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ROBINA FOUNDATION
ANNUAL MEETING

AUGUST 25-26, 2009

Minneapolis, Minnesota

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ANNUAL EVALUATION REPORT: Year 1

Care Guides in the Primary Care Office:

**Developing and testing an efficient, sustainable model for
improving chronic disease outcomes**

A Program Update from Abbott Northwestern Hospital

Richard Adair, MD
Principal Investigator

Penny Wheeler, MD
Executive Sponsor

July 31, 2009

I. Introduction

This two-part research project is designed to determine whether employees without formal clinical training can improve care for patients with chronic diseases in a primary care medical office.

Phase 1 of the project is a pilot study designed to determine the feasibility and logistics of adding such “care guides” to the primary care team. Key questions include whether they can be hired at a reasonable salary and trained in a reasonable period of time, whether they can be inserted into the physical space and culture of a medical office, and whether they would be accepted as partners by patients, doctors, and nurses. The pilot test experience also provides an opportunity to better understand what kinds of people to hire, how to train and supervise them, how many patients a care guide can effectively manage, how best to recruit patients, which kinds of patients enroll and benefit, how results can be measured, and what kinds of tools are needed in the electronic health record (EHR) to facilitate this work. The Phase 1 pilot study uses a before-and-after design in a single clinic. While Phase 1 may provide some preliminary indication as to whether this approach is effective for improving chronic disease endpoints, its primary purpose is to inform the implementation of a broader, more robust test of this approach in Phase 2.

Phase 2 of the project has a more quantitative focus. Can care guides measurably improve the health status of patients with common diseases for which best care practices are clearly defined – and at what cost? Phase 2 requires a larger number of patients from diverse populations across multiple clinics, and requires a rigorous randomized design in which some patients receive the services of a care guide and others do not.

This research is timely, given the national debate surrounding how the United States should organize and pay for medical care, and rescue its threatened primary care system. To our knowledge such an approach has not been tried elsewhere, and thus has the potential to be transformative, in accordance with the mission of the Robina Foundation.

This report describes progress to date and preliminary learnings and results from Phase 1.

II. Summary of original goals and progress towards meeting them

The following goals and objectives appear in Section 1.3 of the original grant proposal (page 7):

1. Develop care guide position description including planned activities; define required competencies and develop training modules.

We have met this goal. We have attached: (1) a position description used for recruiting care guides (Appendix A); (2) an article from the Minneapolis Star Tribune (October 2008) which was submitted by Abbott Northwestern's public relations department and was very helpful in generating a pool of applicants (Appendix B); (3) a refined curriculum and training schedule for the care guides (Appendix C); and (4) a care guide competency checklist (Appendix D).

Individuals from a variety of disciplines were engaged in care guide training modules: physicians, nurses, a pharmacist, a diabetes nurse clinician, an expert on motivation and behavioral change, a social worker, a community activist speaking on cross-cultural communication, a translator, electronic health record instructors, and a dietician. Instructors participating in the care guide curriculum were generally salaried Allina employees paid their usual hourly rate. The training was 8 hours daily for 2 weeks, followed by occasional supplemental sessions as requested by the care guides, project manager, or principal investigator.

2. Formalize and integrate the care contract within the EHR.

We have met this goal. The assistant project manager, Jean Berquist, RN, led a technical team in this complex and time-consuming process. We determined almost immediately that this effort would require a dedicated full-time staff member for several months to achieve the working health information technology (IT) support required for the project within the projected timeline. Attached are examples of the three key electronic components and functionality integrated into the EHR by the team:

- The formal **Care Contract** signed by patient, doctor, and care guide (Appendix E). The patient takes a copy home, and the original is scanned into the "letters" section of the EHR.
- A **Care Goal Report** for patients, for monitoring goals met and not met (Appendix F). This is printed and given periodically to patients for purposes of praise and motivation. It resides in the "flowsheets" section of the EHR.
- A **Quarterly Report** for physicians that provides quantitative feedback on each enrolled patient and lists total goals met and not met (Appendix G). The report includes data on recent blood pressure and hemoglobin A1c results, counts and modes of contact between care guide and patient, numbers of ED visits and hospitalizations, and the cost of medications the physician is currently prescribing. This is sent electronically to each physician on a quarterly basis via the "chart update" function in the EHR.

3. Establish program in existing clinic structure, including recruiting and training staff, and "bricks and mortar" accommodations.

We have met this goal. We hired a highly capable and energetic project manager, Deb Elumba, RN, who has a background in clinical nursing and outpatient clinical research. She has proven to be an essential resource for the care guides. We received 144 applications for the care guide position, conducted initial screening interviews via phone with 35, interviewed 11 finalists, and ultimately hired 4:

- Margaret Funk – a 2008 graduate of Grinnell College in Iowa; fluent in Spanish
- Yurub Jama – a 2008 graduate of the University of Minnesota; fluent in Somali
- Allison Shipley -- a 2005 graduate of the University of Minnesota
- Ahmed Bihi – a 2008 graduate of the University of Minnesota; fluent in Somali.

Note: Ahmed moved to Chicago about 2 months later and his patients were assigned to the other three care guides.

All of these individuals are mature beyond their years and have demonstrated exceptional skill with interpersonal relations. They are organized, smart, and computer-savvy, and are all currently aspiring to careers in medicine, nursing, or public health. The average salary of the care guides is \$16/hour. We interviewed older persons with more life experience but weaker computer skills, as well as younger applicants with only 2-year college degrees, but found that recent, 4-year college graduates were a seemingly better fit. The care guides consistently have performed at an extremely high level and are largely responsible for our outstanding success with patient recruitment (71% participation).

We configured four workstations for the care guides within our existing clinic floor plan – three in our clinic waiting room and one in an exam room. Each workstation consists simply of desk space, three chairs, a telephone, and a computer. A photograph of a work station in the waiting room is attached (Appendix H).

4. Consolidate and prepare referral information and resources.

We have met this goal. Attached are a list of referral resources within Allina and the broader community prepared for the care guides (Appendix I), and copies of patient handouts our clinic physicians developed *de novo* for this project using recommendations from the American Diabetes Association, the American Heart Association, and the 7th Joint National Committee on Prevention, Detection, Evaluation, and Treatment of High Blood Pressure (Appendices J,K,L). These hand-outs have been essential in delineating for the care guides what they can and cannot say in their role as non-clinicians. In brief, they are authorized to discuss material included in the hand-outs, but are instructed to refer all other questions to nurses or doctors.

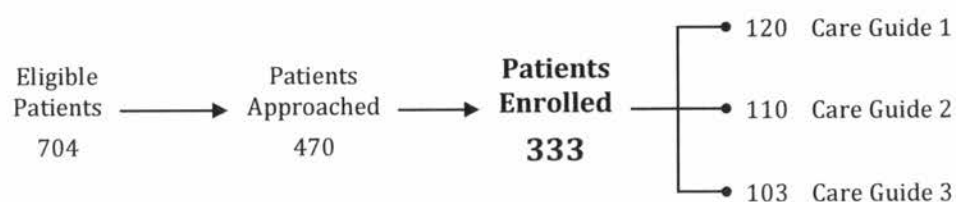
5. Convene and prepare affiliated care providers.

We have partially met this goal. In terms of logistics and scheduling, “convening” our large network of consultants (consisting of both Allina-employed and private providers) proved difficult, but our clinic managers have met independently with a significant proportion of them to explain the project and solicit support.

6. Recruit and enroll participants and key family members; assign patient-guide teams.

We have met this goal. A formal statistical power calculation estimated that we would need 324 patients in order to detect a 10% change, positive or negative, during the timeframe of the pilot. We enrolled 333 patients in three months (March-May 2009; Figure 1). An initial pool of 704 patients met the study eligibility requirements (i.e. seen in Medicine Clinic during the previous year for one of the three conditions, over 18 years of age, and not pregnant). Participation was offered to 470 of these patients, and 333 elected to participate (71% participation). Each of the 46 primary care physicians in the Medicine Clinic was assigned to one care guide, although exceptions were allowed for reasons of language. This resulted in caseloads of 120, 109, and 104 patients per care guide.

Figure 1. Patient recruitment and care guide allocation, March 2009 – May 2009



All patients were asked to nominate a key family member or friend to assist them in meeting care goals. A small proportion (9%) of patients already had a family member or friend with them at the time of the enrollment interview. Only 30% of the remaining patients were willing to nominate someone for this role, and many seemed uncomfortable with this request.

7. Implement the intervention in a single clinic site.

We have met this goal. Medicine Clinic is located in inner-city Minneapolis and staffed by 46 internal medicine resident doctors and 7 staff physicians. Initially there was considerable skepticism on the part of the resident physicians and nurses, but the project is now progressing smoothly. Recruitment goals have been met, the electronic tools are working well, data are being collected, and we are receiving very positive feedback from patients. Minutes from the first Patient Advisory Council meeting are attached (Appendix M). Nurses and resident doctors still attempt to refer new patients to the program despite the fact that enrollment for the pilot study has officially ended.

8. Measure and understand process and impact.

We have partially met this goal. Descriptive data on the 333 enrolled patients are available (Appendix N), as are data from a 16-item healthcare attitudes survey conducted at the time of enrollment (not attached). We also continue to collect and assemble data on the following: clinical endpoints, frequency and type of care guide interactions with patients and physicians, qualitative feedback on how clinic staff members feel about the project, and project-related cost data (e.g. salaries, clinic modifications, emergency room visits and hospitalizations for enrolled patients). The research team from Medicine Clinic is responsible for producing clinical endpoint data, and investigators from the University of Minnesota School of Public Health are directing the collection and consolidation of process and cost data. A research assistant has been hired to assist both teams. The teams meet every Wednesday morning to exchange ideas and resolve problems.

Preliminary observations in the form of a summary of care goals met at baseline by the 333 enrolled patients, as well as for a subset of enrolled patients after the first quarter ($n = 261$), is attached (Appendix O). First quarter data ($n = 261$) indicate improvement in the total number of care goals met, systolic blood pressure, and diastolic blood pressure, but not in hemoglobin A1c. Hemoglobin A1c measures average glucose control over several weeks, so changes typically occur slowly.

