students with a demonstrated interest in criminal law, criminal justice and/or international criminal law. The Institute will help place the fellows in leading organizations engaged in criminal law reform or public interest oriented criminal law practice. Student Fellows will also be invited and expected to attend a range of Institute scholarly, research and policy events throughout the course of their fellowships.
- ***A capstone course*** embedded in one of the Institute's research projects: this will provide the students with a thorough, hands-on, introduction to criminal justice research, and to the task of connecting theory to practice.
- ***Special seminar courses*** taught by Robina Visiting Professors and Fellows: these will give students a chance to learn from and to engage with some of the leading people in the field of criminal justice.
- ***Research assistantships***: students will be selected to work as part-time research assistants on Institute projects, which will give them invaluable training.

Institute Physical Infrastructure

The addition of new faculty, as well as the range of activities, visitors and programs instigated by the Institute, will require dedicated and refurbished space at the Law School, to include office space for faculty, support staff, and visitors. Appropriate space will heighten the sense of community, deepen relationships, and facilitate academic, policy and student engagement.

Library Infrastructure

As the criminal law group and capacity expands at the Law School it will be necessary to expand the support structures that underpin the research and teaching enterprise. The library is to the social sciences as the laboratory is to the experimental scientist. The growth of faculty, the expansion of curricular offerings, and the extension of research streams will all require substantial support from the library. The Law School has been fortunate to have a reference librarian in the human rights and international law arena for many years; a similar degree of expert support will also be needed to address fully the research needs of an expanded faculty, a robust group of Institute-affiliated scholars, and the expansion of student course offerings.

The Robina Conference

The Institute will hold at least one major, international conference each year, to highlight the Institute's activities, to disseminate the results of research projects conducted under its aegis, and further to promote the interdisciplinary and international conversations on which productive research must depend. The theme of each year's conference would be drawn from one of the research streams, but it would also and crucially aim to strengthen connections between the different streams.

Communications and Web Site

To maximize the Institute's policy impact, it will be necessary to disseminate the Institute's research, reports, and policy proposals widely, with a particular emphasis on reaching the government officials, legislators, prosecutors, public defenders, scholars, and others in a position to influence the future development of criminal law and criminal justice institutions. To this end, the Institute will seek funding for the wide dissemination of its work. One key mechanism will be a dedicated web site. This site will become an important resource for members and fellows of the Institute, for those working on projects in the various themes, and for researchers and practitioners more broadly. It would serve to publicize research projects, workshops and conferences; to disseminate the results of research; to maintain useful data bases of information and links to other resources; and to enable those working on different projects in different streams to keep in contact.

A central aim of the Institute's communication efforts would be to build and maintain links between researchers and practitioners—to ensure that researchers are able to talk to practitioners about their concerns, and that practitioners are able and helped to interact with researchers and to benefit from (as well as contributing to) the Institute's research agenda and projects. The Institute will also find ways to engage the wider public in informed debate about criminal justice: since one obvious barrier to the reform of our criminal justice institutions is the strength of public opinion on the issues, we must find ways both of giving citizens a better and deeper understanding of the issues, and of facilitating more educated public debate about them. (The Community Workshops on the state budget that the Citizens League has been organizing in and around Minneapolis provide one good model of what might be done for criminal justice.)

5. Measures of Success

The Institute will have three sets of goals against which the extent of its success will be assessed.

- **Internal goals:** The simplest set of goals consists in the fulfilment of the functions specified in s. 4 above.

- **Research streams** will be designed and started in Year 1, and directors appointed within the first six months. By the end of Year 1, initial projects will have been planned within each stream; initial workshops will be held in Year 2. By the end of Year 4 each stream should have succeeded in obtaining external funding for at least one substantial project, and should have initiated at least two other smaller projects.
- **Fellowships:** The first fellows will be appointed during Year 1. The number of fellows in each category will depend on the level of funding.
- **Student opportunities** will be developed from the start: the capstone course and research assistantships will begin as soon as suitable research project have started; the seminars by Robina fellows will begin as soon as they are appointed.
- **Robina Conferences** will begin in Year 1, as major events to highlight the Institute's work: after Year 1, each will be based on work being done in one of the research streams, but will connect that work with the other streams.
- **The Website** will be designed during Year 1.
- **Policy makers** will be engaged from the beginning, through the management board and more informal contacts. Work on improving public engagement will begin in Year 1, and the first public meetings or workshops will be held during Year 1.

By the end of Year 6, each stream will have completed at least two substantial projects, and published their results.

- **Fund-raising:** As noted above, a key task for those working within each research stream will be to obtain external research funding for their projects, since the Institute will provide only initial, pump-priming funding. A further measure of success will therefore be the number and size of grants secured: given the difficulty of securing grants in the present economic climate, it will be a success if each stream has secured funding for two substantial projects by Year 6, and smaller grants for at least three smaller projects.
- **Changing the world:** The Institute's primary aims are also those for which success will be hardest to assess.
 - **Transforming research in criminal justice:** We can count the number of fellows who are appointed to the Institute, the number of researchers engaged in each stream, the number of grants secured, conferences held, books and articles published, and the number of citations these publications generate: but all these will have been worthwhile only if scholars can talk after a decade about the way in which criminal justice research has been transformed by the more systematic and interconnected depth that the Institute has made possible.

- ***Transforming student learning:*** We can count the number of students who benefit from the Institute's activities, but the success of those activities will lie in the improvement in the quality of the students who graduate from the Law School having specialized in criminal justice, and the difference they then make in their profession.
- ***Transforming penal thinking:*** We cannot provide a list of changes in penal policy, or in substantive criminal law or in the criminal process, that the Institute will aim to secure—partly because the question of what kinds of change are necessary and possible will be a central theme of the Institute's work, but also because the deeper aim is to transform the character of public debates and deliberations about criminal justice among politicians, policy makers, practitioners and lay citizens. It will take time to be able to point to particular changes that could be attributed to the Institute's work (e.g., adoption of a revised Model Penal Code that reflects Institute research and proposals). Our hope is that, looking back, those involved in criminal justice will be able to say that the Institute made a substantial contribution to deepening and improving the process of debating and formulating penal policy—both directly through the projects that it initiates and the conferences and workshops that it runs, and less directly through the activities and influence of the students, researchers and fellows who pass through it.

Progress in all these dimensions will be monitored by the management board: the Director of the Institute and the Directors of the research streams will make detailed annual reports to the board, which will also appoint external assessors to evaluate the Institute's work after three years and after five years.

6. *The Institute's Future*

This proposal seeks funding for an initial six years for the Institute, to give it time to establish its structure and activities and to begin to produce substantial research. If the Foundation allows this, an application for funding for a further four years might be made on the basis of a successful first four years. Ultimately, however, the Institute will need to become financially self-supporting—and should be able to do so.

- The Law School will eventually take over the costs of the Director's and the Assistant Director's posts: they will have been appointed to tenured posts in the Law School.
- An important role for the Director from Year 3 onwards will be to pursue other sources of funding for the Institute's future. If the Institute succeeds as it should, it should be possible to find financial support from other foundations and grant-awarding bodies.
- One merit of the proposed structure of the Institute is that it will be able to adapt to different levels of funding: the number of Robina fellows can be varied, as can the support provided to the different research streams.
- Given the funding that is now sought, the Institute will be well enough established, and will have gained a high enough profile and reputation, before that funding ends to be able to raise further funding for its own future work.

7. Conclusion

This is an ambitious (and expensive) proposal, but it is appropriate to the scale and importance of the problems to be addressed. The Institute could transform research in criminal justice in the U.S., thus making a major impact on some of the most important social problems that we face; it could be transformative for students and early career researchers, and thus for the future education and training of people to work in this area; and it could be transformative for policy makers and for a wider public, by deepening and enriching public debate and deliberation about criminal justice. It will enable us all—researchers, students, policy makers, lay citizens—to understand our present predicament more clearly; and it will facilitate and support research that will explore new ways of dealing with that predicament.

Executive Summary

A Concept Paper

The Robina Institute on Criminal Law and Justice University of Minnesota Law School

January 10, 2011

The University of Minnesota has the potential to create the preeminent program on criminal law and justice in the United States, and one of the strongest in the world. Everyone will win if that happens. The visibility and status of the University of Minnesota and its Law School will be enhanced, the Law School's faculty and curriculum will be strengthened, new opportunities for students will be created, relations with practicing lawyers and government officials will be enriched, and, not least, the Law School will be in a position to help transform research, doctrine, and policy concerning criminal law and justice in the United States. American criminal law, procedure, and justice are broken. The Institute will play a major role in fixing them.

The proposed Robina Institute is the mechanism for making these changes happen. It will be built around the Law School's existing senior criminal law faculty, augmented by promising younger faculty and strategic new hires. The Institute will establish on-going substantive—not pro forma, but substantive—collaborations with other leading criminal law programs in the United States and Europe. There will be collaborations with other University of Minnesota departments (government, philosophy, sociology, political science, history) and a steady flow of visiting professors, post-doctoral students, and distinguished practitioners. The Institute's work will be organized around 4 research streams: criminal law philosophy and theory, criminal procedure, sentencing law and policy, and international criminal law. Each will be led by joint coordinators, one from Minnesota and one from elsewhere; they will develop strategic, cumulative programs of research, conferences, law reform proposals, and publications. Annual Robina Conferences will highlight their work. The streams, and their work, will feed into a major reorganization of criminal law teaching and learning in the classroom, the law clinics, and student work opportunities. The rest of this summary provides background and highlights some program elements.

Background Factor (1). No other American law school could realistically propose such a program. Our senior criminal law faculty is often described as the strongest in the United States and possibly the world. Its breadth and depth of coverage are matched nowhere. In criminal law theory and doctrine, no other law school can match Antony Duff, Richard Frase, and Michael Tonry as a group. Nor can any law school match Frase, Kevin Reitz, and Tonry on sentencing law and policy. Barry Feld has few equals in juvenile justice and Perry Moriearty runs a cutting-edge juvenile justice clinic. The international criminal law group of Jennie Green, Oren Gross, Fionnuala Ni Aolain, and David Wippman, is extraordinarily strong. The Minnesota faculty is equally impressive in disciplinary breadth. Antony Duff is a world-class philosopher and

probably the leading specialist in criminal law theory. Michael Tonry is the leading criminal justice policy specialist on a law school faculty. Barry Feld is one of the two or three leading juvenile law scholars and the preeminent empirical researcher of juvenile justice. Susanna Blumenthal is a leading younger criminal law historian.

Background Factor (2). The American systems of criminal law and justice are a mess. Forty and fifty years ago, criminal law and procedure were glamorous, dynamic subjects. They attracted the most talented academics and the most idealistic students. The *Model Penal Code* served as a law reform model throughout the English-speaking world, the Supreme Court was celebrated world-wide for integrating human rights concerns and protections into criminal procedure, and the U.S. was admired everywhere as a beacon of progressive, humane criminal justice policies and practices. In 2011, it is different. With its three-strikes, life-without-possibility-of-parole (LWOP), and mandatory sentencing laws; an 800 per 100,000 imprisonment rate—8 times higher than the average of other developed countries; and one-third of black men in their 20s in prison or jail or on probation or parole, the United States is the exemplar of what not to do. Substantive criminal law and criminal procedure have atrophied as the Supreme Court weakened and muddled doctrine in response to the exigencies of the War on Drugs. In law schools, most of the glamour and excitement are long gone. BUT, that will all change. American criminal law and procedure, and criminal justice and sentencing policy, must change, and will. Minnesota can help show the way.

Potential Projects & Outcomes. The work plans of the separate streams will vary with their subject matter, but all will have large ambitions. Here are four examples.

1. **Substantive criminal law.** Criminal law theory may seem arcane. U.S. jurisdictions, however, need to rebuild their substantive criminal laws from the ground up, and they will need help doing it. The Model Penal Code provides essentially no guidance. It was written half a century ago to meet the needs of an era in which policy makers were guided almost exclusively by utilitarian aims. That world disappeared 30 years ago but the substantive (as opposed to the sentencing) parts of the Code, like flies in amber, endure unchanged and address the problems of a time long past. The work in the criminal law theory and doctrine track will in different ways—one more theoretical, one more applied—lay the foundations for a Model Penal Code for the 21st century.
2. **Mass imprisonment.** No one 30 years ago would have wanted, chosen, or worked to achieve the sentencing and corrections systems America now has. Far too many people are in prison and far too many of them are black and Hispanic. American states and counties can no longer afford to operate their overloaded and under-performing jail, prison, and probation systems. Yet no jurisdiction has done more than nibble at the edges of the problem. The sentencing and criminal justice strand will attack different facets of those problems and work at devising short and long-term solutions. The methods will include conferences, commissioned policy reviews and think pieces, original empirical analyses, formation of blue ribbon task forces, and professional dissemination of reports and recommendations.

3. **Technology transfer.** Other countries have frequently emulated particular American criminal justice policies. Examples include pretrial diversion, release on recognizance, community service programs, victim-offender mediation, and electronic monitoring. Others--zero-tolerance policing, LWOPs, three-strikes laws, capital punishment--have found few or no takers. Many other countries have faced and addressed problems that stymie American policy makers. Work in several of the strands will look at what U.S. policy makers can learn from other places. Products will include policy briefs and briefings concerning importable ideas.
4. **Basic knowledge.** All of the strands will encompass theoretical, policy, and practice issues, albeit with different emphases. Some will address basic knowledge. Here is an example. Since the early 1990s, crime rates have been falling throughout much of the world--the U.S., the other major English-speaking countries, all regions of Europe, most of South America, and South Africa--and no one has a good explanation why. The reason is not mass incarceration, capital punishment, or long prison sentences (only the U.S. in the West has those) or globalization, high unemployment, or economic recession (all countries are affected by these). The Institute will convene a multi-year initiative, the first anywhere, including policy makers, social theorists, econometricians, and historians to try to understand why crime is almost everywhere falling. A final report will explain what has been happening and why.

Collaborators. Two final introductory points warrant mention: collaborating institutions and enrichment of student experiences and opportunities. For each research stream, there will be an external co-coordinator and at least one continuing collaborating institution. Here are some illustrative possibilities. For criminal law theory, the inside coordinator would be Duff and the outsider Stuart Green or Douglas Husak (both Rutgers); the corresponding institutions would be Rutgers and Roskilde University, Copenhagen. For sentencing law and policy, the inside coordinator would be Frase or Reitz and the outsider Joan Petersilia, Stanford, or Andrew Ashworth, Oxford; the corresponding institutions would be Stanford and Oxford. For sentencing and criminal justice policy, the inside coordinator would be Tonry and the outsider Jeffrey Fagan, Columbia, or Hans-Jörg Albrecht, director, Max Planck Institute, Freiburg; corresponding institution: Max Planck Institute.

Teaching and students. The work of the streams will feed naturally into broadening the criminal law curriculum, strengthening the criminal law concentration, expanding criminal law clinical programs, establishing new degree programs, providing numerous opportunities for students to work for and participate in stream activities, and creating a variety of new job opportunities. There will be many opportunities for student placements and internships nationally and internationally. One example, concerning law reform: If the institute subsidized student internships, Minnesota faculty have the contacts to arrange summer placements, internships, and externships in most of the leading criminal justice reform organizations (examples include Human Rights Watch, the Vera Institute in New York, the Sentencing Project in Washington, the ACLU, the CATO Institute, various Open Society Institute affiliates nationally and internationally, and internationally active NGOs). Over time, those associations will provide rich networks of employment opportunity.

On Tue, Jan 18, 2011 at 1:20 PM, Penny Hunt <pennhunt@gmail.com> wrote:
Hello David,

When Tom, Kathleen and I talked yesterday about our meetings on Friday at the Law School, we all quickly agreed that the meetings were fantastic. You and your colleagues did a masterful job of structuring a day that met our needs, starting with the discussion of the context in which the University Law School operates, moving through the Law School's plans and position and then drilling down in areas of potential support from Robina. We appreciated your thoughtful development of the agenda and the skillful presentations during the course of the day. In addition to the more structured meetings, I particularly enjoyed meeting Jennie Green and the two students who received support from the Robina Foundation.

Tom, Kathleen and I discussed next steps/questions related to Robina's process with the Law School. We agreed that the Criminal Law Institute is interesting from an intellectual perspective and appears to provide the greatest opportunity at the present time for Robina to support a potentially transformative program at the Law School. Following are our comments/ questions regarding the Institute:

- Your written material on the Institute references funding for an initial six years for the Institute. During our discussions on Friday, you mentioned a cost of \$15 - \$20 million for the Institute over a 10-year period. Can you provide us with the amount you would propose for the initial six years, as well as some estimate of how that figure would be allocated among the various parts of the Institute and its initiatives?
- In the past, the Law School received funds from the University to match parts of Robina's funding. Will that kind of a match be available going forward?
- Notwithstanding the Institute's transformative potential, we wonder how Law School alums and others view the U's focus in this area. Since the Law School's Strategic Plan includes Criminal Justice as an area of special focus, we presume the Law School's Board of Advisors and/or the Campaign Cabinet discussed this, but would appreciate a better understanding of feedback you've received on the potential impact on the U's reputation, etc.
- Tom mentioned Robina's practice of engaging "readers" during the Foundation's consideration of grant proposals for the first round of multi-year grantmaking and suggested that this may be helpful with a proposal for the Criminal Law Institute, particularly to help Robina and the University gain the perspective of others. (This would, of course, occur later, and we would discuss this with you before proceeding.)

We also discussed approaching the Robina Board for a funding commitment at the February Board Meeting and want to make sure we understand the minimum commitment that would be helpful to the Law School. At the meeting you mentioned two figures: \$7 million to increase total commitments to \$30 million and \$12 million to increase the total to \$35 million. What amount should we focus on? As we also discussed at Friday's meeting, we want to make sure that the U wouldn't be short-changed by a request for an early commitment from Robina. Kathleen, Tom and I will continue to discuss this among ourselves and with you.

We anticipate that the Robina Board will provide Robina Grantees with multi-year funding of major initiatives, but will also be open to providing smaller, more limited grants. These could include continued funding of Post-JD Fellowships for a few years. We'll want to continue to discuss how to approach this.

I think that's it. Please feel free to get in touch with me to discuss our questions and comments and discuss next steps.

Warm regards,
Penny

February 5, 2011

Email from David Wippman

Dear Tom, Kathleen, and Penny,

Thanks again for taking the time to meet with us on January 14 and for your very helpful feedback following the meeting. I wanted to set out briefly some answers to the questions raised in your January 18 email. I would, of course, be happy to discuss these issues more fully whenever convenient.

- **Funding.** I am attaching a preliminary draft budget for the proposed Criminal Justice Institute. The amount proposed for the initial six years would be \$14,488,524. We are suggesting an initial six year period to allow the Institute time to establish its structure and activities. This would be followed by four years of additional funding that would bring the total over 10 years to \$19,541,944. We believe that once up and running, the Institute will be able to generate sufficient external funding to support much of its work during the final four years of Robina funding. Thereafter, we expect the Institute to be able to attract enough external funding to continue on a self-sustaining basis. We would suggest setting benchmarks to measure the progress of the Institute, with an initial review at four years. If the Institute is making appropriate progress, we would ask the Robina Foundation to commit the remainder of the funds requested (\$5,053,420). By holding the initial review at four years rather than at six, we will be in a position to adjust the Institute's activities should that be appropriate as a basis for securing the second funding tranche. An alternative would be simply to conduct the initial review toward the end of the six-year term.
- **University matching funds.** Unfortunately, the University has exhausted the funds it once had available for matching contributions to establish endowed chairs and it has discontinued its scholarship match programs. At present, no matching opportunities are available.
- **Impact on alumni and others.** The Law School's strategic plan reflects extensive alumni involvement and input and does identify criminal justice as one of four areas for future investment. But there is a broadly shared sense among our key alumni that the Law School should be known for strengths in multiple areas, of which criminal law should be one but not the only one. Following your January 18 email, I discussed this issue with both our Campaign Cabinet and our Board of Advisors. As you might expect, I heard a range of views. Pretty much everyone agreed that criminal justice is an area of strength in which the Law School could play a leading role in addressing critical social problems. Nonetheless, some would have preferred a greater focus on law and science (especially health law) as an area of strength that plays to an economic growth area; others would have preferred a greater focus on law and business, on the theory that it would generate additional community support and would position graduates for career success that would ultimately benefit the Law School. Overall, there was a fairly broad consensus that the Criminal Justice Institute would enhance the Law School's reputation, further its research and service missions, and provide important opportunities for students. At the same time, everyone agreed that we have strong needs in other areas as well, and felt strongly that a large investment in criminal law should be balanced by significant investments in other areas. It was with that in mind that I inquired whether we might seek support for other programs concurrently with funding for the Criminal Justice Institute.
- **Outside readers.** We would be happy to prepare a formal proposal with a full budget and budget narrative for review by external reviewers.
- **Early commitment.** At the time of our meeting, we had raised approximately \$23 million toward a tentative campaign goal of \$70 million. The University Foundation has suggested that colleges should build a nucleus fund of 50% of the campaign goal before beginning the public phase of the campaign. It was with that in mind that I mentioned the \$12 million figure. However, I would not wish to pursue an early commitment if it jeopardizes subsequent funding.

I would, of course, be happy to discuss these issues more fully whenever convenient.

All best, David

ROBINA INSTITUTE ON CRIMINAL LAW AND JUSTICE

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	TOTAL
PROGRAM ACTIVITIES											
Task Forces, Colloquia, Commissions											
External Co-Coordiators (4 tracks)											
Criminal Law Theory	80,000	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	730,976
Criminal Process and Procedure	80,000	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	730,976
Criminal Justice Policy	80,000	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	730,976
International Criminal Law	80,000	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	730,976
Senior Visitors (2 for 1 month)	40,000	40,000	40,000	40,000	40,000	50,000	50,000	50,000	50,000	50,000	450,000
Junior Visitors (1-2 for 1 month)	15,000	15,000	15,000	15,000	15,000	30,000	30,000	30,000	30,000	30,000	225,000
Practitioner Visitors (4 one week/year)	7,500	7,500	7,500	7,500	7,500	8,500	8,500	8,500	8,500	8,500	80,000
Annual Robina Conferences	40,000	40,000	40,000	40,000	40,000	50,000	50,000	50,000	50,000	50,000	450,000
Target of Opportunity Research Funds	50,000	50,000	50,000	50,000	50,000						250,000
Communications/Program Support	50,000	51,500	53,045	54,636	56,275	42,207	42,207	28,138	28,138	28,138	434,283
Subtotal Program Activities	522,500	552,964	564,978	577,352	590,098	466,698	466,698	357,299	357,299	357,299	4,813,185

FACULTY DEVELOPMENT

2 Co-Directors	311,190	320,526	165,071	170,023	175,124	180,377	185,789	191,362	197,103	203,016	2,099,580
New Junior Level Faculty (1)		227,424	234,247	241,274	248,512	255,968					1,207,425
New Junior Level Faculty (2)			234,247	241,274	248,512	255,968	263,647				1,243,648
New Criminal Law Clinical Faculty	207,000	213,210	219,606	226,194	232,980						1,098,991
Subtotal Faculty Development	518,190	761,160	853,170	878,766	905,129	692,313	449,435	191,362	197,103	203,016	5,649,644

ADMINISTRATION AND FACILITIES

Advisory Board	13,300	13,699	14,110	14,533	14,969	15,418	15,881	16,357	16,848	17,353	152,470
Administrative Support (Program Director)		89,610	92,298	95,067	97,919	73,439	73,439	48,960	48,960	48,960	668,653
Administrative support		83,000	86,090	89,273	92,551	84,413	84,413	56,275	56,275	56,275	688,567
Subtotal Administration and Facilities	13,300	186,309	192,498	198,874	205,440	173,271	173,734	121,592	122,083	122,589	1,509,689

ANNUAL BUDGET	1,053,990	1,500,433	1,610,647	1,654,991	1,700,666	1,332,282	1,089,867	670,254	676,485	682,904	12,483,319
					7,520,727					4,451,792	11,972,519

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ROBINA INSTITUTE ON CRIMINAL LAW AND JUSTICE

	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Year 9	Year 10	TOTAL
PROGRAM ACTIVITIES											
Task Forces, Colloquia, Commissions											
External Co-Coordination (4 tracks) ?											
Criminal Law Theory	84,700	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	735,676
Criminal Process and Procedure	84,700	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	735,676
Criminal Justice Policy	84,700	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	735,676
International Criminal Law	84,700	87,241	89,858	92,554	95,331	71,498	71,498	47,665	47,665	47,665	735,676
Research/Library Reference Support ?	159,400	164,182	169,107	174,181	179,406	184,788	190,332				1,221,396
Faculty Research Leave Support (1 semester per year)	158,700	163,461	168,365	173,416	178,618	183,977	189,496				1,216,033
Senior Visitors (2 for 1 month)	50,000	50,000	50,000	50,000	50,000	55,000	55,000	55,000	55,000	55,000	525,000
Junior Visitors (2 for 1 month)	30,000	30,000	30,000	30,000	30,000	35,000	35,000	35,000	35,000	35,000	325,000
Practitioner Visitors (4 one week/year)	7,500	7,500	7,500	7,500	7,500	8,500	8,500	8,500	8,500	8,500	80,000
Annual Robina Conferences	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	500,000
Target of Opportunity Research Funds ?	50,000	50,000	50,000	50,000	50,000						250,000
Communications/Program Support	50,000	51,500	53,045	54,636	56,275	42,207	42,207	28,138	28,138	28,138	434,283
Subtotal Program Activities	894,400	915,607	937,450	959,949	983,122	845,463	856,526	367,299	367,299	367,299	7,494,415

FACULTY DEVELOPMENT

2 Co-Directors FT ?	311,190	320,526	165,071	170,023	175,124	180,377	185,789	191,362	197,103	203,016	2,099,580
New Junior Level Faculty (1)		227,424	234,247	241,274	248,512	255,968					1,207,425
New Junior Level Faculty (2)			234,247	241,274	248,512	255,968	263,647				1,243,648
New Criminal Law Clinical Faculty 1/OW ?	207,000	213,210	219,606	226,194	232,980						1,098,991
Subtotal Faculty Development	518,190	761,160	853,170	878,766	905,129	692,313	449,435	191,362	197,103	203,016	5,649,644

STUDENT SUPPORT

Competitive Scholarships (5 2L, 5 3L @ \$20,000)	200,000	209,000	218,405	228,233	238,504	249,236	260,452	272,172	284,420	297,219	2,457,642
RA support	40,000	41,200	42,436	43,709	45,020	46,371	47,762	49,195	50,671	52,191	458,555
Summer Internships (10 @ \$5,000)	5,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	50,000	455,000
Subtotal Student Support	245,000	300,200	310,841	321,942	333,524	345,607	358,214	371,367	385,091	399,410	3,371,197

ADMINISTRATION AND FACILITIES

Advisory Board	13,300	13,699	14,110	14,533	14,969	15,418	15,881	16,357	16,848	17,353	152,470
Administrative Support (Program Director) ?	87,000	89,610	92,298	95,067	97,919	73,439	73,439	48,960	48,960	48,960	755,653
Administrative support	100,000	103,000	106,090	109,273	112,551	84,413	84,413	56,275	56,275	56,275	868,566
Institute Physical Space Capital ?		500,000	750,000								1,250,000
Subtotal Administration and Facilities	200,300	706,309	962,498	218,873	225,439	173,271	173,734	121,592	122,083	122,589	3,026,688

ANNUAL BUDGET

1,857,890	2,683,276	3,063,960	2,379,530	2,447,214	2,056,654	1,837,909	1,051,621	1,071,576	1,092,314	19,541,944
			9,984,655		4,503,869				5,053,420	19,541,944

From: David Wippman <dwippman@umn.edu>
Subject: **Re: U of M Criminal Law and Justice Institute**
Date: February 15, 2011 3:48:10 PM CST
To: Penny Hunt <pennhunt@gmail.com>

Dear Penny,

Thanks for your email. I would be happy to talk about any of these. Briefly, though, here are responses to each of the questions:

Task Forces, Colloquia, Commissions: My understanding is that each track will have two directors. Why is it necessary to have two rather than just one director?

We would like each research stream or track to have two directors or coordinators, one internal and one external. This way we hope to leverage the talents, resources and connections of other strong criminal law programs to support the work of the research streams and help ensure broad dissemination and impact for the work produced by the various research groups.

Research/Library Reference Support: what does this cost represent? New research/library reference personnel? If so, how many additional staff? Reallocation of existing personnel?

We anticipate hiring one reference librarian with appropriate training, background, and language skills to support the research needs of the various research streams. We anticipate each stream will involve multiple faculty from the Law School, other University departments, other Universities in the U.S. and abroad, as well as practitioners and policy makers. We would like to be able to support their work with bibliographies, reference assistance, background papers, etc., and think an additional reference librarian would be very valuable in providing that support. We also anticipate devoting some funds to augmenting our criminal law collection and databases in the areas of the four research streams. I can get you a break-down of those amounts if that would be helpful.

Faculty Development: Co-Directors: the concept paper references a director and an assistant director. Has the approach been changed to include co-directors? Yes, we are now thinking that Antony Duff and Mike Tonry would serve as co-directors.

Faculty Development: Clinical Faculty: Am I correct that plans call for the appointment of one full time clinical faculty member?

Yes. In fact, we have a candidate in mind who I think would be terrific (a senior Justice Department lawyer with great criminal law experience and contacts in the policy community). The faculty will be considering an offer to him next week, even though of course we won't know then whether Robina wishes to proceed with this. But we are sufficiently enthusiastic about him that we are prepared to go ahead even if we can't get support from Robina for that purpose.

Administration and Facilities: Administrative Support: are these new hires or reallocation of existing administrative staff? How many staff are included? This would be a combination of new hires and reallocation of existing staff. I will have to get the details from Patrice Schaus, my CFO, who unfortunately just left for a two week vacation.

Administration and Facilities: Institute Physical Space: do you have space in mind for the institute?

Yes, we do have space in mind, but it would require reconfiguration and remodeling to meet the needs of the Institute.

I hope this is helpful and would be happy to provide additional detail as needed.