9. Summarize pilot learnings and refine the intervention in preparation for project expansion.

We have not met this goal. While the Robina Advisory Team is exploring preliminary data and is actively engaged in discussions about initial implementation challenges and opportunities for modification, these learnings and reflections have not been formally summarized. More time is needed to carefully analyze preliminary data, assess patient and provider feedback, extend and refine discussions, and formalize conclusions. We offer some preliminary commentary in Section III of this report.

10. Implement a large randomized controlled trial of the intervention in three additional ambulatory settings.

This goal is not currently applicable. This describes Phase 2, which has not begun. We are requesting authorization from the Robina Foundation before proceeding with Phase 2.

11. Disseminate findings to the broader healthcare community.

We have not met this goal. See Section IV below.

III. Unanticipated results? What have you learned? Will you make changes?

Encountered significant challenges related to development of the health IT tools.

Creating useful tools within the EHR was unexpectedly difficult and tedious work. The health IT build for this project required input and collaboration from four different teams responsible for varying parts of the EHR. IT personnel responsible for the implementation, maintenance, and expansion of the EHR across our large provider system (i.e. Allina Hospitals & Clinics) have been overwhelmed with requests from other quality improvement initiatives and their work queue is extensive. We also did not initially consider the implications our project-specific reports would have on other reporting functionality in the same electronic platform, and these implications had to be carefully considered. Expanded EHR tools were an essential element in our approach, and it was clear that these problems had the potential of causing major project delays. In response, we hired an assistant project manager, Jean Berquist, an experienced nurse who had developed a second career building electronic tools within the Allina EHR. She organized weekly meetings with representatives of the various IT teams and facilitated expedited tool and report builds. As a result of her efforts, we were able to start enrollment on schedule, although not all tools were working properly at first.

Telephone recruitment was ineffective.

Our initial plan was to recruit patients by phone – to have the care guides phone patients, introduce them to the program, and invite them to come to the clinic for an enrollment visit. However, during the early weeks of recruitment, we found that most patients would decline this invitation by phone, perhaps fearing the word “research.” Furthermore, many of those who initially agreed via phone and scheduled appointments failed to keep those appointments. As a result, we modified our recruitment strategy during the third week of enrollment, and adopted an “in-person” approach whereby the initial contact with eligible patients occurred face-to-face in the clinic. This was accomplished by having the care guides review the daily appointment rosters in the clinic and flag potential patients for physicians. The physicians were asked to walk these identified patients out to the care guide workstations after the completion of the medical visit and introduce them to the respective care guide. Care guides would then explain the project and either consent and enroll the patient then and there, or make a follow-up appointment for an enrollment visit as requested. This new strategy was highly successful and we intend to continue this approach during Phase 2.

Health status of participants was better than expected.

Patients who enrolled in the study were doing much better than we expected in meeting care goals. For reasons that remain unclear, reports from last year describing Medicine Clinic patients proved inaccurate or out of date. For instance, over 95% of CHF patients were meeting most care goals at the time of enrollment, which allowed minimal room for improvement. In Phase 2 the study team intends to target this intervention accurately and purposefully on the subset of patients who need it most. We are actively considering different strategies for accomplishing this objective. Phase 1 data will help us characterize patients most likely to benefit.

Confronting resistance from providers.

As anticipated, we encountered significant resistance to this project from both nurses and doctors. Nurses were primarily concerned with the threat of lost physical space and the fear that care guides would overstep their role. Doctors were concerned that they would be besieged by messages from care guides and that their overall speed in accomplishing clinical tasks would be negatively affected. To validate and address these concerns, we initially limited care guide-physician communications, and ensured that the care guides understood the limits of their role by incorporating disease-specific hand-outs (see goal #4 in Section II above). Additionally, care guides were given explicit instructions and training about when to refer questions to nurses and doctors. Gradually, the program was accepted and

the care guides have established credibility and earned trust. When Phase 2 commences, we expect similar concerns will be raised by physicians and nurses in the newly selected clinics and the pilot study experience will make us better prepared to respond to these anxieties. The number of care guides inserted in each clinic will be minimized to avoid a sense of invasion. We also intend to identify a physician champion at each clinic – someone to endorse the project and promote collective interest and support from physicians and clinic staff – and will consider providing Phase 2 clinics with testimonials from Medicine Clinic staff.

Patients disliked the idea of a key family member or friend being involved in their care.

We were surprised by the fact that many patients did not like being asked to nominate a key family member or friend as a formal partner in their care. Some patients were elderly and alone (e.g. recently widowed) and appeared to find this request painful. Others felt it was an intrusion of their privacy. Only 30% were willing to nominate someone. For Phase 2, we plan to use these family/friend nominees informally and as appropriate on a case-by-case basis.

Patients were willing to tell care guides things they did not reveal to their physicians.

Although we expected that young care guides might be less intimidating than physicians, we were surprised at how often patients would reveal to care guides that they could not afford prescribed medication, weren't testing their blood sugar levels at home, and so on. Some of these "confessions" were followed by dramatic improvements in control of diabetes and hypertension.

IV. What are your plans to share your results of findings?

We are actively engaged in sharing the news about this research project within our community. This project was introduced to the lay public by way of a feature, front-page article which appeared in the Minneapolis Star Tribune in October 2008 (Appendix B). Internally, we have also presented the study formally to the Allina Board of Directors Quality Committee, to the Allina All Leaders annual meeting, to the Abbott-Northwestern Foundation, and at Medicine Grand Rounds. We are meeting with the leadership of Allina Ambulatory Services, which serves over 1 million patients, to discuss what role this concept could play in creating patient-centered medical homes.

Going forward, we plan to share our experiences with the four outside reviewers identified by the Robina Foundation who are nationally recognized experts in the field of healthcare redesign. Specifically, we intend to solicit advice and comments from Dr. Schroeder. We also plan to publish Phase 1 results in a peer-reviewed internal medicine journal (e.g. *Archives of Internal Medicine* or the *American Journal of Medicine*) and a public health journal.

In a June 2009 issue of the *New England Journal of Medicine*, Dr. Thomas Bodenheimer and others proposed the concept of regional centers that could offer practical advice for medical offices engaged in creating patient-centered medical homes, akin to agricultural extension services available to farmers. If our approach is successful, a long-term vision for this work might include the contribution of our model to the toolkits made available through such centers.

V. Please attach an income and expense statement for this grant period

The requested statement is attached (Appendix P). We feel we have been exceptionally conscientious in our stewardship of the grant generously provided by the Robina Foundation. The only major unbudgeted expense was related to the hiring of Jean Berquist as an assistant project manager to facilitate timely building of the EHR tools. She has unique capabilities and has been essential to our early success. A second deviation from the originally proposed budget was an underutilization of the funds appropriated for consultation. As the project was implemented, we found that a variety of internal Allina and ANW staff/consultants provided very helpful advice without expressly billing the project, determining that such advice was within their normal job description. For this reason, our original budget for consultants proved to be higher than our actual needs.

VI. Please distinguish work funded by the Robina grant from your broader work and funding

At this time, we are not engaged in any other work in this field and have no other funding.

Appendix A.

Care guide position description

Introduction

Allina Hospitals & Clinics is a not-for-profit system of hospitals, clinics and other health care services with more than 23,500 employees, 5,000 physicians and 2,500 volunteers dedicated to meeting the lifelong health care needs of patients and communities throughout Minnesota and western Wisconsin. Allina is a vibrant, growing organization with opportunities to suit your professional skills and a diverse work environment to match your specific interests. We believe employees are our greatest asset and are dedicated to helping you develop and maximize your professional skills

Abbott Northwestern Hospital is the largest not-for-profit hospital in the Twin Cities with a longstanding tradition of compassionate care and service; centers of excellence in cardiovascular care, oncology, neuroscience, orthopedics and obstetrics; and leadership in education and clinical research. Located in Minneapolis, Minn., Abbott Northwestern is a 633-bed hospital. Its 5,330 employees and 1,586 physicians care for nearly 370,000 patients and their families each year from the Twin Cities area and throughout the Upper Midwest.

Responsibilities

Care guides will serve as the central facilitators of the proposed study. Their general functions will include:

- Encouraging patients to take control of their illness
- Educate patients about the considerable benefits of best practice treatment
- Communicating with patients, families, and providers to keep the entire care team, including the primary care provider, focused on meeting care guidelines
- Engaging family/friend support in a formal and consistent manner
- Supporting medication and treatment adherence
- Identifying and facilitating resolution of barriers to quality care
- Facilitating referrals to extended care team members
- Introducing patients to the wide variety of services available across Allina

Qualifications

- Education:
 - At least two years of college coursework
- Experience and skills:
 - Must be friendly and approachable
 - Excellent verbal communication skills
 - Energetic and enthusiastic
 - Self-confident
 - Willing to help people without enabling or encouraging dependency
 - Elicits cooperation while acknowledging divergent viewpoints
 - Demonstrates integrity and discretion
 - Proficient with computers, e-mail, and the internet
 - Interested in healthcare; can quickly learn medical and pharmacological terminology
- Desired:
 - Bilingual (English-Somali, English-Spanish)
 - Able to commit to at least one year of employment

Pay, Benefits, & Work Schedule

Full-time Days

Monday-Friday 8am - 5pm

Closing Statement

We have a place for you at Allina Hospitals & Clinics. If you are interested in becoming part of our award winning team of professionals, please apply online today. Allina Hospitals & Clinics is committed to providing Equal Employment Opportunities to all employees and applicants.

EEO / AA Medical

Appendix B.

Star Tribune article

A care guide through the maze

• Health officials are using a \$6 million grant to see whether a new kind of health care worker can help the chronically ill get better care and save money.



BRUCE BISPING • bbisping@startribune.com

Dr. Dick Adair, left, talked with patient Letitia McLaughlin of Minneapolis during a recent visit to the ANGMA Medical clinic in Minneapolis. Adair is taking part a new program to help patients coordinate their health care.

By JOSEPHINE MARCOTTY
marcott@startribune.com

Are you young, idealistic, energetic, computer savvy and looking for a job with benefits? Then Dr. Dick Adair at the ANGMA Medical clinic in Minneapolis might have the just the job for you — care guide.

Never heard of it? That's because it's a new kind of job altogether, part of an experiment in creating a different way of caring for patients with complex, chronic diseases.