All best, David

On Tue, Feb 15, 2011 at 3:26 PM, Penny Hunt <pennhunt@gmail.com> wrote:
Hello David,

Tom, Kathleen and I are scheduled to talk on tomorrow morning to prepare for the upcoming Robina Board Meeting and the discussion of the U's Institute on Criminal Law and Justice. We'll be discussing your February 5 email and the preliminary draft budget you provided.

My sense is that we'll be focusing on the preliminary budget. I have a few questions for you now and suspect I'll have other questions after Wednesday's conversation. I apologize if my questions are answered in the concept paper on the Robina Institute on Criminal Law and Justice. Here are my questions:

Task Forces, Colloquia, Commissions: My understanding is that each track will have two directors. Why is it necessary to have two rather than just one director?

Research/Library Reference Support: what does this cost represent? New research/library reference personnel? If so, how many additional staff? Reallocation of existing personnel?

Faculty Development: Co-Directors: the concept paper references a director and an assistant director. Has the approach been changed to include co-directors?

Faculty Development: Clinical Faculty: Am I correct that plans call for the appointment of one full time clinical faculty member?

Administration and Facilities: Administrative Support: are these new hires or reallocation of existing administrative staff? How many staff are included?

Administration and Facilities: Institute Physical Space: do you have space in mind for the institute?

I'm sorry to give you such short notice about these questions. Don't worry if you can't provide answers before tomorrow morning. There will be time to talk about this after our call tomorrow.

Thanks,
Penny

Purpose of the Work

"Patients themselves are the most under-used asset to get to health care's quadruple aim." –Penny Wheeler, MD, Chief Clinical Officer, Allina Hospitals & Clinics

The purpose of this work is to advance the redesign of primary care in order to achieve the quadruple aim: 1) improved patient health; 2) improved patient experience; 3) lower health care costs; and 4) better staff well-being. This will be achieved through the concurrent development and testing of adaptive health practice and payment restructuring in multiple primary care clinics.

Adaptive health practice (AHP) is the application of Heifetz' adaptive leadership model¹ to the care of patients by healthcare professionals, including physicians, nurses, and other allied health professionals. In short, AHP aims to transition the largely 'healthcare professional as expert' model of care into a 'patient as expert' model of care in primary care settings. The goals of AHP are to help patients be healthy, resilient, and maximally independent producers of their own health; to reduce community sick-care costs by reducing morbidity, treating illness more efficiently, and increasing productivity; and to provide a sustainable, satisfying professional life for providers (less burn out, futility, sense of ineffectiveness).²

AHP requires physicians to 1) explicitly differentiate the adaptive challenges that patients face (which require learning and behavior change) from technical challenges (which are amenable to technical or expert-mediated solutions); 2) develop adaptive leadership skills to help patients do the adaptive work (changing the behavioral, social, and environmental determinants of health) they need to do to overcome adaptive challenges; and 3) stop the inappropriate use of technical interventions like medications in lieu of supporting patient adaptive work. Examples of such errors include prescribing proton pump inhibitors for obesity-related acid reflux without providing patients with support for losing weight or using spine surgery rather than exercise and rehabilitation for chronic low back pain.

The current fee-for-service system prevents providers from offering the type of primary care we know patients, families and communities need and want and that results in highest provider satisfaction. Transitioning from fee-for-service to an alternative payment model (e.g., fee-for-time, bundled payment) is essential to support the adaptive health practices required to achieve the best possible clinical outcomes.

Problem We're Trying to Solve

"The better care I give, the less RVUs³ I produce..." – Alison Peterson, MD, MPH, District Medical Director, Allina Medical Clinics and Physician Lead, Allina Medical Home

Health care today is illness-focused, provider-centered, and dominated by a compensation model that pays for technical services and throughput, not health value. As a result, patients don't get the support they need to be healthy; inappropriate use of technology routinely causes harm and waste resources; and primary care practice has become unsustainable.

Many primary care redesign efforts are currently underway. However, they fail to effectively address fundamental mental models and cultural issues that contribute to the above problems. Specifically, two key mindsets dominate modern medical practice. First, both patients and clinicians have an excessive faith in the ability of technology to promote health and cure disease. Second, providers (and often patients) believe that healing is something physicians do to patients, not something patients can do for themselves. An aspect of this is the belief that patient behavior change is difficult if not impossible to effect and therefore such efforts are largely futile. The alternative

¹ Heifetz RA, Grashow A, Linsky M. The Practice of Adaptive Leadership: Tools and Tactics for Changing Your Organization and the World. 2009. Boston: Harvard Business Press.

² Thygeson NM, Morrissey L, Ulstad V. Adaptive leadership and the practice of medicine: a complexity-based approach to reframing the doctor-patient relationship. Journal of Evaluation in Clinical Practice 2010, pp. 1009-1015.

³ RVUs are Relative Value Units, a measure of physician productivity.

adaptive health mental models are just the opposite: 1) technology is not a solution for adaptive problems, and should be used very judiciously; and 2) patients are capable of doing adaptive work to improve their health, and providers can learn the skills required to help them do this. Inappropriate use of technical interventions to address patient adaptive challenges, coupled with failure to support patient adaptive work, causes harm, increases healthcare costs, and frustrates both patients and physicians.

Aims of the Work

The aims of our work are to: 1) design, pilot, and measure the impact of primary care adaptive health practice on the quadruple aim; and 2) partner with payer organizations to develop and implement new payment models that support adaptive health practice.

Key Features of the Approach

Phase I of this work will involve patients and families, primary care providers, nursing care managers, care guides, and other clinic staff in the collaborative development of the adaptive health practice model. Additional national experts, including experts in adaptive leadership, organizational change, health behavior change, and collaborative care, will participate in model development and assist with implementation. The model will include:

- Developing new or modified practice routines based on the principles of adaptive health practice.
- Using Positive Deviance⁴ to facilitate sustainable, “bottom-up” change driven by primary care clinic teams.
- Identifying and promoting programs, technologies, and community resources that support patient adaptive work.
- Coordinating with ongoing patient-centered medical home work, including team-care, care guides, and care coordination.
- Incorporating integrative health practices, shared decision-making, health education, life coaching, and collaborative behavioral health.
- Understanding how adaptive health needs vary across spectrum of health, life-stage, and diversity.
- Training of staff on adaptive leadership, effective team work, and communication.
- Partnering with health plans to design payment and value measurement methods that support adaptive health practice.
- Retooling the electronic health record to reinforce adaptive health practice routines.
- Developing process and outcome measures addressing health, experience, utilization and cost, and provider well-being.
- Partnering with the University of Minnesota School of Medicine to expose students and residents to adaptive health practice, in order to improve medical training and induce more trainees to become primary care providers.

Phase II of this work will involve piloting the adaptive health practice and new compensation model at selected clinics across Allina, including one of the hospital-based clinics associated with Abbott Northwestern Hospital, and at least one clinic from Allina’s largest medical group, Allina Medical Clinic. Piloting across different clinic cultures allows us to refine the model and establish stable practice routines supported by the electronic health record that can be replicated widely. In Phase III of this work we will disseminate the model to the remaining Allina clinics and to other care delivery organizations both locally and nationally.

Measures of Success

Key outcomes of this work address all components of the quadruple aim:

- Improvement in patients’ health, including healthier behavior and better chronic disease management;
- Reduced total cost of care for patients, including reductions in unnecessary medication use, specialty referral, emergency department visits, and inpatient admissions;
- Improved patient experience; and
- Improved provider and staff wellbeing.

⁴ Positive Deviance is a social and organizational change method that effects enduring improvement in pervasive, persistent performance problems. In health care it has recently been used to dramatically reduce hospital acquired infection rates. Singhal A, Buscell P, Lindberg C. Inviting Everyone: Healing Healthcare Through Positive Deviance. 2010. Bordentown, NJ: Plexus Press.

A Systems Approach to Late Life Supportive Care

Purpose of the Work

To develop, rigorously test and spread a late life model of Supportive Care that ensures meaningful and early access to care supports that improve quality of life and experience while appropriately reducing the cost of care.

This proposal also seeks to initiate and stimulate a rich community dialog addressing ethical issues around late life care that are not yet substantively addressed in the public dialogue.

Problem We're Trying to Solve

Patients and caregivers (i.e., family members, close friends) have very limited access to supportive late life care. Individuals, who have a condition that is life limiting, do not have a consistent and meaningful way to have their values and wishes understood and to share in care decisions made in concert with their health care team. The result is often poor experiences for patients, their caregivers, and the health care teams that support them at one of the most vulnerable times of life.

Limited public understanding of available late life resources results in under use of support services, and overuse of interventions that do not add to quality of life. Subsequently, those with serious illness often live with poorly managed pain and symptoms for months and wishes that are incompletely understood. As an example, home and community hospice services, shown to markedly improve the experience of patients and their caregivers, are intended to serve those in the last several months of life. At present, however, hospice services serve individuals for an average of only 20 days. Sadly, of eligible hospice patients, fewer than 40% are served by hospice at the time of death. While over 80% of people would like to die at home, 75% die in hospitals or nursing homes. The human and financial cost of this inconsistent care model are sky high, with care in the last year of life consuming 27% of Medicare spending for 5% of the population. Much of this financial expense is for services that patients and their families do not want or need to achieve the highest quality of life.

Public dialog around late life issues and the societal impact of present approaches is also lacking or politicized. A deeper conversation resulting in awareness of care support resources available and their impact is needed. In addition, a community conversation that meaningfully confronts ethical care issues—balancing autonomy and social justice—has the potential for profound societal benefit.

Aims of the Work

Supportive Care in late life will become a coordinated core function centered on the patient and their primary care provider team. Supportive Care for patients will: 1) provide early, comprehensive access to services required to ensure optimum quality of life, independence, and coping with severe and complex health problems; 2) be easy for providers and patients needing these services to access; and 3) improve quality of patient experience and affordability of late life care. Additionally, we will initiate and expand a public dialog that serves to honor wishes in late life care and publicly discuss the availability of these services and the ethical care considerations of autonomy and social justice.

Key Features of the Approach

We will:

- Provide a reliable model, far beyond advance directives, to deeply understand the values and preferences of patients through facilitated advance care planning sessions.
- Provide access to palliative care and hospice service for each and every eligible patient.
- Provide coordinating resources, such as an expansion of the care guide program to continually support patients and their families.

- Make certain these services can be accessed directly by individuals and their caregivers, as well as the healthcare team.
- Provide these available services at home, in the community and in healthcare settings.
- Focus on quality of life outcomes.
- Be patient and caregiver-driven, using a shared decision-making between patients, their family caregivers, and their health care team.
- Reduce the cost of care through shared decision making and by adhering to the patient's choices, thereby decreasing the use of non-value added services.
- Convene a public dialog that increases awareness of services and invites a community conversation about late life care approaches in partnership with community members, health care providers, content experts in law and ethics, and public media resources.

Late life Supportive Care offers a phased approach to resources:

- Early phase: Individuals are engaged in a shared decision-making approach that provides a care plan aligned with their values, preferences, and choices. Individuals and caregivers are informed of available resources all intent on maximizing quality of life. Navigation and coordination resources like care guides and e-resources are offered.
- Middle phase: Introduced with a change in medical condition. Supports include more detailed disease-specific advance care planning, a quality of life palliative assessment and revisiting available choices and resources. Elevated care management and coordination resources are offered.
- Late phase: Detailed advance care planning is offered; hospice care is offered at the appropriate time.

Late life Supportive Care resources include employed supportive care experts and trained supportive care volunteers. These resources work directly with individuals and their caregivers. Primary care team members will also develop expertise, including adoption of advance care planning, understanding and use of quality of life information, and engagement in shared decision making with patients and caregivers.

Measures of Success

Key outcomes will include:

- Patient experience: Patients will tell us that someone was always there that they could get in touch with when they needed something and that others listened to them and took the time to understand what was going on with them.
- Effectiveness of shared decision making: A good indicator of the decision quality is whether or not the patient and care team follows through with their chosen option [O'Connor and Jacobsen, 2007].
- Quality of life including symptom burden and emotional well-being.
- Caregiver experience of support.
- Advance care plans completed and communicated to the entire care team.
- Health care team satisfaction with the model.
- Individual wishes honored.
- Fewer deaths in hospitals.
- Reduced total cost of care in the last 6 months of life.
- Community engagement in public dialog.
- Community awareness of supportive late life services.

Integration of Behavioral Health with Physical Health Care in Primary Care Setting

Purpose of the Work

To improve quality and reduce total health care costs by providing integrated behavioral health and primary care services for patients with complex health problems, many of whom have multimorbid medical conditions with behavioral health co-morbidity.

Problem We're Trying to Solve

The prevalence of diagnosable behavioral disorders in patients with chronic medical conditions is roughly 35% and for those with health complexity 80%. Up to 70% of these patients receive no mental health care in the primary care setting, yet untreated or ineffectively treated mental conditions in chronic medical patients is associated with medical treatment resistance, non-adherence, the development of medical complications, and doubling or more of health care service use and cost. This initiative will be designed to reverse poor health outcomes and lower total health service use in proactively targeted high-risk multimorbid medical patients with mental health and/or substance use disorder comorbidity using a coordinated primary care and behavioral health intervention.

Aims of the Work

The primary objective is development of an integrated model of physical and behavioral healthcare services. While the options for connecting mental and physical healthcare range from coordination of services to co-location of services to full integration, we are committed to the development, implementation and testing of a model of full integration. Our partners in this work include patients, primary care and behavioral health providers, and employers. A second aim of this work is develop a robust set of evidence to persuade payers to support our approach with an integrated payment model in the future.

Other goals of this work include total health improvement for patients, improved clinical quality and patient experience, as well as cost savings for the healthcare delivery system (which should include lower total costs for poorly insured, reduced use of sitters, shortened inpatient length of stay, lower readmissions for patients, and better care transitions). In addition, this work will allow us to learn more about what is required to change the leadership culture and the clinical processes and culture in support of an integrated model.

Key Features of the Approach

Phase I of this work would include collaborative development of the model, involving leadership behavioral health provider leadership (e.g., psychiatrists, nurses, social workers, psychologists) and primary care providers (e.g., family practice and internal medicine physicians, physician assistants, nurse practitioners) in the design of the model. Additional external national experts, such as Roger Kathol, MD and/or co-consultants would be invited to participate in model development and assistance with implementation. The model would be based upon the following principles:

- Active identification of patients with multiple chronic conditions and either confirmed or suspected mental health co-morbidities;
- Training of healthcare professional, including primary care physicians and behavioral health professionals around changing identity within the primary care setting and transition of care techniques;
- Care team collaboration, including involvement of the primary care providers, nurses, social workers, psychiatrists, psychologists and care managers, as well as other leaders in care delivery enhancements for the Allina Health Care system, i.e., medical home, care management;
- Commitment to providing the appropriate level of service to individual patients, tailored based upon patient need and risk;
- Availability of resources to support care that is readily accessible by the patient and primary care provider;
- Guarantees that patients will have one care process and not have to repeat their story, experiences, and needs to multiple members of the care team;

- Development of electronic tools necessary to integrate care across the care team, including clinical decision support and telehealth tools that can be deployed and used by patients in their homes, providers in different locations, and other care team members during the course of a visit;
- Appreciation that patients receiving their mental health from Allina and their physical health care from another system or provider may be better served by being fully connected to the mental health services offered by another system or set of providers;
- Commitment to provider and staff well-being; and
- Involvement in national dialogues tackling this challenge around the country (e.g., Collaborative Family Healthcare Association).

In a manner similar to our previous work with Robina Foundation funds, Phase I would also include a pre-post implementation and test of the model in a selected primary care clinic. Addressing the necessary evolution of the ambulatory care business model will be a critical component of Phase I as well.

Phase II of this work would include the rigorous implementation and testing of the model at multiple primary care clinics across the system, including those with different clinic cultures (e.g., Allina Medical Clinic, Aspen, Quello), to ensure the model is replicable across different sites.

Measures of Success

Key outcomes of implementation will include:

- Improvements in medical and mental health outcomes (e.g., specific biomarkers, PHQ9) and stabilization of chronic conditions;
- Reduced total cost of care for patients participating in the program (i.e., reduced hospitalizations, emergency room and other health service use);
- Improved functional outcomes and quality of life for patients;
- Improved patient experience;
- A supportive team collaboration environment; and
- Improved provider and staff well-being.

Relationships within Allina Hospitals & Clinics

The following is a brief description of the organizational structure and relationships between Abbott Northwestern Hospital (ANWH), the Abbott Northwestern Foundation (ANWF), the Penny George Institute for Health and Healing (PGIHH), the Allina Center for Healthcare Innovation (CHI), and the Center for Healthcare Innovation Foundation (CHIF). This is prepared for the Robina Foundation Board of Directors to clarify the relationships between the different parts of the Allina organization and their roles in the Abbott Northwestern work funded by the Robina Foundation.

Allina Hospitals & Clinics is the parent organization with 11 hospitals, 95 clinics, and multiple specialty clinical service lines including Sister Kenny Rehabilitation Institute, Virginia Piper Cancer Institute, and the Minneapolis Heart Institute. In addition, Allina has a set of other care services including medical transportation, home care and hospice services. Allina Hospitals & Clinics is the largest healthcare system in Minnesota with more than 23,000 employees and over 5,000 associated and employed physicians. Ken Paulus is President and CEO. Penny Wheeler, MD, is Chief Clinical Officer, responsible for advancing care quality and value and Allina-wide clinical service lines.

Abbott Northwestern Hospital (ANWH) is the largest hospital in Allina with 1,600 physicians serving more than 200,000 patients and their families. ANWH provides tertiary and quaternary care for the entire Allina system, including approximately 35 rural communities via specialty outreach and evolving telemedicine capabilities. ANWH President, Jeff Peterson, reports to Ken Paulus.

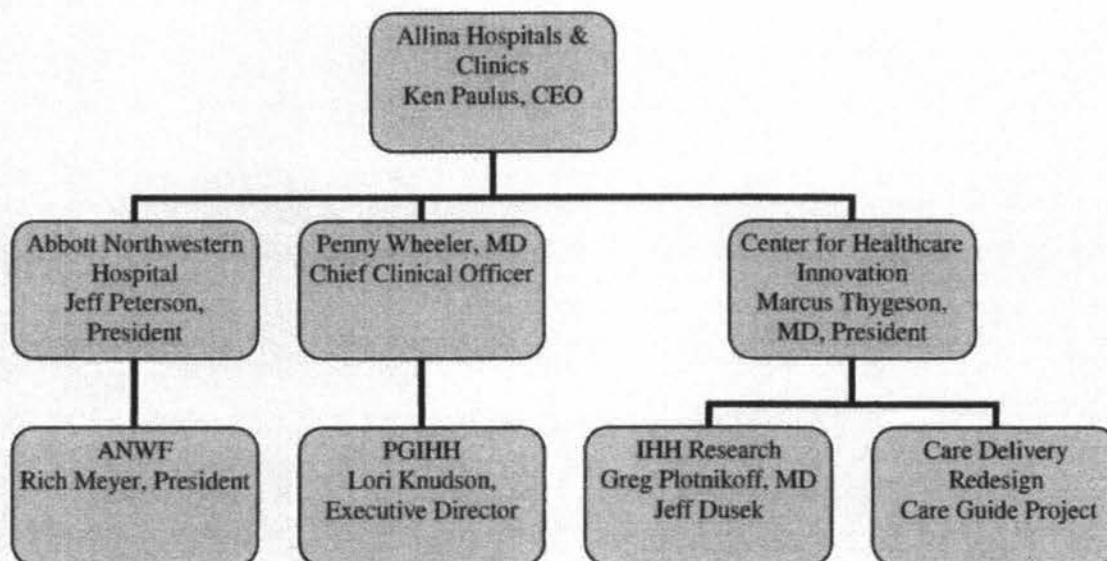
ANWH is the beneficiary of the Robina Foundation. Because its future success is dependent on a robust and healthy primary care referral base, hospital and system leadership believe primary care redesign is a strategic priority for ANWH. Thus, Robina Foundation funding for primary care redesign promotes the mission and supports the future success of ANWH. The Abbott Northwestern General Medicine Associates' 'Medicine Clinic' was the site of Phase I of the Robina Care Guide project.

Abbott Northwestern Foundation (ANWF) is a separate 501c(3) charitable foundation dedicated to fundraising for ANWH. ANWF also manages philanthropy for PGIHH. Rich Meyer, who reports to Jeff Peterson, is President. ANWF manages the Robina Foundation funds for ANWH. Robina funds are transferred to a dedicated accounting unit in CHI to fund operations of Phase I and Phase II of the Care Guide project. These funds support program staff, research staff, and other critical infrastructure.

Penny George Institute for Health and Healing (PGIHH) is the leading center for practice and study of complementary and alternative medicine in inpatient and outpatient settings. PGIHH is part of the National Bravewell Collaborative of integrative health centers. The PGIHH Executive Director is Lori Knudson, reporting to Penny Wheeler, MD. Initial work at PGIHH focused on inpatient care at ANWH; the scope is now expanding to inpatient care at other Allina hospitals and outpatient clinics.

The Center for Healthcare Innovation (CHI) is a division of Allina and was founded in 2008. The mission of CHI is to foster innovation at Allina to advance the wellbeing of patients, communities, and employees. Patient centered care, community health improvement, care delivery redesign, professional development, and research are the five focus areas of CHI. The CHI business model includes programmatic fundraising, research grant development, community benefit, and operational savings. CHI grounds its approach in applied systems thinking. The president is Marcus Thygeson, MD, reporting to Ken Paulus. CHI manages the Care Guide project, funded by Robina Foundation via ANWF and also manages integrated health and medicine research.

The Center for Healthcare Innovation Foundation (CHIF) is a 501c(3) charitable foundation dedicated to fundraising for CHI and CHI directed programs and research. CHIF's president is Marcus Thygeson, MD.



Marcus

N. Marcus Thygeson, MD
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ROBINA FOUNDATION GRANTS AND GRANT REQUESTS

February 2011

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid - Mo/Yr	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
Abbott Northwestern		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
Abbott Northwestern	7/08 \$5,995,070/3 years	Project: Care Guides in the Primary Care Office	Approved \$6 million/3 years – 8/08	\$1,253,535 pd 9/08 \$2,373,233 pd 12/09 \$2,373,232 pd 12/10	No Payment Scheduled for 2011
Aspen Institute: Justice and Society Program	3/09 \$130,575/One Time	Hold a Judicial Seminar on "International Human Rights and Humanitarian Laws: Their Application in National Jurisprudence"	Approved \$130,575/One Time – 5/09	\$130,575 pd 6/09	Paid in Full
The Center for Victims of Torture	8/08 \$25,000/One Time	In Recognition of Edson W. Spencer's contribution as Board Member	Approved \$25,000/One Time – 8/08	\$25,000 pd 8/08	Paid in Full
Council on Foreign Relations		Planning Grant 2006	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Council on Foreign Relations	1/14/07 \$10M/5 years	Project: International Institutions and Global Governance	Approved \$6 million/3 years – 1/08 \$2M/1 yr for 2011 – 5/10	\$2 million pd 2/08 \$2 million pd 9/09 \$2 million pd 9/10	2011 - \$2,000,000 – Additional Year Funding
U of MN Law School		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
U of MN Law School	3/08	Special request from Dean Wippman for faculty retention and other initiatives	Approved \$250,000 – 3/08	\$250,000 pd 4/08	Paid in Full Brief financial and narrative report received and reviewed by Board 5/08
U of MN Law School	10/08 \$6,061,339 (revised amount exclusive of endowment support)	Project: Program on Law, Public Policy, and Society	Approved \$6,061,399/5 years – 11/08 \$2M/1 yr for 2011 – 5/10	\$1.4 million pd 12/08 \$1,436,750 pd 9/09 \$1,480,338 pd 9/10	2011 - \$850,854 2011 - \$2,000,000 – Additional Year Funding 2012 - \$893,457

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid/Date	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
Yale University		Planning Grant	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Yale University Drama School	11/15/07 \$2.2M/3 years	Program: Yale Center for New Theatre	Approved \$2.85million/3 years – 3/08 \$950K/1 yr for 2011– 5/10	\$750,000 pd 4/08 \$750,000 pd 9/09 \$1,350,000 pd 9/10	2011 - \$950,000 Additional Year Funding
Yale University Law School	5/14/08 \$3M/3 years	Robina Human Rights Fellowship Initiative	Approved \$3 million/3 years – 5/08 \$1M/1 yr for 2011 – 5/10	\$1 million pd 6/08 \$1 million pd 5/09 \$1 million pd 6/10	2011 - \$1,000,000 Additional Year Funding
TOTALS			\$24,391,399 grants approved (includes planning grants of \$350K) \$5,950,000 approved on 5/10 for additional funding for one yr to be pd in 2011 (CFR, UofM, Yale Law, Yale Drama)	2005 - \$150,000 2006 - \$200,000 2007 – 0 2008 - \$6,678,535 2009 – 7,690,558 2010 - \$8,203,570 Total - \$22,922,663	Commitments Going Forward: 2011 - \$850,854 (U of M Law School original grant) 2011 - \$5,950,000 (Add'l Year Funding except Abbott) 2012 - \$893,457 (U of M Law School original grant) \$6,800,854 total committed for 2011 \$893,457 total committed for 2012

Care Guides in the Primary Care Office
February 2011 Robina Foundation Board Quarterly Report

Disseminating Phase 1 results

A manuscript has been submitted to and rejected by JAMA, Annals of Internal Medicine (we considered these "long shots") and the American Journal of Managed Care. Editors were uniformly interested in the subject but stated they don't generally publish non-randomized studies. A manuscript "Care guides: employing non-clinical laypersons to help primary care teams manage chronic disease" was submitted on November 18, 2010 to the Journal of Ambulatory Care Management and has been sent out for peer review.

Phase 2, a randomized controlled trial in 5 new clinics

We have now fully integrated all 12 care guides into the Phase 2 clinics. The care guides have been very well accepted by the clinic staff and physicians. During the 6 month enrollment period, 1,234 patients were enrolled in the three clinics that began in July 2010, 98% of target. One care guide decided that she could only work 0.8 time, so her enrollment goal has been reduced by 20%. Enrollment in the remaining two clinics is at 70% of goal, ahead of schedule.

We are predicting total enrollment of 2,134 patients, which is much larger than any other randomized control trial of care management that we are aware of. We anticipate reaching this goal around March 1, 2011, so that data collection will end one year later in March 2012.

Only four patients to date have withdrawn from Phase 2. Three withdrew consent, and one became pregnant in the first study quarter.

With advice from our statistical consultants from the University of Minnesota School of Public Health, we set up two kinds of control groups: formally randomized controls in the clinics with care guides, and matched controls from five paired similar clinics where the providers are not exposed to care guides. We have identified a large pool of patients at the matched clinics from which to draw matched control patients, and a process to find the patients who most closely match the patients who are working with a care guide. The total number of patients with hypertension and/or diabetes seen in three months at three of the matched clinics is 9,192. This number will increase when the other two matched clinics are included and as the recruitment time frame increases from three to six months, so we are now confident we will have an abundant pool from which to draw matched control patients.

Phase 2 expenses

Phase 2 expenses through the end of January 2011 (one year into phase 2 planning and implementation) are \$1,361,955 with a total phase 2 budget of \$4,746,421.

Jan 2010 – Jan 2011	Actual	Budget
Salaries	\$702,536	\$1,718,307
Expenses (mileage, supplies, U of MN contract)	\$309,491	\$287,188
Facility upgrades	\$55,390	\$122,600
Clinic reimbursement	\$294,538	\$562,500
Total 2010	\$1,361,955	\$2,690,595
Total Phase 2 (yrs 2010-12)		\$4,746,421

Respectfully submitted,

Richard Adair, MD, Principal Investigator
Kim Radel, Project Manager

COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

1777 F Street, NW, Washington, DC 20006
tel 202.509.8400 fax 202.509.8490 www.cfr.org

February 1, 2011

Ms. Penny Hunt
Executive Director
Robina Foundation
80 South 8th Street, Suite 4900
Minneapolis, MN 55402

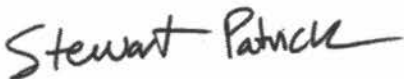
Dear Penny,

It is my pleasure to provide you and the Robina board with this quarterly update from the Council on Foreign Relations' International Institutions and Global Governance (IIGG) program for activities undertaken from November 1, 2010, to January 31, 2011.

In October, President Barack Obama announced his support for a permanent seat for India on the UN Security Council. This was a watershed moment in U.S. foreign policy that highlighted the importance of the IIGG program's work on integrating rising powers and renovating outdated international institutions. Over the past four months, the IIGG program has been deeply engaged with U.S. and international officials in thinking through how the UN Security Council, the Group of Twenty, and other institutions can accommodate the interests and draw on the capabilities of the world's most dynamic emerging nations. Our planned activities—including a new Council of Councils network that brings together influential experts and opinion leaders from twenty major countries to forge a consensus on how to respond to critical global challenges and a Policy Innovations Memo series that offers concrete proposals on pressing international issues—will continue to drive creative ideas that can break through bottlenecks in international cooperation.

The Council on Foreign Relations remains grateful for the trust the Robina Foundation has placed in the IIGG program with its generous grant, and we look forward to the Robina board's upcoming visit this month.

Warm regards and best wishes,



Stewart Patrick
Director and Senior Fellow
spatrick@cfr.org

COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

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International Institutions and Global Governance: World Order in the Twenty-First Century A Program of the Council on Foreign Relations

UPDATE: November 1, 2010 – January 31, 2011

Over the last four months, the International Institutions and Global Governance (IIGG) program has succeeded in its goal of being the leading resource for U.S. and international policymakers looking for solutions to transnational problems. Influential leaders have asked IIGG to identify gaps in international cooperation, propose realistic reforms, and promote U.S. and global action to implement these ideas. The IIGG program has also continued its robust series of meetings, publications, and multimedia products designed to enrich the public understanding of the shortcomings and potential in global governance. For a full list of IIGG activities from November 1, 2010, to January 31, 2011, please refer to the attached annex.