Adair, an internist at Abbott Northwestern Hospital is us-

prove that coordinating care and solving problems before they occur will save money — enough to convince health insurers that it's worth the cost.

Adair hopes that care guides can make the whole experiment hang together. They won't need to have medical know-how. He's looking for people with good communication and research skills who can develop relationships with patients, their families and their doctors. "There is so much untapped idealism in the world," he said.

To understand Adair's challenge, consider David, a 67-year-old patient on Medicare with

can improve health and reduce costs for the hundreds of poor,



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Appendix C.

Care guide curriculum and training schedule

Robina Care Guide Orientation Schedule 2009				
Week #1	Time	Content	Speaker	Facility
2-Feb	800	New Employee General Orientation	Sue Erdman	Allina Commons
	1700	New Employee General Orientation		
3-Feb	800-11:45	Patient Care Orientation		Auditorium-Education Bldg
	11:45-12:20	Lunch Break: 12:20-12:25 meet Jean		Allina Commons lobby/lady statue
	12:30-1:30	Intro to Med Clinic /Bodenheimer Handout	Dick Adair,MD	ANGMA clinic
	1:30-2:30	Meet w/ Pat V for Needs Assessment	Pat Vitale	IHH IP Office
	2:45-3:45	Resolving Barriers/SW	Joan Gildemeister	ANGMA clinic
	3:45-4:30	ANGMA Clinic Orientation	Carol Slings	ANGMA clinic
4-Feb	8:00-11:00	HTN	Dick Adair, MD	E1232/ANW lobby;behind front desk
	11:00-12:00	Feeding Your Body Healthy	Susan White	
	12:00-1:00	Lunch Break		
	1:00-3:00	CHF	Anya Lukasewycz, MD	
	3:00-4:30	Pharmacology	Caren Jacobs	
5-Feb	8:00-8:30	Questions	Jean Berquist	Allina Commons (outside rm 003)
	8:30 - 12:30	Excellian Training-Ambulatory	Gretchen Eckes	Allina Commons -rm 003 (Cambridge)
	12:30-1:30	Lunch		
	1:30-4:30	Excellian Training-IP/ NIH Online Certification	Jean Berquist	WBT on SABA/ANW Station 53
6-Feb	8:00-11:00	DM	Peter Lund, MD	E1232/ANW lobby;behind front desk
	11:00-12:00	Diabetes nutrition	Mary Steele	
	12:00-1:00	Lunch Break		
	1:00-2:00	Pharmacology	Caren Jacobs	
	2:00-4:00	Robina Presentation	Dick Adair, MD	
Week #2				
9-Feb	8:00-9:00	PC log in first time	Jean&Deb	ANGMA clinic
	8:00-12:00	Excellian Prac: login is posted; pw:"training" or "train"	Jean&Deb	210 Wasie
	12:00-1:00	Lunch Break		
	1:00-3:00	Culture & Community	Atum Azzahir	504 Wasie
	3:15- 4:30	Diversity DVD #1-Russian		
10-Feb	8:00-11:00	Hosp Tour/Admin Act/	Jean&Deb	Watson Room
	11:00-1:00	Lunch with Dick , Jean & Deb		
	1:00-2:00	Scope of Practice	Dick Adair, MD	
	2:00-3:00	Diversity DVD #2 -Islam		
	3:00-4:30	Review per CGs		
11-Feb	8:00-10:00	Team Question Time	Dick, Jean & Deb	504 Wasie
	10:00- 11:00	Interpreter/Telephone training	Mang Vang	
	11:00-12:00	Lunch Break		
	12:00-3:30	Pt Enrollment/Role Play	Jean & Deb	
	3:30-4:30	DVD Diversity Series #3-Somali		
12-Feb	8:00-12:00	Motivational Interviewing	Pat Vitale	504 Wasie
	12:00-1:00	Lunch Break		
	1:00-2:00	Tobacco Cessation	Karina DiLuzio	
	2:00-3:00	Diversity DVD #4 -African American		
	3:00-4:30	If This/ Scavenger Hunt	Deb	
13-Feb	8:00	Research Statistics/Documentation	Dick Adair, MD	E1232/ANW lobby;behind front desk
	4:30	Mock CG- Patient Practice		
Week #3				
16-20 Feb		Shadow clinic staff and residents		ANGMA Medicine Clinic

Appendix D.

Care guide competency checklist

Self Assessment	Date	Action Steps	Preceptor Rating	Preceptor Initials	Date	Comments
Research Contract Goals						
		Has successfully completed all baseline requirements relating to patient contract care goals:				
		encouraging patients to take control of their chronic illness (diabetes, heart failure, hypertension)				
		reminding patients about the considerable benefits of best practice treatment				
		communicating with patients, families and providers to keep the entire care team, including the PCP, focused on meeting care guidelines				
		engaging family/friend support in a formal and consistent manner				
		supporting medication and treatment adherence				
		identifying and facilitating resolution of barriers to quality care				
		facilitating referrals to extended care team members				
		introducing patients to the wide variety of services available within Allina, including counseling on mental illness, chemical dependency, diet, smoking cessation, and diabetes				
		informing hospital staff during inpatient hospital pre discharge visits of study goals (guidelines).				
		maintain patient confidentiality according to AHC standard practice.				
		Has successfully demonstrated appropriate use of Robina Research specific tools:				
		Protocols				
		Consent & Care Contract within Excellian				
		Completed NIH on-line Research Training				2/17/2009 Certificates to H Britt
		Worksheet tools (spread sheet) as a tool for data collection and organization				
Excellian Training						
		Successful completion: Excellian: Hospital and Clinic based instruction				
		Chart review: labs, imaging, meds, hospitalizations, etc				
		Patient List				
		View Providers' daily appointment schedules (DAR)				
		Patient Contract				
		In basket messages to staff (doctors, SW)				
		Open telephone encounter appropriately				
		Enter Quarterly update into Excellian				
General						
		Has successfully completed all orientation requirements				
		General AHC Orientation				
		Patient Care Orientation (1/2 day)				
		Clinic Site Orientation				
		Research Project Specific Orientation				
		Chronic Health condition instruction				
		Pharmacy instruction for Chronic diseases				
		Registered dietitian instruction for Chronic diseases				
		Cultural Wellness/Diversity Training				
		IHH training on Motivational interviewing				
		Office duties/routines				

	Signatures	Date
Oriente		
Preceptor		
Preceptor		
Manager		

Appendix E.

Care contract

View Letter attached to the encounter of 3/16/2009

Care Contract: My Promise to Take Care of My Diabetes, Hypertension and Congestive Heart Failure

I will learn about Diabetes, Hypertension and Congestive Heart Failure and the best treatment (Care Goals).

I will work together with my doctors, care guide and a family member or friend to meet these Care Goals.

My Diabetes, Hypertension and Congestive Heart Failure Care Goals

Not Using Tobacco: Met
Taking aspirin daily: Met
Hemoglobin A1c (measures average blood sugar) is less than 7: Met
Blood Pressure is less than 130/80: Not Met
Eye exam within the last year: Met
Test for protein in urine within the last year: Not Met
If abnormal protein in urine, taking ACE-I/ARB: Met
LDL (harmful cholesterol) is less than 100: Met
Pneumonia vaccine: Met
Echocardiogram (measure heart muscle output): Met
Taking ACE-I or ARB (if LVEF <40): N/A
Taking Beta Blocker (if LVEF <40): N/A
Total Care Goals Met Today: 8

Number of Goals Met at first Care Guide visit: 8

List

space

HE

Appendix F.

Care goal report

Hyperspace - ANGA INTERNAL MED HBC - Allina Production Environment - DEBRAH E

Desktop Action Patient Care Scheduling HIM Billing Reg/ADT Surgery CRM/CM Referrals Reports Tools Admin Help Links

Home Schedule In Basket Chart Encounter Tel Enc Hosp Chart Pt Lists Secure Print Log Out

Epic Home

Rade... 68 y.o. female (5/11/1941) Allergies 1005104932 Ibuprofen, Sulfa (sulfonamides) Type Not ... PCP Sara M Ch... Alerts FYI HM Insurance MEDICARE PART... MyChart Inactive

Flowsheet Report

Select Flowsheets to View

ROBINA CONTRACT CARE GOALS [97]

Load More

Robina Contract Care Goals	3/16/2009	5/7/2009	7/7/2009	7/9/2009
Tobacco Use	Met	Met	Met	Met
Daily Aspirin Use	Met	Met	Met	Met
Hemoglobin A1c	Met	Not Met	Not Met	Not Met
Diabetes Blood Pressure Goal	Not Met	Not Met	Not Met	Not Met
Eye exam within last year	Met	Met	Met	Met
Microalbumin within last year	Not Met	Met	Met	Met
On ACE-I/ARB (if positive albumin)	Met	N/A	N/A	N/A
LDL	Met	Met	Met	Met
Had Pneumonia vaccine	Met	Met	Met	Met
Had Echocardiogram	Met	Met	Met	Met
On ACE-I/ARB (if LVEF <40)	N/A	N/A	N/A	N/A
On Beta Blocker (if LVEF <40)	N/A	N/A	N/A	N/A
Total Care Goals Met	8	7	7	7

Key: Abnormal/Panic Dates in: Columns Rows

Copy to Clipboard Refresh Print Flowsheet Graph Region

Hotkey List Exit Workspace

Appendix G.

Quarterly report

Hyperspace - ANGA INTERNAL MED HBC - Allina Production Environment - DEBORAH E

Desktop Action Patient Care Scheduling HIM Billing Reg/ADT Surgery CRM/CM Referrals Reports Tools Admin Help Links

Home Schedule In Basket Chart Encounter Tel Enc Hosp Chart Pt Lists Secure

Epic Home

Rade... 68 y.o. female (5/11/1941) Allergies Type PCP Alerts Insurance
1005104932 Ibuprofen, Sulfa (sulfonamides) Not ... Sara M Ch... FYI HM MEDICARE PART...