During the reporting period, a range of U.S. and international policymakers asked the IIGG program to develop creative policy ideas in priority areas. At the request of Dr. Margaret Hamburg, commissioner of the U.S. Food and Drug Administration, the IIGG program brought together stakeholders for a major symposium, "Food and Drugs: Can Safety Be Ensured in a Time of Globalization?" The IIGG program also hosted a high-level event at the initiation of Anne Marie Slaughter, director of policy planning at the U.S. Department of State, on "New Paradigms to Development." The event featured officials from the U.S. State Department and the U.S. Agency for International Development. In addition, influential policymakers have asked IIGG Director Stewart Patrick to provide advice on diverse global challenges: Patrick briefed Ambassador Gregory Schulte, deputy assistant secretary of defense, and Frank Rose, deputy assistant secretary of state, on strategies for integrating emerging "space-faring" nations like India, Brazil, and China behind a common set of norms for uses of the outer space. The meeting was stimulated by Patrick's *Foreign Affairs* article, "Irresponsible Stakeholders? The Difficulty of Integrating Rising Powers." Patrick also advised leading French officials from the ministries of foreign affairs and finance on agenda-setting for the Group of Twenty in 2011.

The IIGG program has also continued to expand its analysis and outreach on how to renovate international institutions. In December 2010, the program kicked off a new workshop series, Making Multilateralism Work, which identifies areas in the UN system that need improvement and proposes steps to enhance performance. The first workshop, "The United States and the Future of Peacekeeping," featured Victoria Holt, deputy assistant secretary of state for International Organization Affairs, and focused on overcoming persistent challenges in UN peacekeeping and bolstering U.S. support for UN missions. In the same month, the IIGG program released a Council Special Report, UN Security Council Enlargement and U.S. Interests, by IIGG Director Stewart Patrick and former CFR International Affairs Fellow Kara McDonald. The report argues that the United States should use its unparalleled global leadership to better integrate emerging and established powers into the Security Council. The IIGG program deliberately released the report during the U.S. presidency of the Security Council and following President Barack Obama's milestone affirmation of a permanent seat for India. The program aggressively marketed the report, sending it to close to ten thousand influential policymakers, reporters, and interested citizens. Patrick and McDonald also met with prominent U.S. officials, including congressional staffers and Samantha Power, senior director for multilateral affairs at the National Security Council (who had a marked-up copy of report ready at the meeting), to discuss their findings.

COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

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International Institutions and Global Governance: World Order in the Twenty-First Century

A Program of the Council on Foreign Relations

UPDATE: November 1, 2010 – January 31, 2011

ANNEX OF COMPLETED AND ANTICIPATED ACTIVITIES: FY11

Since our last quarterly report to the Robina Foundation, the International Institutions and Global Governance (IIGG) program has undertaken the following:

- Published a Council Special Report on UN Security Council Enlargement and U.S. Interests by Stewart Patrick, director of the IIGG program, and Kara McDonald, former CFR international affairs fellow in residence. The authors briefed Samantha Power, senior director for multilateral affairs at the National Security Council, Esther Brimmer, assistant secretary for international organization affairs at the State Department, and congressional staffers on recommendations from the report (December 2010/January 2011);
- Sponsored a symposium on "Food and Drugs: Can Safety Be Ensured in a Time of Globalization?," featuring Margaret Hamburg, commissioner of the U.S. Food and Drug Administration; and Laurie Garrett, CFR senior fellow for global health (January 31, 2011);
- Held a workshop on The United States and the Future of Peacekeeping, featuring Victoria Holt, deputy assistant secretary of the Bureau of International Organization Affairs of the State Department, and Izumi Nakamitsu, director of the Policy Evaluation and Training Division of the United Nations Department of Peacekeeping Operations (December 15, 2010);
- At the request of Anne-Marie Slaughter, director of policy planning at the U.S. Department of State, held a meeting on "New Paradigms for Development," featuring assistant secretary of State for economic and business affairs Jose Fernandez, Michael Kremer of the U.S. Agency for International Development, and presided over by CFR Senior Fellow Sebastian Mallaby (January 12, 2011);
- Updated the Global Governance Monitor: Climate Change ahead of the United Nations Climate Change Convention meeting in Cancun, Mexico (November 2010);
- Updated the IIGG webpage, which houses all of our program's research and activities and ties them to current events as they pertain to multilateral cooperation and institutional reform;
- Produced the following publications by Stewart Patrick, director of the IIGG program:
 - "Assessing Obama's Asian Tour," Analysis Brief for CFR.org (November 2010);
 - "Hitting Singles in Seoul," First Take for CFR.org (November 2010); and

- "A Moment for UN Security Council Reform," First Take for CFR.org (November 2010).
- Stewart Patrick, director of the IIGG program briefed the following officials:
 - French G20 sherpa Xavier Musca and a team from the French Finance and Foreign Affairs ministries (November 29-December 1, 2010); and
 - Ambassador Gregory Schulte, deputy assistant secretary of defense, and Frank Rose, deputy assistant secretary of state, on emerging powers and outer space (December 9, 2010).
- Held multiple meetings of roundtable series sponsored by IIGG and supported by Robina, including separate series on: the United States and the Future of Global Governance; U.S.-UN Relations; Global Health Governance; Global Stakes in Human Rights; U.S. Policy on Cybersecurity; and Globalization and Democracy in Latin America. Meetings included:
 - "Legal and Policy Implications for Cyberspace," featuring Catherine Lotrionte, associate director of the Institute for Law, Science, and Global Security, presided by Adam Segal, CFR senior fellow (January 28, 2011);
 - "The Gender of Atrocity: Peace vs. Justice in Sudan and Beyond" with Catharine MacKinnon, special gender adviser to the International Criminal Court (December 14, 2010);
 - "UN Security Council Enlargement and U.S. Interests" with IIGG Director Stewart Patrick (December 6, 2010 in New York and December 8, 2010 in Washington, DC); and
 - "The World Health Organization in a Shifting Global Governance Landscape," featuring Jack C. Chow, former assistant director of the World Health Organization and George A. O. Alleyne, director of the sanitary bureau of the Pan American Health Organization (November 16, 2010).
- In addition, the IIGG program sponsored the following events:
 - "Rivalry and Partnership—The Struggle for New Global Governance Leadership," cosponsored by the Woodrow Wilson School of Public and International Affairs at Princeton University, the Stanley Foundation, and the Munk School of Global Affairs at the University of Toronto (January 14-15, 2011);
 - "A Conversation with Yang Jiechi," with Yang Jiechi, foreign minister of the People's Republic of China, presided by CFR President Richard Haass (January 6, 2011);
 - "Nonbinding Agreements: Lessons from the Proliferation Security Initiative" with CFR Stanton Nuclear Security Fellow Emma Belcher (December 10, 2010);
 - "Teleconference for Prospects for Climate Cooperation: A Cancun Summit Preview," featuring Eileen Claussen, president of the Pew Center on Global Climate Change and Paula Dobriansky, senior vice president and head of government affairs of Thomson Reuters (November 22, 2010);
 - "David Morse Lecture: A Conversation with Yukiya Amano," featuring Yukiya Amano, director-general of the International Atomic Energy Agency, presided by Albert Carnesale, chancellor emeritus and professor, University of California, Los Angeles (November 9, 2010);
 - "G20 Summit Preview: Challenges and Opportunities," featuring Timothy Dees Adams, managing director of the Lindsey Group (November 9, 2010); and

- "International Migration Policy for the Twenty-First Century," featuring Eric Paul Schwartz, assistant secretary of state for population, refugees, and migration at the U.S. Department of State (November 8, 2010).

For the remainder of the fiscal year, the IIGG program will:

- Launch a new "policy innovations" memo series, offering concrete proposals for new institutions or reform of existing arrangements on critical international issues;
- Build a Council of Councils (CoC), composed of prominent experts and opinion leaders from foreign policy institutes in twenty major countries. The purpose of the CoC, which will be launched in autumn 2011, seeks to forge international consensus on—and galvanize political action in undertaking—needed reforms to existing multilateral institutions;
- Continue the several Robina-sponsored roundtable series, including on The United States and the Future of Global Governance; U.S.-UN Relations; Global Health Governance; Global Stakes in Human Rights; U.S. Policy on Cybersecurity; and Globalization and Democracy in Latin America;
- Publish a new component of the Global Governance Monitor on armed conflict, as well as draft a package on terrorism and update previous installments on nuclear proliferation, global finance, ocean governance, climate change, and public health;
- Publish a new working paper on improving targeted UN sanctions by Sue Eckert, senior fellow at the Thomas J. Watson Jr. Institute for International Studies at Brown University;
- Organize a workshop on the Atlantic World and Rising Regional Powers, which will compare U.S. and European perspectives on adapting international norms and institutions to this shifting distribution of global power and influence. The meeting will be held in Berlin and will involve senior European scholars and policymakers (May 2011);
- Host meetings on enhancing regional cooperation—a theme for FY 2011—including workshops and roundtables on Latin America, South Asia, and the Middle East; and
- At the request of Eric Schwartz, assistant secretary for population, refugees, and migration at the U.S. Department of State, organize a workshop to improve U.S. and UN humanitarian assistance.

Interim Report to the Robina Foundation February 1, 2011

The following provides a brief update to our October 23, 2010 interim report.

A. Building on Strengths in International Law and Human Rights, Criminal Justice, and Law and Science

On January 28, the Law School extended an offer to David Hyman, the Richard W. and Marie L. Corman Professor of Law and the Director of the Epstein Program in Health Law and Policy at the University of Illinois Law School. Professor Hyman is widely regarded as one of the country's top health law scholars. He and his wife will visit campus next month as part of the recruitment process. If he accepts our offer to fill the remaining Robina Chair in Law, Public Policy, and Society, his arrival would greatly strengthen what is already one of the strongest groups of scholars in the country addressing issues of health law and policy.

The Law School continues to build strength in international law and human rights. Christopher Roberts, a talented interdisciplinary scholar with a PhD in Sociology as well as a JD, will join us this spring as an associate professor. Professor Roberts' first book, which examines the historical forces driving opposition to human rights norms, was just accepted for publication by Cambridge University Press.

The criminal law faculty has reached a critical mass with the arrival of Antony Duff this past fall. They are pressing ahead with a series of conferences and major research projects that we believe will lay the foundation for a major reconsideration of the purposes and functions of the criminal law.

B. Transformation of Curriculum and Teaching

Our curriculum reform effort continues to go well. A faculty committee substantially revised the new, required first-year Practice & Professionalism course to respond to student concerns about the classroom component of the course. Although it is too early in the semester to reach any firm conclusions, students so far seem enthusiastic about the changes. We are continuing to expand experiential learning opportunities with new clinics, externships, capstone courses, and independent placements. Our capstone courses in health law, environmental law, and labor and employment law have strong enrollment this year and received rave reviews from students last year. We are currently planning a new capstone course in criminal law and we are finalizing arrangements with the U.S. Attorney's Office in Minneapolis to create a clinic handling Fair Housing Act and Disability Act cases.

C. Robina Post-J.D. Fellowships

Last year's highly successful Robina post-JD fellowship program placed 37 students in a range of public service positions; 32 of those students have since found full-time legal employment. We have placed 43 students in post-JD fellowships this year and expect to place several more in the coming weeks.

D. Annual Conferences

In November, Greg Shaffer held a major, three-day conference on international economic law. The conference was co-sponsored by the American Society of International Law. Over 100 scholars participated; papers will be published in the Minnesota Journal of International Law.

FY 2011

Total Expended to Date	\$ 1,001,377
Allocated for FY 2011	\$ 1,431,512

ROBINA EXPENDITURES

Fiscal Year 2011: Second Quarter Report

7/1/2010-12/31/2010

	BUDGET	Expenditures 7/1-12/31/2010	Notes
Center of Excellence Hires	840,047	706,350	
John Borrows		47,962	Includes
Bert Kritzer		320,275	encumbrances
Jennie Green		167,531	through the end of
Antony Duff		170,582	the Fiscal Year
 Capstone Courses	 100,000	 100,000	 expenses will occur Spring Semester
 Public Policy Internships	 70,000		
 Post JD Fellowships	 250,000	 147,500	
 Robina Supported Faculty Public Policy Research and Conferences	 171,465	 34,045	
Research Support			
F. Ni Aolain (D. Weissbrodt, O. Gross)		3,951	
M. Orfield (K. Reitz)		24,618	
S. Meili		2,717	
S. Wolf			
G. Shaffer			
M Tonry (R. Frase, K. Reitz, B. Feld, F. Ni Aolain)			
F. Ni Aolain		1,514	
R. Okediji		1,245	
G. Shaffer			
Conference Support		13,482	Scheduled
M. Tonry			
G. Shaffer		750	
A. Duff, F. Ni Aolain		37	April 15-16, 2011
C. Hill, F. Ni Aolain			May 20-21, 2011
R. Frase			multiple
A. Duff		2,452	
M Goodwin		10,243	
TOTAL BUDGET/EXPENSES	1,431,512	1,001,377	
TARGET	1,400,000		
Annual Commitment Unspent/(Overspent)	-31,512		



Yale Law School

KATHERINE R. NORTON
Associate Director of Development

January 28, 2011

Penny A. Hunt
Executive Director
The Robina Foundation
4900 IDS Center 80 South 8th Street
Minneapolis, MN 55402

Dear Penny,

I hope that you are doing well and that you are having an enjoyable winter. It was a pleasure to meet with you, Tom, and Peter during your recent visit to Yale on January 11th. We were happy to have the opportunity to share with you the Law School's goals and to talk with you about the impact that the Robina Human Rights Fellowship Initiative has had on the life of the school. I hope that you will enjoy reading this quarterly update about our activities to date.

Robina Human Rights JD Scholarships and Robina Summer Human Rights Fellowships: As mentioned in our last report, in academic year 2010-11, we are providing Robina Foundation JD Scholarships to ten students interested in human rights. The average scholarship amount provided to these students is \$25,000. The greatest scholarship is \$32,400, and the smallest is \$16,750.

In summer 2010, we provided summer human rights fellowships to 31 students working in organizations and offices ranging from Human Rights Watch in Lebanon to the Department of Legal Issues, Treaties, and Human Rights at the Ministry of Foreign Affairs of the Republic of Kosovo to the Centre for Policy Alternatives in Sri Lanka. The total average combined living stipend and travel funding provided to each student was \$5,992.

Robina Foundation Post-Graduate Fellows: Terra Gearhart-Serna '10, Jason Pielemeier '07, and Aaron Zelinsky '10 are the 2010-11 Robina Foundation Post-Graduate Fellows. Terra is spending her fellowship year as a law clerk in chambers for the International Criminal Tribunal for the Former Yugoslavia; Jason is serving as a special assistant to the Assistant Secretary of State for Democracy, Human Rights and Labor; and Aaron is working as a special assistant to the Legal Advisor to the U.S. State Department.

Robina Visiting Human Rights Fellows: A number of outstanding scholars and practitioners have joined us this year as Robina Visiting Human Rights Fellows. Below are their scheduled activities.

Alice (Ali) Miller taught a course entitled *Sexual Rights* at the Law School in the fall. Yitzhak Benbaji is writing a book on humanitarian law and spoke at the Schell Center's regular *Human Rights Workshop: Current Issues and Events* on November 12; his talk was entitled *Justice in Asymmetric Wars*. Daniel Bonilla '00 JSD will be doing research and co-teaching a seminar with Professor Silk in the spring semester entitled *Comparative Constitutional Law: Structural Social Change and Constitutionalism in the Global South*. Lucas Guttentag will teach courses entitled *Constitutional Impact and Law Reform Litigation: Issues and Strategies* and *Immigration Law, Policy and Constitutional Rights* at the Law School this spring. Jeffrey Kahn '10 JD will continue his doctoral research in anthropology on the history of the struggle for the rights of Haitian refugees in both the United States and Haiti; he is consulting with the Lowenstein Clinic and the Schell Center about possible programs or clinical projects concerning Haiti. Sam Moyn led a series of three sessions of the fall *Human Rights Workshop* based on his new book, *The Last Utopia: Human Rights in History*. Jonathan Schell is helping to organize a roundtable on human rights and the media.