Snapshot
Chart Review
Flowsheets
Results Review
Report Viewer
Allergies/Preg
History
Problem List
Demographics
Letters
EMPI Demographics
MPI History
FYI
Letter View

Visit Report

Default Flowsheet Data (last 8760 hours)

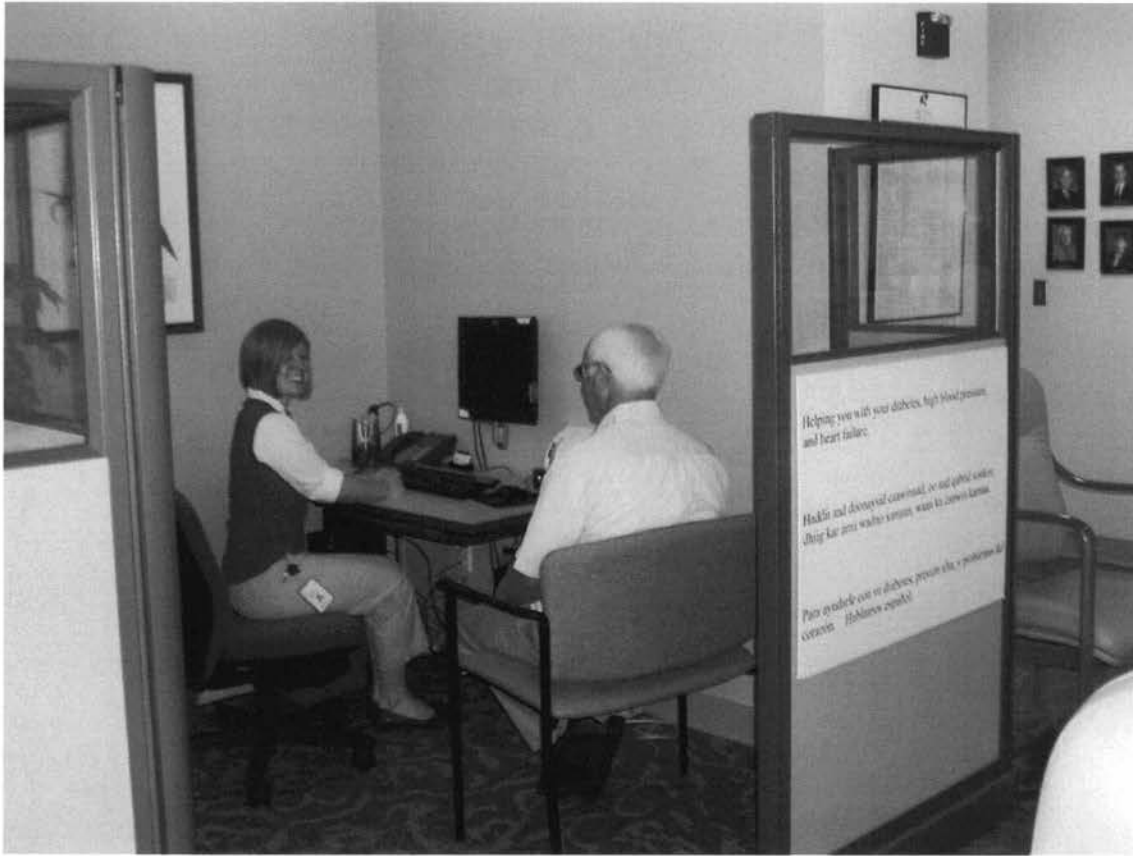
Robina Quarterly Report

Row Name	06/16/09
	1000
ROBINA QUARTERLY REPORT	
Quarterly Update	1
Last HgbA1c	7.4
Last clinic SBP	134
Last clinic DBP	86
Goals met	7
Goals not met	2
CG/pt phone contacts	2
CG/pt in person contacts	1
CG/PCP contacts	4
Allina ED visits	0
Allina hosp adm	0
Cost of study meds, last visit	76
Hgb A1C	--

Hotkey List
Exit Workspace

Appendix H.

Photograph of care guide work station



Appendix I.

Referral resource listing

Care Guides: Referrals

Rule of thumb: When in doubt, refer.

Reasons for social worker referrals (but not limited to):

- financial
- home care/hospice referrals
- home equipment referrals
- nursing home questions/placements
- housing (public housing, assisted living, board & care, board& lodge...)
- community resources, i.e. Food shelves, clothing shelves, sliding fee clinics....
- social assessments of high risk patients including elderly, multiple medical needs, low income
- chemical dependency referrals
- smoking cessation information
- counseling around medical/social issues or referral to ongoing counseling (individual, couple, family, or groups)
- continuity for hospital patients
- advocacy
- connection to county programs, i.e. ACG, CADI, Services to seniors
- referral to HIV case management
- pre-hospital discharge planning for operative patients
- referrals to day programs (seniors, mentally ill, HIV)
- legal resources
- vulnerable adult and children issues/concerns
- transportation resources (handicap parking applications)
- domestic abuse concerns
- vocational resources
- cultural issues/immigration questions

Allina sources of referrals:

- behavioral health
- diabetes & pre-diabetes educator
- dietitian
- integrative health and healing medicine
- occupational therapy
- ophthalmology
- pain clinic
- physical therapy/rehab
- tobacco cessation
- support groups/classes

Non-Allina sources of referrals

- local community centers
- Cultural Wellness Center
- dental: NIP clinic & Open Cities Health Center
- ophthalmology: Open Cities Health Center
- medication costs: Target \$4 program, Needy Meds.com
- where to turn guide: United Way 211

Appendix J.

Patient hand-out: DIABETES

DIABETES

DIABETES

Diabetes Mellitus is a disease of too much sugar (glucose) in the blood. Glucose comes from food, is stored in the liver, and provides energy for all the cells of the body. Insulin is a hormone that helps the body use glucose. Diabetes occurs when the body doesn't produce enough insulin or is resistant to insulin. Although diet and exercise have an important role in fighting diabetes, almost everyone requires medication or insulin to manage diabetes. Diabetes is an inherited disease that runs in the family. Aging, obesity, and lack of exercise increase the risk for developing diabetes.

DANGERS

Untreated diabetes greatly increases the risk for heart attacks, strokes, and early death. It's the leading cause of blindness, limb amputation, and kidney failure. **Treatment is very effective** and it **can greatly reduce the chance of these injuries** happening to you. Success in treatment includes taking care of other health problems like high blood pressure, smoking, and high cholesterol.

COMMON SYMPTOMS

New or poorly controlled diabetes can cause extreme thirst, frequent urination, and blurred vision. But many people have few symptoms and can't tell how they are doing without measuring blood glucose levels directly. Your doctor may ask you to check your blood glucose levels at home and bring the results to each appointment.

WHAT YOU CAN DO

- Stop smoking; work with your doctor on a quit plan.
- Learn about diabetic diet options and how to lose weight if you are overweight. Avoid fast food and sweetened drinks.
- Increase your activity. Walk daily.
- Take your medication every day. Don't skip, unless your home blood glucose readings are very low (discuss this with your doctor). Plan ahead so you don't run out of medication.
- If you are having trouble affording your medication, talk to your care guide or doctor. If you think your medication is causing a problem, talk to your doctor.

****Most Important Care Goals****

Recommended by the American Diabetes Association and proven to help

1. **Don't use tobacco**
2. **Take an aspirin every day if over age 40**
3. **Keep hemoglobin A1c (measures average glucose) below 7%**
4. **Keep blood pressure below 130/80**
5. **Have an eye exam once a year**
6. **Have a test for protein (albumin) in urine once a year**
7. **If there is albumin in your urine, take an ACEI or ARB medication**
8. **Keep your LDL cholesterol below 100, with medication if needed**
9. **Have a pneumonia vaccine**

Appendix K.

Patient hand-out: HIGH BLOOD PRESSURE

HIGH BLOOD PRESSURE

HIGH BLOOD PRESSURE

Blood pressure is a measure of the force of blood as it is pumped out of the heart into the body. It's checked with two numbers. The top number (systolic) shows the pressure in your arteries when your heart beats. The bottom number (diastolic) shows the pressure in your arteries when your heart rests. High blood pressure is over 140/90 (over 130/80 if you have diabetes). High blood pressure is also called hypertension. This does not mean too much stress. Relaxing won't get rid of this problem.

You are at risk for high blood pressure if you have relatives with this condition—it's usually inherited. Getting older, being African-American, being overweight, eating too much salt, and drinking too much alcohol can play a role.

DANGERS

High blood pressure can cause heart attack, heart failure, stroke, kidney disease, and early death.

Treatment is very effective and can lessen the chance that any of these things will happen to you. In almost all cases, treatment includes **taking medication prescribed by a doctor.**

COMMON SYMPTOMS

High blood pressure has been called a "silent killer" because it usually doesn't cause any symptoms at all. You can feel perfectly healthy while your heart and artery walls react to the pressure on them and are damaged over many years.

WHAT YOU CAN DO

- Eat less salt (sodium).
- Eat more fruits and vegetables, the DASH diet.
- Don't drink more than 1-2 alcoholic beverages per day.
- Exercise and keep your weight down.
- Check your blood pressure regularly and bring results to your doctor appointment.
- Take your blood pressure medication every day. Don't skip. Plan ahead so you don't run out.
- If you are having trouble affording your medication, talk to your care guide and doctor.
- If you think your medication is causing problems, talk to your doctor. There are many kinds of medications that work.

****MOST IMPORTANT CARE GOALS****

Recommended by the Joint National Commission on Hypertension and proven to help

1. **Don't use tobacco**
2. **Keep blood pressure below 140/90 (130/80 if you have diabetes)**

Appendix L.

Patient hand-out: CONGESTIVE HEART FAILURE

CONGESTIVE HEART FAILURE

CONGESTIVE HEART FAILURE

Congestive Heart Failure (CHF) means that your heart doesn't pump as efficiently as it should. It does **not** mean that your heart is about to stop working.

CHF has many different causes including high blood pressure, coronary artery disease, diabetes, and abnormal heart valves. These conditions have damaged the heart in some way, making it less efficient than a normal heart.

When the heart isn't able to pump blood efficiently, a "back-up" of fluid occurs. Sometimes the heart muscle itself is weakened and doesn't pump properly. Sometimes the heart muscle is too stiff for blood to flow properly. Either problem can result in increased fluid in the lungs (congestion) or in the body (edema). Often the heart tries to compensate by enlarging to hold more blood—this can make things worse.