Robina Coordinator and Evaluation: Katherine Lawder, the Robina Foundation Human Rights Fellowship Initiative Coordinator, has been working on the evaluation and assessment of the Robina Foundation Human Rights Fellowship Initiative. As part of the assessment plan, three distinct evaluation tools were created: (1) structured interview questions for Robina Visiting Human Rights Fellows and Robina Post-Graduate Fellows;

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(2) structured interview questions for returning summer human rights fellows; and (3) a quantitative Likert Scale, also for returning summer human rights fellows.

Currently, Katy has interviewed one Robina Visiting Fellow and 25 summer human rights fellows (three of whom are also Robina JD scholarship recipients). All interviews were recorded and transcribed, and Likert Scales were collected at the time of the interview. Katy is currently scheduling interviews with additional Robina Visiting Human Rights Fellows, Robina Post-Graduate Fellows, and summer human rights fellows from previous years. Katy has also compiled the written reports that summer fellows submit after completing their fellowships, including the reports submitted by the summer fellows in 2010, 2009, and 2008. Later in the year, all information obtained from interviews, Likert Scales, written reports, and other data she is collecting (such as the number of articles written, classes taught, talks and workshops given by visiting fellows) will be compiled into a final assessment that will be submitted to the Foundation by April 26, 2011.

In addition, the Schell Center's International Human Rights Student Database has been developed and largely completed. It currently includes a total of 1,031 individual students who have participated in various international human rights classes, clinics and programs, going as far back as 1985. Because most students participated in more than one activity, there are a total of 2,076 entries, all of which can be filtered and grouped in a multitude of different ways. The database will assist students in seeking alumni contacts who have conducted human rights work in countries or subject areas in which students are interested and will greatly expand the potential of the Law School's network of human rights scholars and practitioners who can share with each other and with current and future students their experiences and skills.

Related Activities: Robina Visiting Human Rights Fellows have led a number of unplanned human rights activities, which have emerged over the course of their fellowships. These activities have enriched the human rights community at Yale Law School. Below is a short summary of the fellows' activities.

On March 10, Professor Ali Miller will speak at the Law School's *Human Rights Workshop* on the topic of 'Norm'-alizing Sex: *The Contingencies and Constraints in Establishing Sexual Rights in International Law*.

Professor Yitzhak Benbaji participated in the Law School's Middle East Legal Studies Seminar, which took place in Jordan January 14-16: he participated in the "Laws of War" panel discussion, presenting a paper entitled *Justice in Asymmetrical Wars: A Contractarian Analysis*.

On January 27, Professor Daniel Bonilla delivered a talk for the Law School's *Human Rights Workshop* on *Urban Indigenous Groups and the Limits of Multicultural Liberalism*. Last summer, Professor Bonilla participated in the Law School's Seminar in Latin America on Constitutional and Political Theory (*Seminario en Latinoamérica de Teoría Constitucional y Política*), or SELA, which is an annual gathering of lawyers and scholars from Latin America during which legal theory and practice is discussed.

On December 3, Lucas Guttentag led a discussion with David Martin, Principal Deputy General Counsel for the Department of Homeland Security, on *Immigration: The Next Five Years*. The discussion, which was the fourth session of the Fall 2010 *Immigration Theory and Practice Workshop Series* (which was initiated by Guttentag in Fall 2009), surveyed current and potential developments in immigration law and policy in the next five years.

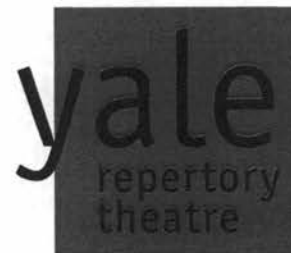
In addition, former Robina Fellow Patrick Weil returned to the Law School last fall to teach courses on *Comparative Church-State Relations: Laws and Policies* and *Comparative Immigration and Citizenship Laws and Policies*. On November 16, Professor Weil gave a talk on his book, *How to be French*, for the Yale Law School audience. In addition, on December 2, at the Sterling Memorial Library, he led a discussion for the entire Yale community entitled *Haiti: the Impact of the Haitian Earthquake on its Libraries: A Report from the Ground*.

As you can see, the Robina Human Rights Fellowship Initiative is having a wonderful influence on the Law School and our students. We are ever grateful for your support, and we look forward to being in touch with you regarding our future activities.

Best regards,

Kate Norton

February 1, 2011



Dear Penny,

It was wonderful to visit with you, Tom, and Peter last month and to speak with you about the Center for New Theatre. I particularly appreciated the chance to learn more about the excellent programs the Foundation is supporting at the Law School. I am grateful to know that Robina has taken an interest in the teaching of science at Yale, and may still consider future support of the Center for New Theatre and Law School, and I thank you for the opportunity to provide this quarterly report on the activities of the Center for New Theatre.

Workshops and Residencies

In October, the Center supported a four-day retreat for Paula Vogel and Rebecca Taichman to work on their Yale Rep commission, currently known as the "The *God of Vengeance* Project." The majority of their time was spent on writing and reviewing new scenes. They also continued to explore tone and dramatic structure.

In November, playwright Lina Patel participated in a one-week retreat in New Haven to work on her Yale Rep commission, currently known as *Love Play*. Lina spent the first half of the retreat writing new pages. On the fourth day, she met with the Yale Rep artistic staff for a cold reading of her play. For the balance of the retreat, Lina continued rewrites and participated in a series of dramaturgical meetings with Associate Artistic Director Jennifer Kiger and Literary Manager Amy Boratko.

This week, the Center is conducting a four-day workshop of Amy Herzog's Yale Rep commissioned play, *Belleville*. Anne Kauffman (*We Have Always Lived in the Castle*) will direct the cast of four (including Ato Essandoh and Brooke Bloom) in rehearsal and discussion of the play. The workshop's format will allow time for rewrites to be incorporated into the rehearsals prior to a final read through on Monday, Feb 7.

New Play Production

The world premiere of Kirsten Greenidge's *Bossa Nova*, which was supported by the Yale Center for New Theatre, ran from November 26 through December 18, 2010 at Yale Rep. The production program and newspaper reviews are attached. This production marks the beginning of what we hope will be a long relationship with playwright Kirsten Greenidge, who is currently working on a commission of a new play for Yale Rep.

Commissions

This fall, Yale Rep was one of five organizations to partner with New Dramatists for its Full Stage USA program. New Dramatists, an artistic home and developmental laboratory for professional playwrights, has created Full Stage to forge partnerships with producing theatres across the country to explore new models of play creation and production. Yale Rep will partner with New Dramatists to commission a new musical. The project will have the support of the Yale Center for New Theatre and New Dramatists throughout its development, and it will have access to funds from the Full Stage program to support its production at Yale Rep. Jennifer Kiger has worked closely with Todd London (Artistic Director, New Dramatists) to conduct a search for the commissioned project. We are in the final stages of the selection process and look

JAMES BUNDY,
ARTISTIC DIRECTOR

VICTORIA NOLAN,
MANAGING DIRECTOR

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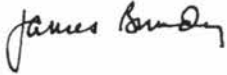
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forward to sharing the news of our choice once it is complete. We are also in the process of selecting the remainder of the commissions to award this fiscal year and will update you on our growing roster of writers in subsequent reports.

We remain enormously grateful to the Foundation for its extraordinary investment in the Yale Center for New Theatre.

Sincerely,

A handwritten signature in cursive script, appearing to read "James Bundy".

James Bundy

The New York Times

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December 3, 2010
Theater Review | Connecticut

Trying Not to Let the Color Show

By [ANITA GATES](#)

Normally it's a touching Hallmark-card kind of scene. A glamorous mother at her dressing table, doing her hair and makeup for a dinner party, while her daughter looks on.

But in the version of that scene that opens Kirsten Greenidge's "Bossa Nova," now having a smooth, thought-provoking world premiere at [Yale Repertory Theater](#), the characters radiate no nostalgic glow. The daughter is neither tiny nor adoring; she's a disapproving grown-up. And the mother's "pots and jars and brushes" are there to disguise as much as possible that the woman in the mirror is black.

When the mother, Lady Paradis (Ella Joyce), with her straightened hair and light makeup, proudly says, "I didn't let my color show," she means it both literally and figuratively. Lady (her first name, not a title) sees her race as something that she and her wealthy family need to overcome. At one point she makes a nasty crack about "old Negroes with new money."

Francesca Choy-Kee plays the daughter, Dee, and there is not a false note in her performance as the play shifts from the early 1980s to her school days a decade earlier and back again.

Ms. Greenidge places St. Ursula's, the private school that Dee attends, in New England, so technically it's not the same as the school of the same name in Cincinnati, but she doesn't shrink from borrowing



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The New Haven Register (nhregister.com), Serving New Haven, CT

Entertainment > Arts

REVIEW: Rep's quietly affecting 'Bossa Nova' seeps into your soul

Thursday, December 2, 2010

By E. Kyle Minor

NEW HAVEN — Control and expectations are dangerous things, especially when they aren't one's own. In Kirsten Greenidge's new play, "Bossa Nova," pressures surround young women that threaten her sense of identity, self-esteem and aspirations.

"Bossa Nova," which receives its world premiere through Dec. 18 at Yale Repertory Theatre, is a quietly affecting play about Dee Paradis (Francesca Choy-Kee), a young, African-American woman who feels a tight squeeze from two strong influences. Her mother, Lady Paradis (Ella Joyce), an upper-class woman of style, wishes Dee to conform to her expectations of what a smart, young woman of color should be (conspicuous by his absence is her husband, Dee's father, an offstage character, perhaps better left to the imagination). Flash back 10 years earlier to Dee in an elite, mostly white prep school, and we see her interact with her naive and free-spirited roommate Grace Mahoney (Libby Woodbridge) and her English teacher Micheal Cabot (Tommy Schrider), a white man infatuated with jazz but not quite so with his wealthy wife Joan (Emily Dorsch). Micheal, too, has strict expectations of how Dee should act and look, and isn't afraid to dress her up for the role. These two pivotal forces direct Dee into some consequential actions, all of which are, in the very best sense, surprising but inevitable.

Smartly directed by Evan Yionoulis, "Bossa Nova" features a tight ensemble of actors that, collectively, brings heart and subtlety to the performance. Choy-Kee pulls off the genuine innocence and charm requisite for Dee, especially as a teenager. She and Woodbridge successfully play their young characters without any sense of affectation. As for



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Daughter adrift in mother's battlefield

By Don Aucoin

Globe Staff / December 7, 2010

NEW HAVEN — Race. Class. Family. Identity. Power.

These are some of the complex chords touched in "Bossa Nova," Kirsten Greenidge's lyrical and ambitious new drama, now at Yale Repertory Theatre, about a young African-American woman struggling to define herself in a world all too eager to do that job for her.

The pivotal event of "Bossa Nova" is the affair, seen in flashbacks, that Dee Paradis (Francesca Choy-Kee) had with a white, married teacher when she was a teenager. But Greenidge, a Boston-area playwright with a patient trust in her own skill, takes her time getting to that.

When we first see Dee, it is the early 1980s, and, at 27, she is apparently still living with her prosperous parents. As Dee helps her mother, Lady Paradis (Ella Joyce), get ready for a swanky dinner party, mother and daughter are locked in a contest of wills.

Lady wants Dee to attend the party (she sees a potential match for her daughter because the guests include a couple whose son went to Stanford); Dee refuses. Even though she herself was poor before she married her husband, Lady believes in fine distinctions of social status — "New money never smells particularly good," she airily declares — and in the codes of proper behavior her daughter should follow to be a success in life.

Dee rolls her eyes at these pronouncements, but it is clear who has the upper hand in this relationship. Lady treats her like a rebellious adolescent, and Dee behaves that way at times, biting her nails constantly. They seldom look directly at each other. Lady focuses on her own face as she carefully applies makeup, while Dee moves restlessly about her mother's bedroom.

But when Lady casually tells Dee that "your sister starts school next week," and adds that 10-year-old Jane (Malenky Welsh) will be attending St. Ursula's, a private girls' school in New England, Dee freezes in her tracks, thunderstruck. She tries to stammer out her objections: "St. Ursula's isn't right for her." Lady, using her daughter's given name, fires back: "We're not discussing, Diane, we're sending. . . . We want the very best. We want all the right influences."

Dee knows a thing or two about the "influences" at the school. The action switches to a decade earlier, and we see the 17-year-old Dee, a studious pupil at St. Ursula's, in her room with her white, working-class roommate, Grace Mahoney (Libby Woodbridge). Grace stands at an easel, blending black and white pigments to create a painting she sees as symbolic of their relationship. The white girl idealizes Dee; she seems to see her black roommate's academic excellence and sterling character as a refutation of her own family's racism.



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Nurturing the Creative Process

Robina Foundation supports playwrights at Yale

Jenn Gambatese as Constance and Sean Palmer as Charles in We Have Always Lived in the Castle

AS THE ASSOCIATE ARTISTIC DIRECTOR of Yale Repertory Theatre, Jennifer Kiger cultivates ties between Yale and today's working playwrights, supporting some of theater's most creative thinkers and their most innovative work. So when playwright Adam Bock and composer Todd Almond set out to adapt Shirley Jackson's 1962 novel, *We Have Always Lived in the Castle*, Kiger and Yale Rep were ready to lend support. "We had wanted to work with Adam for some time," said Kiger, "and this project seemed like the right opportunity."

Bock, who had never written a musical, was equally eager to partner with Yale. "I knew I wanted and needed an institutional collaborator that could stand by us as we developed this unwieldy idea into a new kind of musical," he said.

The project gained momentum in 2008 when the Robina Foundation made a grant founding the Yale Center for New Theatre. Bock's work was a perfect fit for the new program, which supports emerging and established playwrights with commissions and individualized activities that feed the creative process, including professional workshops and opportunities for production. The center's Production Enhancement Fund, also established by Robina, directs financial resources to other theaters mounting first, second, and third productions of new plays and musicals originally commissioned by Yale Rep.

The collaboration with Bock and Almond led to Yale Rep's world premiere of *We Have Always Lived in the Castle* in September. The production was a success with audiences



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COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

1777 F Street, NW, Washington, DC 20006
tel 202.509.8400 fax 202.509.8490 www.cfr.org

International Institutions and Global Governance:

A Program of the Council on Foreign Relations

PLANS FOR FOURTH YEAR OF FUNDING

The defining foreign policy challenges of the first decades of the twenty-first century are global in nature and, if they are to be met, will require the collaboration of many countries. The International Institutions and Global Governance (IIGG) program will devote its fourth year to generating innovative institutional solutions that will facilitate global cooperation, helping senior U.S. officials and their international counterparts translate those ideas into action. The IIGG program will focus on three substantive themes: making existing global institutions more effective; increasing the capacity of regional organizations; and identifying new institutional frameworks and arrangements to solve common problems. The IIGG program will maximize the impact of its efforts by expanding its innovative memo series, disseminating its proposals through a network of think tanks based in the most important countries around the world, and continuing its public education and outreach efforts.

Generating Ideas and Solutions

The IIGG program seeks to identify ways to improve the effectiveness of existing global and regional organizations and to propose new institutional arrangements where current ones are failing or nonexistent.

Making Global Institutions More Effective

During FY12, the IIGG program will continue to generate ideas on how to improve the performance of global institutions such as the International Monetary Fund (IMF), the World Bank, the World Health Organization, and the International Atomic Energy Agency. In developing reform proposals, the IIGG program will convene numerous meetings and consultations with senior officials across the U.S. government, foreign governments, international organizations, and civil society groups. In turn, the IIGG program will advise these same officials on the practical steps they can take to turn reform ideas into reality. During the current programming year, the IIGG program is hosting workshops on strengthening UN peacekeeping and improving UN humanitarian assistance. Promising topics for FY12 include reforming the Human Rights Council, improving the UN's Counterterrorism Committee, and increasing the ability of the IMF, the Group of Twenty (G20), and the World Trade Organization to deal with currency and trade issues.

Enhancing the Capabilities of Regional Organizations

Regional organizations such as the African Union, the Organization of American States, and the Association of Southeast Asian Nations increasingly provide new and more effective vehicles for addressing transnational problems. Their member states may have more at stake, closer cultural ties, or longer histories of cooperation than global institutions. The IIGG program plans separate initiatives on Europe, Asia, Latin America, Africa, and the Middle East to explore how to increase and exploit the capabilities of these regional organizations. The initiatives will be led by CFR fellows who will involve U.S. government officials, foreign diplomats, representatives of regional bodies, and opinion leaders from civil society. The IIGG program will propose steps each organization should take and recommend concrete actions the United States and others should take to ensure that reforms are implemented effectively.

Identifying New Institutions

The United States and the rest of the international community face many problems for which effective institutions or arrangements do not exist or are woefully underdeveloped. Cybersecurity, global energy production, international investment, and counterterrorism are among the most obvious. During FY12, the IIGG program will identify steps that the United States and others should take in these and other issue areas to create new institutions or arrangements. These proposals could include creating entirely new organizations (such as a World Energy or World Investment Organization), developing new legal frameworks (such as a code for acceptable cyber behavior), or encouraging countries to pursue parallel and complementary policies (like the informal nuclear testing moratorium currently observed by the major nuclear powers.)

Making a Difference

The IIGG program was launched with the understanding that ideas need to be aggressively promoted and advocated with policymakers and the public before they can be turned into results. The IIGG program places a high priority on three signature outreach activities: expanding the Policy Innovations memo series; constructing a global network of think tanks; and providing public education on critical global governance issues.

Expanding the Policy Innovations Memo Series

The IIGG program launched its Policy Innovations memo series this year to better reach busy policymakers who need policy recommendations delivered in a form in which the diagnosis and prescription can be easily digested. Written by CFR fellows and outside experts, these 1,000- to 1,500-word essays provide policymakers with short, action-oriented analyses and recommendations to deal with specific global challenges. As is the case with other IIGG program products, the Policy Innovation memos are aggressively marketed to executive-branch policymakers in the United States and abroad. Release of the memos is also carefully coordinated with CFR's Congress and U.S. Foreign Policy Program, which arranges personalized briefings and seminars for members of the House and Senate and their staffs on a wide range of international and economic issues. The memos are also posted on CFR's award-winning website, CFR.org.

Building a Transnational Network to Champion Solutions to Global Problems

Creating more effective international institutions requires more than persuading U.S. officials to act. It also requires persuading other leading governments to act. To this end, the IIGG program plans to use CFR's convening power and reputation to bring together representatives of major policy institutes from twenty of the world's most important countries to participate in candid, off-the-record discussions on how best to promote global cooperation. The first of what we hope will be annual meetings of the "Council of Councils" will be held in November 2011 at CFR's Washington, DC, office. The tentative topics for deliberation are combating climate change and building a stable global

financial system. The objective of the discussions will be to solicit the thoughts of our partners and to disseminate the ideas generated by the IIGG program's research. We hope that the assembled opinion leaders will bring the IIGG program's proposals back to their home governments and thereby promote the emergence of the multilateral consensus needed to spur to action. We would also invite officials from relevant international organizations so that they, too, could channel ideas back to their home institutions.

Beyond the annual conference, the Council of Councils will hold issue-driven regional meetings in rotating locations that are tied to global events such as the forthcoming conference for the UN Framework Convention on Climate Change in Cancun, Mexico, and gatherings of the Group of Twenty (G20). These meetings will serve as the foundation for multi-country policy consultations, research collaboration, and exchange of scholars in particular issue areas. We similarly seek to turn the Council of Councils into a platform for the participating institutions to collaborate as crises (such as terrorist attacks or pandemics) arise by taking advantage of videoconferencing and telecommunications technology.

Deepening Public Understanding of Global Challenges

Sustained U.S. leadership in addressing today's transnational challenges ultimately depends on an informed U.S. citizenry that understands the need for global cooperation and the steps required to achieve it. The IIGG program has since its inception worked to enrich public understanding by producing the **Global Governance Monitor**, an award-winning multimedia initiative. Each component of the Global Governance Monitor tackles a different global issue and provides: (1) a cinematic overview of the topic; (2) a graphical timeline; (3) a primer describing the nature of the problem, recent developments, and U.S. policy options; (4) an interactive global map; (5) a matrix of major relevant treaties and multilateral initiatives, identifying gaps in coverage and implementation; and (6) references for further reading. Past components of the Global Governance Monitor have tackled issues such as oceans and public health. Universities around the country have integrated the Global Governance Monitor into their curricula, and tens of thousands of people from around the world have viewed components of the Global Governance Monitor online. During FY12, the IIGG program will launch two additional installments, on "Promoting Human Rights" and "Combating Transnational Crime."

Summary Financial Budget

Robina Foundation

July 1, 2011 – June 30, 2012

Core Staff	\$578,300
Senior Fellows/Studies Staff	\$610,400
Meetings	\$107,600
Research Travel	\$73,600
Publication	\$36,000
Multimedia	\$43,700
Professional Services	\$21,500
Research Materials	\$7,800
Administrative	\$69,400
Outreach	\$236,400
Project Management	\$288,400
Total Annual Budgets	\$2,073,100

Re: Additional Fourth Year budget background

11/11/10

Hi Penny,

Here is more detail on the Year 4 budget categories we discussed on Monday:

Publications

Category includes costs associated with eight to ten publications by IIGG Director Stewart Patrick and CFR fellows working under the umbrella of the IIGG program. Publications include IIGG-sponsored Working Papers, Meeting Reports, Policy Innovation Memos, and Council Special Reports. This category excludes costs associated with the Global Governance Monitor.

Multimedia

Category includes operating costs associated with the development of two Global Governance Monitor multimedia interactives, including expenses for photographs and video clips, editorial services, and consulting fees.

Administrative

Category considers costs associated with the Executive office, including oversight responsibilities of the program by CFR President Richard Haass, and other personnel expenses.

Outreach

Category includes costs for three departments that support the IIGG program in disseminating research findings and policy recommendations to policymakers, journalists, academia, and interested citizens in the United States and abroad. The three departments are CFR.org, Communications and Marketing, and Outreach.

The Outreach department develops strategies designed to maximize project impact for all IIGG activities. Communications and Marketing coordinates and monitors all outreach efforts on a weekly basis. Lastly, CFR.org provides technical and creative support for IIGG's numerous multimedia initiatives, including the Global Governance Monitor.

Project Management

Category includes indirect cost recovery for institutional expenses incurred by CFR for supporting the IIGG program. This is calculated at a rate of 15% of total direct costs. The category also appropriates funds to library services for research support of the IIGG program.

Please let me know if you have any other questions.

Many thanks,

Stewart Patrick
CFR

Meryl Justin Chertoff
Director

Alice H. Henkin
Director Emerita

Robert B. McKay
Founding Director
(1919-1990)

Roger Meltzer
Chairman
Advisory Committee

January 27th, 2011

Penny Hunt
Executive Director
The Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Re: Grant to the Justice & Society Program

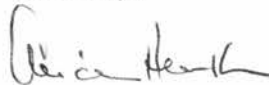
Dear Ms. Hunt,

Enclosed please find a narrative and financial report detailing the use of the Robina Foundation's grant funds to the Aspen Institute's Justice & Society Program. We hope you will be as pleased as we are with the results of our Seminar.

We are very grateful for the support of the Robina Foundation, and hope to be able to work together in educating U.S. federal judges in international human rights laws.

If you have any questions about our report, please do not hesitate to contact me.

Sincerely,



Alice H. Henkin

Encl.

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fx 212.398.4135

The Aspen Institute
Justice & Society Program
Grant Award

To: Penny Hunt, Executive Director, Robina Foundation
Thomas Crosby, Jr., Chairman and Treasurer, Robina Foundation

From: Alice Henkin
Director Emerita, Justice and Society Program
The Aspen Institute

Report on Grant Award to the Aspen Institute's Justice and Society Program.

Narrative

The judicial Seminar on *International Human Rights and Humanitarian Laws: Their Application in National Jurisprudence*, funded by the above grant, was held on November 5-7, 2010 at the Aspen Institute's Wye River Conference Center, located on the Eastern Shore of Maryland. The purpose of this Seminar was to introduce United States federal judges to the body of international human rights and international humanitarian laws and norms that has developed over the years. This subject is largely unfamiliar to U.S. judges, but it has become increasingly relevant as cases challenging the applicability of the Alien Tort Claims Act and the Geneva Conventions are appearing on court dockets with increasing frequency. Our goal was to provide federal judges with the relevant knowledge and context when rendering decisions in cases that implicate international human rights laws, treaties and norms. Based on the verbal feedback and the written evaluation forms we received from the participants, we were successful in this endeavor. As one of the participants, a district court judge who sits in Minneapolis

reported to a Robina Foundation executive, "I thought the timing and balance was perfect for me."

The participants in the Seminar included 15 federal judges from district and appellate courts, a retired senior military officer, and five presenters including a prominent academic, a government official, a foreign judge, and representatives from nongovernmental organizations. In addition, two observers were present, a law professor and a senior officer from the ICRC. The participant list and agenda for the Seminar are attached. (appendix A.) The leading relevant cases in the background material were distributed to the participants in advance; the remainder of the material was made available to participants online, and was also provided at the conference site. (The Table of Contents, appendix B.)

The participants were engaged with the material and actively participated from the outset, having made use of the online access to the reading materials provided prior to the Seminar, and were eager to maximize their time with the faculty. In addition to their presentations, the faculty spent ample time engaging participants' questions both during the Seminar sessions and at meals and social moments. These exchanges demonstrated the judges' curiosity about and desire for more familiarity with the subject of the Seminar.

All the participants were unanimous in their praise as indicated in the evaluation form distributed on the final day of the Seminar and also in subsequent correspondence, all indicated that they would eagerly recommend the program to their peers. Several of their comments are attached. (appendix C.)

Budget

The project as a whole came in slightly over budget and there were some variances between the proposed budget and our actual expenditures, but any shortfalls were covered by unrestricted funds. For this project we were able to spend less on consultant fees as more staff resources were available than had been anticipated, as reflected in the overages on reported salary and administrative expenses. The expenses for Meals and Accommodations came in under budget as holding the conference at Wye Woods offered the program significant savings when compared to venues used in the past. There is a variance in travel expenses as some of the participants drove and did not seek reimbursement for the expense; consequently airfare and ground transportation expenses were lower than anticipated. General administration expenses were higher than projected, as we relocated our office this year and the related expenses were not accounted for in our original budget. Additionally, we were able to provide participants with an electronic copy of the readings prior to the Seminar. This allowed participants to familiarize themselves with the material before arriving at the Seminar, and saved the program the additional expense of mailing the volumes to the participants. Additional expenses however, were incurred to get the new system up and running. Finally, the budget for Moderators' Honoraria was overestimated, as several of our presenters represent organizations that do not allow them to receive compensation for their participation. The final financial report is appended to this report.

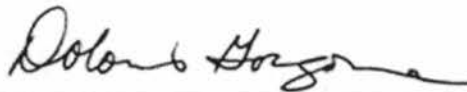
The Aspen Institute
Final Financial Report - Robina Foundation Award
January 26, 2011

Budget category	Approved budget	Expenditures to date - 6/1/2009 - 1/20/2011	Remaining balance
Salaries			
Alice Henkin, Director Emerita	\$24,345	\$41,971	-\$17,626
Lauren Crain, Program Coordinator	\$14,968	\$16,713	-\$1,745
Mary Holland, Program Consultant	\$6,000	\$0	\$6,000
Employee Benefits	\$13,594	\$17,606	-\$4,012
Conference-Related Expenses			
Accommodations and Meals	\$26,250	\$20,270	\$5,980
Travel	\$17,500	\$8,641	\$8,859
Readings/Copier Charges/Office Supplies	\$3,000	\$6,201	-\$3,201
Moderators' Honoraria	\$5,000	\$3,000	\$2,000
18% Overhead to the Aspen Institute	\$19,918	\$16,298	\$3,620
Total	\$130,575	\$130,700	-\$125

I, Dolores Gorgone, Chief Financial Officer, hereby affirm that the information provided in this financial report is true and accurate.

I further affirm that this project does not include any lobbying activities as that term is defined in the Internal Revenue Code.