There is a wide range in how severe CHF is and how fast it can progress. Fortunately, **treatment is very effective**, and many patients can live long and healthy lives. **Weakened heart muscle can get stronger with regular use of medication.**

COMMON SYMPTOMS

CHF can cause shortness of breath especially when lying down, swelling in the feet and ankles, sudden weight gain, extreme fatigue so that you can't do ordinary activities, and fast heart rate.

WHAT YOU CAN DO

- Don't add salt at the table or when cooking, and avoid salty foods. Learn about foods that contain large amounts of salt (sodium). Read labels.
- Don't drink more than 1-2 alcoholic beverages a day.
- Maintain a healthy weight.
- Plan to see your doctor regularly, every 1-2 months. Between appointments, call if you become more short of breath or gain more than 5 pounds of fluid in one week.
- Take your medication daily. Don't skip. Plan ahead so you don't run out.
- If you are having trouble affording your medication, talk to your care guide and doctor. If you think your medication is causing problems, talk to your doctor.

**** MOST IMPORTANT CARE GOALS****

Recommended by the American Heart Association and proven to help

1. **Don't use tobacco**
2. **Have an echocardiogram to measure your heart output**
3. **If your heart output is reduced, take a beta blocker medication**
4. **If your heart output is reduced, take an ACE-I or ARB medication**
5. **Have a pneumonia vaccination**

Appendix M.

Patient Advisory Council meeting minutes

Patient Advisory Council Report

Wednesday, June 24, 2009 (5-7 p.m.)

In Attendance:

7 patients and 2 family members/friends

3 Males; 6 Females

5 African American; 4 Caucasian

Average age= 70yrs (ages 58 – 81)

The first Patient Advisory Council meeting was held on Wednesday, June 24, 2009. Sixteen individuals had agreed to participate; nine attended.

Discussion in this first Patient Advisory Council meeting was guided by the following questions (In bold). Themes for the general responses are listed under each question followed by bulleted quotes or paraphrased comments (in blue) to illustrate some of the individual responses from the group's discussion.

1. What motivated you to participate in this Patient Advisory Council?

Respect for the Medicine Clinic and its staff

- Deep respect for the Medicine clinic staff (PCPs, nurses, front desk) most resoundingly the respect they feel towards their primary physician and staff doctors.
- Care Guide invited them
- Curiosity

2. How hard has it been for you to obtain the health care you feel you need?

Affordability – the major issue

- "I want to quit taking my meds because they cost too much. This is the second month in a row I cannot afford my meds."
- "I feel overwhelmed by the overall price of living now a days."

3. How easy has it been for you to obtain the health care you feel you need?

Comprehensive treatment, prompt action and convenient access here at the Medicine clinic.

- "In my previous clinic I had a lot of unanswered issues; clinics were not dealing with my problems. Here they were taken care of immediately.
- "I can get help here a lot quicker and don't have to wait as long to be seen as I did in my other clinic."

4. When you first heard the words "Care Guides," what did you think that meant?

Intrusion, help, new program, somewhat confused, don't remember

- "Someone to put a nose in my business"
- "Because we are senior citizens, I thought they wanted to help us more."
- "They are trying something new and I was curious."

What about today – what does "Care Guides" mean to you?

Someone that cares, offers support, will follow up, and someone who answers my questions.

- "She will give a follow up call after my doctor appointment."
- My husband and I are both have Care Guides. Our Care Guide is checking on us now. My husband is always telling me to take my medications, but now that my CG is telling me, I listen."
- "It took me 2 months before I knew she was interested in me and really wanted to help me."

5. How did you find out about the Care Guide program?

All were referred by their physician to a Care guide.

- "My doctor"

6. Why did you enroll in the Care Guide program?

Doctor recommended, patient decided to give it a try after their meeting with a Care Guide.

- "My doctor said, you should see this Care Guide. After talking to her I signed up."
- "Sounded like something interesting. I try to keep an open mind."
- "I thought she was interesting, she asked questions."

7. What are your expectations of the Care Guide program?

Offer nonjudgmental, emotional, and practical support. Give clarity. Answer questions and help by connecting patients with information or resources that may be of assistance depending on individual need. Continue to work on health goals with the help of the Care Guide.

- "I had a hard situation with recently having a stroke. My health problems are new and I'm having a hard time dealing with the situation. I really have a hard time remembering things. I need someone to help me understand and remember."
- "I would like help understanding words used by my doctor like, "flapping heart". I felt uncomfortable asking my doctor what he meant by this. I know a lot of things that flap and my heart should not be one of them. This scared me."
- "I want help with the cost of my medications".
- "I want someone to listen to my complaints. Last time I complained I was given an attitude. A Care Guide should help break down complex problems without an attitude, with giving a "thank you", a smile, and a "you're welcome."
- "When I think I need help I would like someone to talk to. I don't always feel like I should be bothering a nurse or doctor."
- "I wanted to see what being a partner with my health team would be like."
- "I want a liaison person between me, my doctor and nurses. I wouldn't feel out of place asking for help, the Care Guide would be my health care buddy." If she does not know the answer, she can find out on the sly."
- "A Care Guide would know a better place to get help, find additional resources."

8. What has been helpful about the Care Guide program so far for you?

Interpersonal relationships – the Care Guides know them personally, helpful guidance, Care Guides are caring people, encouragement.

- "They really do check up on you."
- "With a Care Guide, if I forget something the doctor tells me the Care Guide will bring it up."
- "They are willing to take the time to help understand what is going on with me."
- "My Care Guide even followed me to the hospital. I liked that. I thought that was really caring."
- "They are caring people. I hope they decide to continue the Care Guide program. I think it really will make a difference for some people."
- "I recently was started on dialysis for the first time. My Care Guide was telling me things that I needed to hear. I needed to understand how it fit into what was going on in my life at that time. I was searching for someone to help me with my complaints."
- "I can talk to them about anything. They know who I am by name and know my history."
- "My Care Guide gives me peace of mind and encouragement. She keeps saying "quit smoking!" For some reason this doesn't bother me, I blow it off."
- "I like that our Care Guide leaves a messages on our home phone. I can call her back at my convenience."
- "I want to see this program go on and on and on."

9. What has not been helpful?

Working hours (respondents had very little to say about what was not helpful.)

- "Evenings would be nice, easier for them to reach me"

10. If you could make this Care Guide program better in any way, what would you suggest be done?

Better promotion of the CGs' services.

- Let people know what they do and how they can help connect people to resources and referrals including those outside of this clinic (eye doctor, dentists), transportation services, other various affordable alternatives.

11. What about the clinic do you like?

Pleasant environment, pleasant and competent staff, the way patients feel cared for at the Medicine clinic, seeing health results. Many mentioned the academic practice as a plus.

- "Very pleasant staff."
- "I am getting better results with my health at this clinic, my blood pressure has never been this good."
- "The doctors are always asking for others opinions regarding my health (staff MDs, specialists)."
- "I have comfort and trust in this clinic."

- "I don't have to wait too long to get appointments. When I am here, I don't have to wait too long to be seen. It is much worse in other clinics."
- "Have to help train the new crop of resident doctors in."

12. What about ideas for making the overall clinic better in any way?

More patient friendly conveniences.

- Arrange follow up appointments for you before you leave the clinic.
- Better signage/maps/directions to get places: lab, MRI, hospital.
- One stop shop: have my prescriptions ready and waiting for me when I am at the clinic for my doctor's appointment.
- More flexibility with the doctors' schedules

Interestingly, deep into the discussion, the two KFFs who attended both asked how they could find a Care Guide to work with. One goes to a different clinic and the other is a Medicine clinic patient. They both mentioned that they hoped this model would spread so that they too could work on their health goals with a Care Guide.

All attendees stated that they wished to be invited to the next Patient Advisory Council meeting discussion.

Suggestions left by a patient who was unable to attend:

About the Care Guide program:

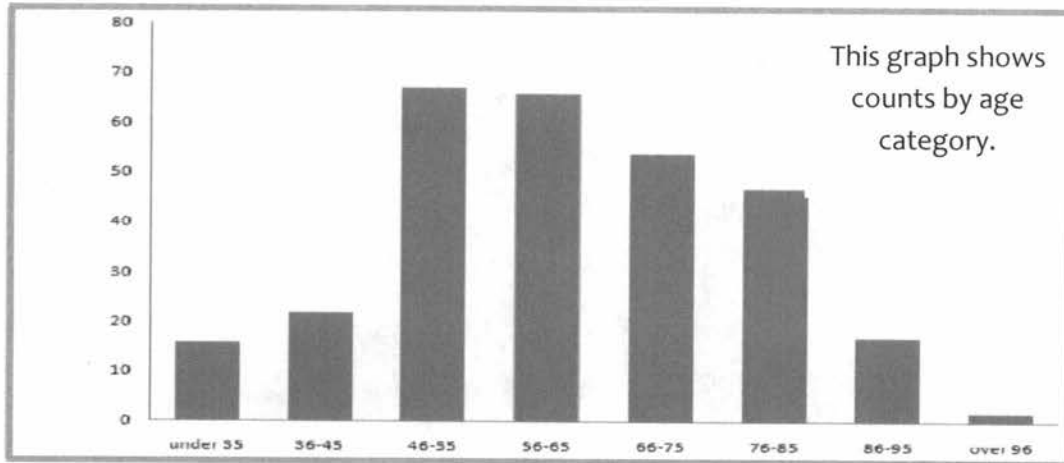
1. Mail out literature about the Care Guide program to help patients become more familiar with the program before they enroll.
2. This program might not be helpful for people who have a support person at home (this patient used his wife as an example). This program will help people who don't have a support system at home.
3. He would've liked it if during enrollment, he was given a chance to "think" about whether to join or not.

Appendix N.