Dolores Gorgone
Name (Printed)



Signature

1/27/2011

Date

Appendix A



THE ASPEN INSTITUTE

Justice and Society Program
Judicial Seminar

*International Human Rights and Humanitarian Laws:
Their Application in National Jurisprudence*

November 5-7, 2010
Queenstown, MD

Participant List

Judge Janet Bond Arterton
United States District Court
District of Connecticut
New Haven, CT

Christopher Arterton

Judge Nicolas Bratza
United Kingdom Judge
European Court of Human Rights
Strasbourg, France

Judge Denise L. Cote
United States District Court
Southern District of New York
New York, NY

Judge Joan B. Gottschall
United States District Court
Northern District of Illinois
Chicago, IL

David Graham
Executive Director
U.S. Army Judge Advocate General
Legal Center and School
Charlottesville, VA

Lynn Graham

Alice H. Henkin
Director Emerita
Justice and Society Program
The Aspen Institute
New York, NY

Judge Richard J. Holwell
United States District Court
Southern District of New York
New York, NY

Judge Kenneth M. Hoyt
United States District Court
Southern District of Texas
Houston, TX

Vee Hoyt

Judge Ellen Segal Huvelle
United States District Court
District of Columbia
Washington, DC

Jeffrey Huvelle

Judge Barbara M. Lynn
United States District Court
Northern District of Texas
Dallas, TX

Mike Lynn

Appendix A

Elisa Massimino
President & CEO
Human Rights First
Washington, DC

Judge Ann D. Montgomery
United States District Court
District of Minnesota
Minneapolis, MN

Ted Smetak

Chief Judge Solomon Oliver, Jr.
United States District Court
Northern District of Ohio
Cleveland, OH

Juan Osuna
Deputy Assistant Attorney General
U.S. Department of Justice
Washington, DC

Jelena Pejic
Legal Adviser
International Committee of the Red Cross
Geneva, Switzerland

Judge Barbara J. Rothstein
Director
Federal Judicial Center
Washington, DC

Ted Rothstein

Judge Ilana Diamond Rovner
United States Court of Appeals
Seventh Circuit
Chicago, IL

Judge Shira Ann Scheindlin
United States District Court
Southern District of New York
New York, NY

Stanley Friedman

Judge Sidney H. Stein
United States District Court
Southern District of New York
New York, NY

Ralph G. Steinhardt
Arthur Selwyn Miller Research Professor of Law
George Washington University Law School
Washington, DC

Judge Carl E. Stewart
United States Court of Appeals
Fifth Circuit
Shreveport, LA

Judge Roger L. Wollman
United States Court of Appeals
Eighth Circuit
Sioux Falls, SD

Diane M. Wollman

Judge Rya W. Zobel
United States District Court
District of Massachusetts
Boston, MA

James Finke

Observers

Professor Martha F. Davis
Associate Dean for Clinical and
Experiential Education
Northeastern University School of Law
Boston, MA

Paul Kong
Program Officer
Regional Delegation for the U.S. and Canada
International Committee of the Red Cross
Washington, DC

Appendix A



THE ASPEN INSTITUTE

Justice and Society Program

INTERNATIONAL HUMAN RIGHTS AND HUMANITARIAN LAWS: THEIR APPLICATION IN NATIONAL JURISPRUDENCE

November 5-7, 2010
Queenstown, MD

Agenda

Friday, November 5th

12:00 – 12:30pm	Arrival and Registration at Wye Woods	
12:30	Lunch	
1:15	Welcome and Introductions	Alice Henkin The Aspen Institute
1:30 – 3:30	The Origins of International Human Rights Law <i>Historical and Political Background</i>	Elisa Massimino Human Rights First
	The International Standards: Treaties, Customary Law and Universal Jurisdiction	Ralph Steinhardt George Washington University Law School
3:30 – 3:45	Coffee Break	
3:45 – 5:45	International Humanitarian Law: Principal Concepts and Current Challenges	Jelena Pejic International Committee of the Red Cross
6:30	Cocktails	
7:00	Dinner	

Appendix A

Saturday, November 6th

7:30 – 8:30	Breakfast	
8:30 – 10:30	The Role of International and Foreign Law in U.S. Judicial Doctrine: Constitutional and Statutory Interpretation	Ralph Steinhardt
10:30 – 10:45	Coffee Break	
10:45 – 12:45	The Role of International and Foreign Law in the 9/11 Cases	Ralph Steinhardt
1:00	Lunch	
3:30 – 5:30	Refugees: International Legal Principles and Their Application in U.S. Law	Juan Osuna U.S. Department of Justice
4:15 – 4:30	Coffee Break	
6:30	Cocktails	
7:00	Dinner	

Sunday, November 7th

7:00 – 8:00am	Breakfast	
8:15 – 12:45	Implementation in Regional Human Rights Systems <i>The European System</i>	Nicolas Bratza European Court of Human Rights
	<i>The Inter-American System</i>	Elisa Massimino
	<i>International Tribunals</i>	Elisa Massimino
1:00	Lunch and Departures	

Appendix B
International Human Rights and Humanitarian Laws:
Their Application in National Jurisprudence

Seminar Readings
November 5-7, 2010
Wye Woods
Queenstown, MD

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Protocol Relating to the Status of Refugees.....	[p. 68]
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*The following documents can be found in the red booklet:
"Columbia University, Center for the Study of Human Rights,
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INTERNATIONAL HUMANITARIAN LAW: PRINCIPAL CONCEPTS AND CURRENT CHALLENGES

The following documents can be found in the International Committee of the Red Cross books available at the Conference

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Protocols Additional to the Geneva Conventions of 12 August 1949

Appendix B

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Appendix B

B. THE INTER-AMERICAN SYSTEM

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Appendix C

Participant Feedback

The seminar was wonderful. It's already made a big difference in my life--I noted some action by the Ninth Circuit this morning on an alien tort claims issue--something I would have ignored before the seminar, but which I will read with interest now. It's clear to me that there is an entire body of law which I will be able to scrutinize with much greater interest and much more intelligently now than would have been possible two weeks ago.

* * *

As almost always in these seminars, by far the most interesting and valuable times were the questions and discussion by the participants – their questions were often ones I had in mind as well – and the discussion during breaks and over meals with the presenters and the participants.

* * *

I enjoyed all of the sessions. Each presenter was very knowledgeable and articulate.

* * *

It was very worthwhile both practically and as a matter of education generally

* * *

It was such a rich program that my appetite is whetted for more understanding of how specific cases were presented in the international tribunals.

* * *

I would like to have another session on international systems but you should not sacrifice any session, so there should be one ½ day more.

Calendar for year 2011 (United States)

January Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 4:● 12:○ 19:○ 26:●	February Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 2:● 11:○ 18:○ 24:●	March Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 4:● 12:○ 19:○ 26:●
April Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 3:● 11:○ 17:○ 24:●	May Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 3:● 10:○ 17:○ 24:●	June Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 1:● 8:○ 15:○ 23:●
July Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 1:● 8:○ 15:○ 23:○ 30:●	August Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 6:○ 13:○ 21:○ 28:●	September Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 4:○ 12:○ 20:○ 27:●
October Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 3:○ 11:○ 19:○ 26:●	November Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 2:○ 10:○ 18:○ 25:●	December Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 2:○ 10:○ 17:○ 24:●

Holidays and Observances:

Jan 1 New Year's Day
Jan 17 Martin Luther King Day
Feb 14 Valentine's Day
Feb 21 Presidents' Day
Apr 24 Easter Sunday
May 8 Mother's Day

May 30 Memorial Day
Jun 19 Father's Day
Jul 4 Independence Day
Sep 5 Labor Day
Oct 10 Columbus Day (Most regions)
Oct 31 Halloween

Nov 11 Veterans Day
Nov 24 Thanksgiving Day
Dec 24 Christmas Eve
Dec 25 Christmas Day
Dec 26 'Christmas Day' observed

ROBINA FOUNDATION
FINANCIAL STATEMENTS

December 31, 2010

(Compiled)

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ACCOUNTANT'S COMPILATION REPORT

Board of Directors
Robina Foundation

We have compiled the accompanying statements of financial condition (excise tax basis) of Robina Foundation as of December 31, 2010 and 2009, and the related statements of activities (excise tax basis) for the periods indicated and supplementary information, which is presented only for supplementary analysis purposes, as listed in the accompanying index, in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants.

A compilation is limited to presenting in the form of financial statements and supplementary schedules information that is the representation of the trustees. We have not audited or reviewed the accompanying financial statements and supplementary information and, accordingly, do not express an opinion or any other form of assurance on them.

Management has elected to omit substantially all of the disclosures and the statements of cash flows required by U.S. generally accepted accounting principles. If the omitted disclosures and statements of cash flows were included in the financial statements, they might influence the user's conclusions about the Foundation's financial position, results of operations, and cash flows. Accordingly, these financial statements are not designed for those who are not informed about such matters. We are not independent with respect to Robina Foundation.

Mayer Hoffman McCann P.C.

Minneapolis, Minnesota
January 19, 2011

Robina Foundation
STATEMENTS OF FINANCIAL CONDITION
(Excise Tax Basis)
December 31, 2010 and 2009

	<u>2010</u>	<u>2009</u>
ASSETS		
CURRENT ASSETS		
US Bank checking account	\$ 5,269,343	\$ 3,296,464
Prepaid federal excise tax	<u>0</u>	<u>0</u>
TOTAL CURRENT ASSETS	<u>5,269,343</u>	<u>3,296,464</u>
INVESTMENTS		
US Bank	20,985,449	30,833,149
TIFF Mutual Funds	9,955,973	9,757,481
Land	<u>0</u>	<u>0</u>
TOTAL INVESTMENTS	<u>30,941,422</u>	<u>40,590,630</u>
PROPERTY AND EQUIPMENT		
Furniture and fixtures	13,311	13,311
Less: accumulated depreciation	<u>6,202</u>	<u>4,301</u>
TOTAL PROPERTY AND EQUIPMENT	<u>7,109</u>	<u>9,010</u>
 TOTAL ASSETS	 <u><u>\$ 36,217,874</u></u>	 <u><u>\$ 43,896,104</u></u>

See Accountants' Compilation Report

Robina Foundation
STATEMENTS OF FINANCIAL CONDITION
(Excise Tax Basis)
December 31, 2010 and 2009

	<u>2010</u>	<u>2009</u>
LIABILITIES		
CURRENT LIABILITIES		
Accounts payable	\$ 0	\$ 0
Accrued expenses	0	0
Grants payable	<u>0</u>	<u>0</u>
TOTAL CURRENT LIABILITIES	<u>0</u>	<u>0</u>
NET ASSETS		
Foundation equity	<u>36,217,874</u>	<u>43,896,104</u>
TOTAL NET ASSETS	<u>36,217,874</u>	<u>43,896,104</u>
 TOTAL LIABILITIES AND NET ASSETS	 <u>\$ 36,217,874</u>	 <u>\$ 43,896,104</u>

See Accountants' Compilation Report

Robina Foundation
STATEMENTS OF ACTIVITIES
(Excise Tax Basis)

Twelve Months Ended December 31, 2010 and 2009

	<u>Year-To-Date This Year</u>		<u>Year-To-Date Last Year</u>	
	<u>Amount</u>	<u>%</u>	<u>Amount</u>	<u>%</u>
REVENUES				
Investment income:				
Interest income	\$ 1,026,220	139.4%	\$ 875,435	119.0%
Dividend income	0	0.0	0	0.0
Capital gain distributions	0	0.0	0	0.0
Realized gains and losses	(206,956)	(28.1)	(107,082)	(14.6)
Investment fees	(83,328)	11.3	(45,985)	6.2
Total investment income	735,936	100.0	722,368	98.2
Contributions	0	0.0	20,000,000	2,717.6
Miscellaneous income	0	0.0	0	0.0
TOTAL REVENUES	735,936	100.0	20,722,368	2,815.8
EXPENSES				
Grants paid	8,203,570	1,114.7	7,690,558	1,045.0
Administrative expenses	207,597	28.2	391,376	53.2
TOTAL EXPENSES	8,411,167	1,142.9	8,081,934	1,098.2
OPERATING INCOME (LOSS)	(7,675,231)	(1,042.9)	12,640,434	1,717.6
Federal excise tax	3,000	(0.4)	7,000	(1.0)
INCREASE (DECREASE) IN NET ASSETS	(7,678,231)	<u>(1,043.3)%</u>	12,633,434	<u>1,716.6%</u>
NET ASSETS, BEGINNING OF YEAR	43,896,105		31,262,670	
TOTAL NET ASSETS	<u>\$ 36,217,874</u>		<u>\$ 43,896,104</u>	

See Accountants' Compilation Report

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF INVESTMENTS
(Excise Tax Basis)

Twelve Months Ended December 31, 2010 and 2009

	<u>US Bank Investment</u>		<u>Tiff Mutual Funds</u>	
	<u>12/31/2010</u>	<u>12/31/2009</u>	<u>12/31/2010</u>	<u>12/31/2009</u>
Cost basis	\$20,985,449	\$30,833,149	\$ 9,955,973	\$ 9,757,481
Market value	<u>21,160,517</u>	<u>30,793,371</u>	<u>9,262,202</u>	<u>8,183,917</u>
Unrealized gains (losses)	<u>\$ 175,067</u>	<u>\$ (39,778)</u>	<u>\$ (693,771)</u>	<u>\$ (1,573,565)</u>

See Accountants' Compilation Report

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF ADMINISTRATIVE EXPENSES
(Excise Tax Basis)
Twelve Months Ended December 31, 2010 and 2009

	<u>Year-To-Date This Year</u>		<u>Year-To-Date Last Year</u>	
	<u>Amount</u>	<u>%</u>	<u>Amount</u>	<u>%</u>
ADMINISTRATIVE EXPENSES:				
Accounting & audit fees	\$ 7,490	1.0	\$ 28,025	0.1
Bank charges	0	0.0	25	0.0
Contract services:				
Gordon Aamoth	0	0.0	175,000	0.8
Penelope Hunt	63,333	8.6	4,167	0.0
Jean Sazevich	0	0.0	16,023	0.1
Baker Management	29,700	4.0	28,480	0.1
Other consultants	6,000	0.8	48,312	0.2
Other services	0	0.0	0	0.0
Depreciation expense	1,902	0.3	1,902	0.0
Directors' fees	49,167	6.7	35,000	0.2
Insurance:				
Directors' and officers	4,800	0.7	4,800	0.0
Property	506	0.1	502	0.0
Legal fees	4,376	0.6	1,733	0.0
Meeting expense	18,947	2.6	19,494	0.1
Membership dues	495	0.1	495	0.0
Miscellaneous expense	793	0.1	1,025	0.0
Office expense	1,727	0.2	2,312	0.0
Office supplies	583	0.1	358	0.0
Parking & mileage	2,449	0.3	1,731	0.0
Postage & delivery	863	0.1	1,078	0.0
Printing, web design & maintenance	440	0.1	1,191	0.0
Publications & subscriptions	0	0.0	21	0.0
Rent expense	11,371	1.5	17,085	0.1
Telephone & internet	2,655	0.4	2,617	0.0
 TOTAL ADMINISTRATIVE EXPENSES	 \$ 207,597	 28.2	 \$ 391,376	 1.9

See Accountants' Compilation Report

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF ADMINISTRATIVE EXPENSES WITH BUDGETS
(Excise Tax Basis)
Twelve Months Ended December 31, 2010

	<u>Year-To-Date This Year</u>			<u>Annual</u>
	<u>Actual</u>	<u>Budget</u>	<u>Variance</u>	<u>Budget</u>
ADMINISTRATIVE EXPENSES:				
Accounting & audit fees	\$ 7,490	\$ 15,000	\$ 7,510	\$ 15,000
Contract services:				
Gordon Aamoth	0	0	0	0
Penelope Hunt	63,333	50,000	(13,333)	50,000
Jean Szevich	0	0	0	0
Baker Management	29,700	29,700	0	29,700
Other consultants	6,000	15,000	9,000	15,000
Other services	0	0	0	0
Depreciation expense	1,902	1,902	0	1,902
Directors' fees	49,167	60,000	10,833	60,000
Insurance:				
Directors' and officers	4,800	4,800	0	4,800
Property	506	502	(4)	502
Legal fees	4,376	2,000	(2,376)	2,000
Meeting expense	18,947	20,000	1,053	20,000
Membership dues	495	495	0	495
Miscellaneous expense	793	1,000	207	1,000
Office expense	1,727	3,000	1,273	3,000
Office supplies	583	500	(83)	500
Parking & mileage	2,449	2,000	(449)	2,000
Postage & delivery	863	2,000	1,137	2,000
Printing, web design & maintenance	440	2,000	1,560	2,000
Professional development	0	2,000	2,000	2,000
Publications & subscriptions	0	30	30	30
Rent expense	11,371	11,670	299	11,670
Telephone & internet	2,655	3,000	345	3,000
TOTAL ADMINISTRATIVE EXPENSES	<u>\$ 207,597</u>	<u>\$ 226,599</u>	<u>\$ 19,002</u>	<u>\$ 226,599</u>