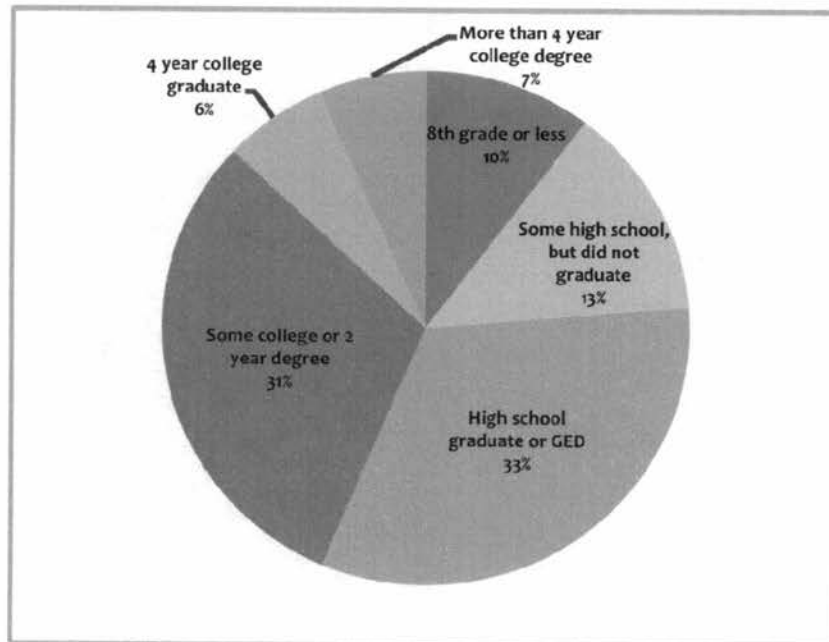
Basic descriptive data on 333 enrolled patients

Patient Demographics

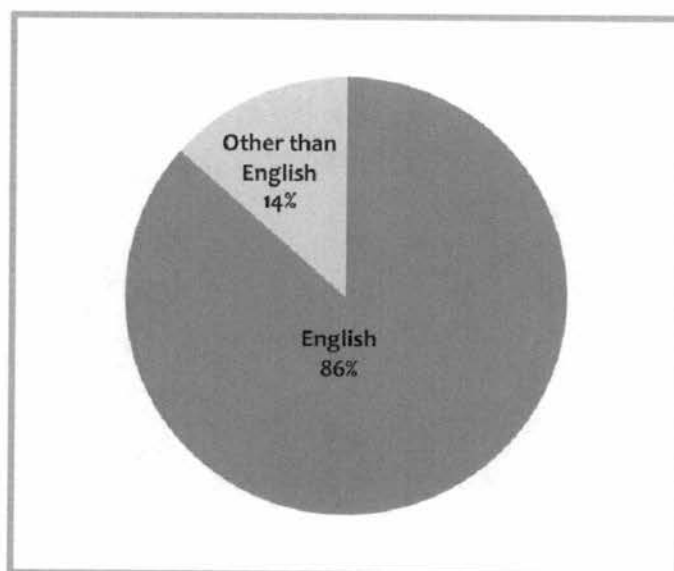
AGE



EDUCATION

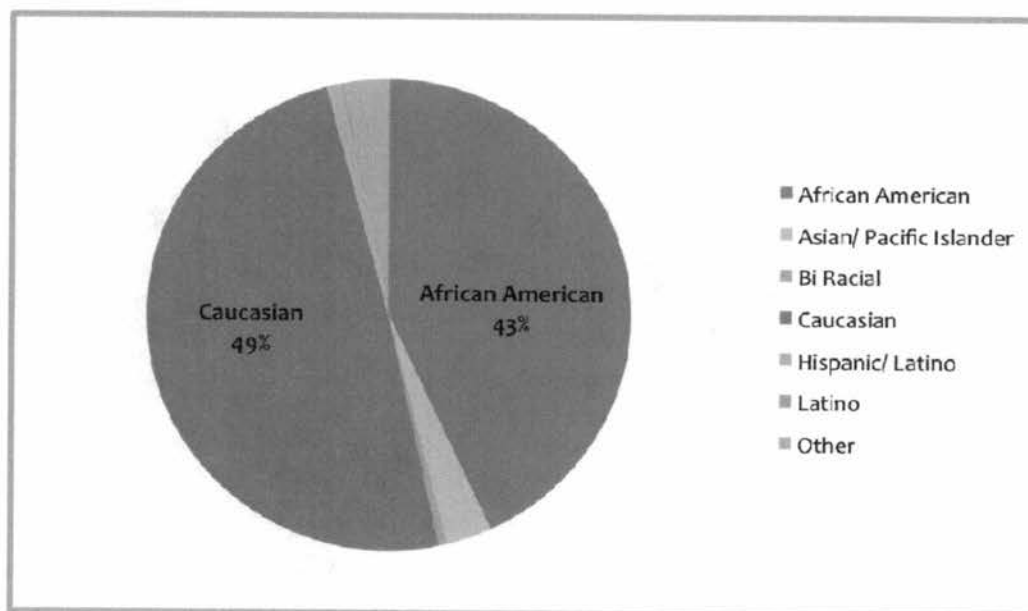


LANGUAGE SPOKEN AT HOME



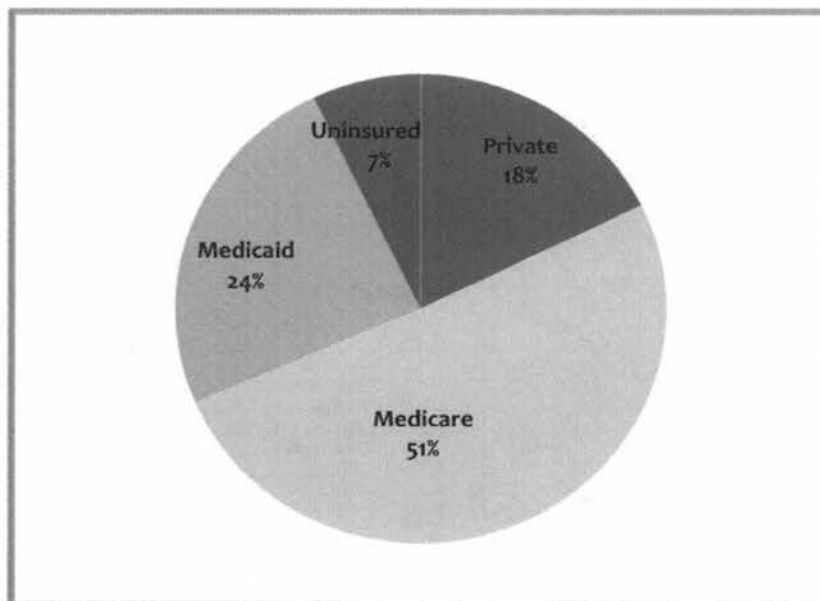
The most common languages other than English are Somali, French, Vietnamese and Spanish.

RACE

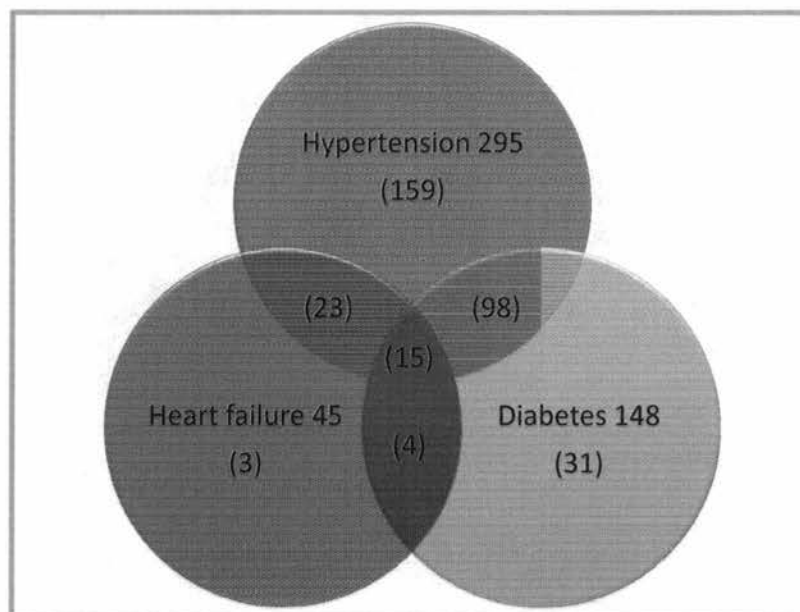


African American includes African immigrants.

INSURANCE TYPE



DIAGNOSES



Appendix O.

Baseline and First Quarter summary care goal data

Outcomes Data
Comparison of Baseline (Quarter 0) and First Quarter (Quarter 1)
 As of July 24, 2009

Robina Quarter 0 (Baseline) Measures

Measure	Count	Minimum	Maximum	Mean	Mode	Median
Patients Enrolled	333	--	--	--	--	--
Last HBA1c	146	5	16	7.5	7	7.2
Sys BP	332	88	207	133.3	140	132.0
Dias BP	332	50	118	75.5	68	74.0
Goals Met	333	0	11	3.5	1	3.0
Goals Not Met	333	0	8	1.8	1	1.0
Phone Contacts	332	0	0	0.0	0	0.0
F-to-F Contacts	332	0	0	0.0	0	0.0
Care Guide Contacts	332	0	0	0.0	0	0.0
ED Visits	333	0	9	0.3	0	0.0
Hosp Visits	333	0	3	0.2	0	0.0
Cost of Meds	333	0	387	58.3	6	15.0

Robina Quarter 1 Measures

Measure	Count	Minimum	Maximum	Mean	Mode	Median
Patients Assessed	261	--	--	--	--	--
Last HBA1c	110	5	14	7.6	6	7.2
Sys BP	260	80	207	128.8	130	128.0
Dias BP	260	48	104	73.0	74	74.0
Goals Met	261	0	12	3.9	2	3.0
Goals Not Met	261	0	6	1.2	0	1.0
Phone Contacts	261	0	9	1.7	2	2.0
F-to-F Contacts	261	0	12	1.7	1	1.0
Care Guide Contacts	261	0	8	1.7	1	1.0
ED Visits	261	0	5	0.3	0	0.0
Hosp Visits	261	0	5	0.2	0	0.0
Cost of Meds	261	0	387	62.6	3	21.0

Appendix P.

Year 1 Expense Statement

Year 1 Budget for: Care Guides in the Primary Care Office

Budget Category/Item

Proposed Year 1

Year to Date

Comments

PERSONNEL	Base Salary (Year 1)	% Effort	# FTEs		FTE actual		
Care Guides							
Pilot Phase I (ANGMA Medicine)	\$35,360	100%	4	\$141,440	3	\$47,751	Care guides hired in February
<i>RCT Phase II (COC, Woodlake, Edina)</i>	<i>\$35,360</i>	<i>100%</i>	<i>18</i>				
Project Coordinators							
Pilot Phase I (ANGMA Medicine)	\$85,000	100%	2	\$170,000	2.00	\$89,913	Project Mgr & Assistant Project Mgr
<i>RCT Phase II (COC, Woodlake, Edina)</i>	<i>\$80,000</i>	<i>100%</i>	<i>3</i>				
Investigators							
Principal Investigator: Adair	\$180,000	40%	1	\$72,000		\$33,000	Combined salaries from 2008
Co-Investigator: ANGMA Medicine: Lun	\$180,000	20%	1	\$36,000		\$46,987	Combined salaries from 2009
<i>Co-Investigator: ANGMA COC: Pierson</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
<i>Co-Investigator: ANGMA COC: Post</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
<i>Co-Investigator: AMC Woodlake: TBD</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
<i>Co-Investigator: AMC Woodlake: TBD</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
<i>Co-Investigator: AMC Edina: TBD</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
<i>Co-Investigator: AMC Edina: TBD</i>	<i>\$180,000</i>	<i>10%</i>	<i>1</i>				
Institute for Health & Healing							
<i>Research Consultant: Dusek</i>	<i>\$180,000</i>	<i>5%</i>	<i>1</i>	<i>\$9,000</i>			
Care Guide Training Faculty: Vitale	\$70,000	15%	1	\$10,500		\$385	7 Hours of IHH training
<i>Additional Outpatient Personnel</i>	<i>\$60,000</i>	<i>100%</i>	<i>2</i>				
Additional ANW Personnel					0.125	\$11,875	Administrative and financial oversight
<i>Smoking Cessation Counselor</i>	<i>\$60,000</i>	<i>100%</i>	<i>2</i>				
<i>Diabetes Educator</i>	<i>\$60,000</i>	<i>100%</i>	<i>2</i>				
Translation Services	\$47,840	variable	variable	\$21,390		\$2,150	14.5 actual hours of interpreter use; 50 hours billable due to 2 hour minimum.
Technical & Analytic Support					rate		
Clinical Decision Support	\$75,000	50%	1	\$37,500	\$55/hour	\$6,050	
Excellian Support	\$75,000	10%	1	\$7,500			
Clarity Reporting	\$65,000	25%	1	\$16,250		\$1,650	
<i>Data Extract, Transfer & Load Support</i>	<i>\$75,000</i>	<i>5%</i>	<i>1</i>	<i>\$3,750</i>			
<i>Crystal Enterprise Support (MyEpic)</i>	<i>\$75,000</i>	<i>15%</i>	<i>1</i>	<i>\$11,250</i>			
Analytic	\$65,000	25%	1	\$16,250		\$13,750	
Publication/Writing Support	\$90,000	40%	1	\$36,000			
HR/Communications/Marketing Support	\$75,000	25%	1	\$18,750		\$1,100	
Benefits (25% of all above personnel)				\$165,155		included above	
University of MN Advisors							
Process Evaluation: Christianson, Wholey, W		15%		\$125,000		\$102,276	1st and 2nd Quarter payments only
Health Economics: Town		15%		\$42,000			
Research Assistant	\$35,360	100%	1.5	\$53,040			
Personnel Total				\$939,735		\$356,886	

ADDITIONAL COSTS							
Study Specific Clinic Visit Cost	\$112.50/visit			\$63,000		\$40,275	358 patients x \$112.50 per visit
Training Development				\$65,000		\$736	Depression and cultural awareness inservices; social worker; tobacco specialist; dietician
Resource Materials Development				\$15,000		\$2,416	
Printing				\$2,800			
Communications Materials				\$7,500			
Patient & Family Advisory Council				\$4,500		\$581	Includes food, bus tokens, gift cards
<i>Expert Panel Support (Travel + Stipend)</i>				<i>\$14,000</i>			
<i>Training Stipends</i>				<i>\$10,000</i>			
Food				\$10,000		\$435	
Furniture & Equipment				\$28,100		\$29,311	Includes build-out of care guide work space
Research Support: IRB + SPA				\$16,000		\$2,000	
<i>Home Monitoring, Computer Access</i>							
Additional Costs Total				\$235,900		\$75,754	

CONTINGENCY COSTS							
Increase in Care Guide Salary	Increase to \$41,600	100%	4 in Year 1	\$24,960			
Increase in number of Care Guides (to reduce ratio)		24 CGs for RCT					
Staff Coordinator	\$80,000	40%	1				
Contingency Personnel Benefits				\$6,240			
Contingency Costs Total				\$24,960		\$0	

TOTAL PROJECT COST

\$1,200,595

\$432,640

NOTES:

--- Italicized items in lighter font indicate RCT/Phase II expenses

--- No planning or implementation for Phase 2 will occur during year 1; these budget items will be deferred to year 2 and are contingent on the Robina Foundation authorizing Phase 2.

--- This budget was resubmitted by Dr. Penny Wheeler and accepted by the Robina Foundation Board in September 2008

--- This budget reflects actual expenditures for the first 9 months of year 1. For the last 3 months we anticipate that salary expenses will continue at the same rate, analytic and writing expenses will increase, and there will be no further training, build-out, or enrollment expenses.



= Indicates multiple items summed

See Table 1 for characteristics
of successful programs, Table 2
for size of programs

Effects of Care Coordination on Hospitalization, Quality of Care, and Health Care Expenditures Among Medicare Beneficiaries

15 Randomized Trials

Deborah Peikes, PhD

Arnold Chen, MD, MSc

Jennifer Schore, MS, MSW

Randall Brown, PhD

CHRONIC ILLNESSES POSE A SIGNIFICANT expense to the Medicare program and a major detriment to beneficiaries' quality of life. The cost and complexity of care are greater for those patients with multiple chronic illnesses. In 2002, for example, half of Medicare beneficiaries had been treated for 5 or more conditions but accounted for a disproportionately large 75% of Medicare spending.¹

The high Medicare expenditures generated by these beneficiaries are driven primarily by hospital admissions and readmissions.² Several factors appear to contribute to the high rate of hospitalizations. Chronically ill patients may have received inadequate counseling on diet, medication, and self-care, or may find it hard to adhere to such regimens,³⁻⁹ leading to acute exacerbations of their conditions.¹⁰⁻¹⁵ Patients may lack the knowledge to recognize early warning signs of decompensation or the skills to respond to such signs, or they may not have ready access to medical help other than the emergency department.^{13,16} Physicians may be unaware of patients' deficits in knowledge and skills, or of patients' barriers to adherence.¹⁷⁻¹⁹

For editorial comment see p 668.

Context Medicare expenditures of patients with chronic illnesses might be reduced through improvements in care, patient adherence, and communication.

Objective To determine whether care coordination programs reduced hospitalizations and Medicare expenditures and improved quality of care for chronically ill Medicare beneficiaries.

Design, Setting, and Patients Eligible fee-for-service Medicare patients (primarily with congestive heart failure, coronary artery disease, and diabetes) who volunteered to participate between April 2002 and June 2005 in 15 care coordination programs (each received a negotiated monthly fee per patient from Medicare) were randomly assigned to treatment or control (usual care) status. Hospitalizations, costs, and some quality-of-care outcomes were measured with claims data for 18 309 patients (n = 178 to 2657 per program) from patients' enrollment through June 2006. A patient survey 7 to 12 months after enrollment provided additional quality-of-care measures.

Interventions Nurses provided patient education and monitoring (mostly via telephone) to improve adherence and ability to communicate with physicians. Patients were contacted twice per month on average; frequency varied widely.

Main Outcome Measures Hospitalizations, monthly Medicare expenditures, patient-reported and care process indicators.

Results Thirteen of the 15 programs showed no significant ($P < .05$) differences in hospitalizations; however, Mercy had 0.168 fewer hospitalizations per person per year (90% confidence interval [CI], -0.283 to -0.054; 17% less than the control group mean, $P = .02$) and Charlestown had 0.118 more hospitalizations per person per year (90% CI, 0.025-0.210; 19% more than the control group mean, $P = .04$). None of the 15 programs generated net savings. Treatment group members in 3 programs (Health Quality Partners [HQP], Georgetown, Mercy) had monthly Medicare expenditures less than the control group by 9% to 14% (-\$84; 90% CI, -\$171 to \$4; $P = .12$; -\$358; 90% CI, -\$934 to \$218; $P = .31$; and -\$112; 90% CI, -\$231 to \$8; $P = .12$; respectively). Savings offset fees for HQP and Georgetown but not for Mercy; Georgetown was too small to be sustainable. These programs had favorable effects on none of the adherence measures and only a few of many quality of care indicators examined.

Conclusions Viable care coordination programs without a strong transitional care component are unlikely to yield net Medicare savings. Programs with substantial in-person contact that target moderate to severe patients can be cost-neutral and improve some aspects of care.

Trial Registration clinicaltrials.gov Identifier: NCT00627029

JAMA. 2009;301(6):603-618

www.jama.com

Chronically ill patients often see multiple physicians (1 study²⁰ found a median of 7 different physicians per year) who may be incompletely aware of each

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Table 1. Key Demonstration Program Features by Program and Ordered by Enrollment

	Enrollment in Treatment Group Through June 2005														
	≥1150 Patients					400-750 Patients					<115 Patients				
	Carle	CorSolutions	Washington University	Avera	CenVaNet	Charles-town	Health Quality Partners	Hospice of the Valley	Jewish Home and Hospital	Medical Care Development	Mercy Medical Center	QMed	George-town	Quality Oncology	University of Maryland
Host type	IDS	Prov	AMC	Hosp	Prov	RC	Prov	Hospice	LTC	Hosp	Hosp	Prov	AMC	Prov	AMC
State	IL	TX	MO	SD, MN, IA, NE	VA	MD	PA	AZ	NY	ME	IA	CA	DC	FL	MD
Rural location	Yes			Yes			Yes				Yes				
Eligibility criteria															
Required hospitalization ^a	Yes	Yes	NA	Yes		Yes		Yes	Yes	Yes	Yes		Yes		Yes
Any of ^b															
Heart disease	Yes	Yes	NA	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes		Yes
Diabetes	Yes		NA		Yes	Yes	Yes		Yes						
Other diagnoses	Yes		NA		Yes	Yes	Yes	Yes	Yes	Yes				Yes	
Exclusions at intake ^c															
Age <65 y				Yes	Yes		Yes	Yes							
End-stage renal disease	Yes	Yes		Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	
Long-term nursing home	Yes	Yes		Yes		Yes	Yes				Yes		Yes	Yes	Yes
Other	CX	CX	CX	SM, CX	SM, CX	CX	SM, CX	CX		SM, CX	CX	CX	CX	CX	SM, CX
Care coordinator staffing															
BSN required ^d															
Caseload	155	145	70	86	75	60	106	40	66	70	50	150	36	40	71
Physician engagement															
Care coordinator near physicians	Yes					Yes	Yes			Yes	Yes				
Physicians paid	Yes	Yes		Yes		Yes			Yes	Yes		Yes	Yes	Yes	Yes
No. of approaches to involving physicians ^e	5	2	1	4	2	2	1	2	3	1	3	4	3	1	1
Patient education															
Program provided	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	NA
Used behavior change model ^f	Yes	Yes	Yes		Yes		Yes	Yes		Yes					NA
Ongoing monitoring															
Used home telemonitor				Yes	Limited				Limited		Limited		Yes		Yes
No. of contacts per member per mo	1.4	2.6	1.2	8.2	1.4	2.3	2.2	2.5	2.5	1.5	1.4	1.2	5.9	NA	3.9
No. of in-person contacts per member per mo	.44	.10	.06	.13	.25	.73	.92	.93	1.01	.44	.97	.09	.83	NA	.25
Improving communication and coordination ^g															
Taught how to communicate with physicians	Yes	Yes	Yes	Yes	Yes		Yes	Yes		Yes	Yes	Yes	Yes	Yes	
Timely information on hospital/ER admissions	Yes		Yes	Yes		Yes	Yes		Yes	Yes	Yes		Yes		Yes
Medication information from clinicians			Yes	Yes	Yes						Yes				
Pharmacist/medical director medication consult			Yes	Yes		Yes	Yes	Yes		Yes	Yes	Yes			
Improving clinician practice															
Focus on improving physician practice	Yes	Yes		Yes								Yes			

(continued)

care, we grouped outcomes by domain. Statistically significant treatment-control differences (at the 5% level) in any domain were not considered meaningful unless their number exceeded 5% of the outcomes included in that domain (the number expected to occur by chance) and were all in the same direction (either all favoring the treatment group or the control group, in contrast to the roughly equal numbers of differences expected to favor both groups by chance alone).

Twelve of the 15 programs (all except Georgetown, Quality Oncology, and University of Maryland) had sample sizes large enough to yield power of 65% to

99% to detect effects of 20% or more on number of hospitalizations and on Medicare expenditures without program fees. Thus, the evaluation was likely to detect sizable true effects, such as those that were being touted by disease management programs at the time the demonstration began.^{61,62} Given the need to cover program fees and the desire to find programs that generate net savings, this power was sufficient for addressing the primary questions. However, to reduce the likelihood that smaller effects were overlooked, we also examined the treatment-control differences in hospitalizations and expenditures to identify sites with sizable differences in both P val-

ues just above the .10 level used in testing, recognizing that this step could further increase the chance for type I error (finding an association where no true association existed).

RESULTS

Compared with all Medicare beneficiaries, enrollees had higher educational levels and were less likely to be Hispanic, younger than 65 years, or be enrolled in Medicaid (a proxy for poverty) (TABLE 2). This reflects a combination of where the programs operated, their eligibility criteria, and which beneficiaries chose to enroll. The most common conditions for which the

Table 2. Baseline Characteristics of Patients Enrolled Through June 2005^a

Treatment Group Members Enrolled Through June 2005, %																	
Characteristics	≥1150 Patients			400-750 Patients								90-115 Patients			%		
	Carle (n = 2657)	CorSolutions (n = 2646)	Washington University (n = 2289)	Avera (n = 858)	CenVa-Net (n = 1445)	Charles-town (n = 830)	Health Quality Partners (n = 1466)	Hos-pice of the Valley (n = 1048)	Jewish Home and Hospi-tal (n = 872)	Medi-cal Care Devel-op-ment (n = 1329)	Mercy Medical Center (n = 934)	QMed (n = 1406)	George-town University (n = 230)	Quality Oncol-ogy (n = 211)	Univer-sity of Mary-land (n = 181)	All pro-grams (N = 18 402)	Medi-care Total in 2003 (N = 42.3 million)
Age, y																	
<65	2.0	14.7	26.7	0	0	0	0	0	0.1	6.1	4.3	8.5	1.7	7.1	13.8	7.3	14.4
≥85	11.3	12.5	9.8	20.0	12.0	43.5	7.0	26.5	38.2	11.5	17.1	5.0	15.7	12.8	5.5	14.9	11.1
Male sex	47.5	38.1	45.3	52.0	56.5	34.5	39.7	41.2	23.4	50.6	54.6	44.5	44.8	45.5	70.2	44.6	44.0
Race/ethnicity																	
Black, non-Hispanic	3.1	30.5	36.8	0.1	14.9	0.5	0.8	1.2	26.8	0	0.1	5.1	63.0	8.5	42.0	13.7	9.5
Hispanic	0	3.8	0.1	0	0.1	0.1	0	0.9	9.7	0	0.1	2.2	1.3	5.2	0	1.3	7.8
Medicaid	5.3	27.9	19.1	8.2	4.8	0	1.8	16.1	25.6	20.7	11.6	13.7	21.3	13.7	14.4	13.9	19.3
<High school education	14.3	36.3	25.3	34.0	25.7	10.2	10.6	18.1	31.5	32.0	29.7	19.7	NA	NA	NA	23.5	30.4
Diagnosis																	
CAD	45.5	83.5	54.8	75.4	73.4	54.9	34.0	60.4	48.6	78.3	64.1	48.6	80.9	46.0	76.2	60.5	40.5 ^b
CHF	24.7	96.4	41.5	96.7	47.8	43.4	10.6	51.4	31.3	48.5	60.1	18.1	96.1	18.0	86.7	48.3	40.5 ^b
Diabetes	38.5	55.0	42.2	40.0	50.7	25.1	24.3	30.9	33.4	41.6	33.3	25.5	54.8	25.1	45.3	39.0	20.6
COPD	21.1	49.8	31.4	42.5	27.9	36.4	12.8	49.9	20.9	31.8	52.9	14.3	40.0	32.2	40.3	32.1	15.3
Cancer	20.8	16.9	35.9	23.7	27.7	32.3	22.2	31.2	28.0	19.0	23.6	19.8	23.9	94.3	11.6	25.1	17.3
Stroke	13.5	40.1	23.7	21.1	26.4	32.0	14.2	35.2	27.2	17.3	26.1	14.0	28.3	14.2	24.3	24.0	12.1
Depression	13.1	21.9	23.4	14.5	10.9	18.7	8.3	22.7	30.7	16.9	24.2	9.5	14.3	10.9	12.2	17.3	NA
Dementia	5.1	12.3	11.5	4.0	4.8	8.4	1.8	23.5	33.1	2.3	6.3	1.6	12.2	5.7	4.4	8.8	5.2 ^b
Medical use during the year before randomization																	
No. of annualized hospitalizations	0.52	2.60	1.88	2.18	0.76	0.89	0.32	1.65	0.86	1.38	1.43	0.30	3.01	0.88	2.28	1.31	0.30
Monthly expenditures, \$	590	2934	2311	1725	862	1108	476	2059	1629	1495	1356	539	2898	2303	2945	1535	552

Abbreviations: CAD, coronary artery disease; CHF, congestive heart failure; COPD, chronic obstructive pulmonary disease; NA, not available.

^aBased on Medicare National Claims History File, Standard Analytic File, and Enrollment Database for estimates of demonstration enrollees. For Medicare total in 2003, estimates were based on the Medicare Current Beneficiary Survey 2003 and Medicare and Medicaid Statistical Supplement 2005. Less than high school education was collected from the patient survey conducted by Mathematica Policy Research Inc on a sample of enrollees through June 2004. Diagnoses are medical conditions noted on Medicare claims during 2 years before randomization. Cancer excludes skin cancer.

^bData are not directly comparable. For Medicare totals, data are reported as heart disease, which includes both CAD and CHF. Medicare total data reported under dementia includes Alzheimer disease.

Robina Care Guide Stories



Care Guides are helping improve patients' health goals

Tobacco use-Upon enrollment the patient contended that quitting smoking would never be one of her goals. After talking with Yurub, who gave her tobacco cessation material, she has now cut down to 3 cigarettes/day with a quit date set. Yurub plans to mark this date and offer continued support.



Care Guides help patients resolve barriers

Medication Costs

A patient explained that the reason he was not taking his blood pressure medication was because it was too expensive. Allison priced around and recommended to the doctor an alternate, same class drug at a much lower price. The doctor agreed to switch to the more affordable medication. The patient and doctor were very grateful to Allison. The patient is now taking his medication regularly and his blood pressure is under control.



Clarify misunderstandings and developing trusting relationships

A patient whose primary language is Spanish, though speaks English, reported to Margaret that he is concerned that his blood sugars are high and fears his diabetes is getting worse. After reviewing with the patient the doctor's instructions Margaret realized that the patient was completely confused as to the appropriate time to check his blood sugar. Margaret consulted with the doctor who clarified that the patient is to only check his blood sugar before eating breakfast. Margaret relayed the message in Spanish and had the patient reiterate the instructions to check for understanding. Though his blood sugar is still too high, he, his Care Guide and doctor are all on the same page. The patient will now monitor and report more accurate blood sugars as directed by his doctor.

Aug 2009
Annual
Report

yale
repertory
theatre

July 29, 2009

Dr. Gordon M. Aamoth
President
Robina Foundation
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Dear Dr. Aamoth:

I am pleased to provide the Trustees of the Robina Foundation with this year-end review of the activities of the Yale Center for New Theatre. These activities include new commissions, workshops, and the first world premiere of a Center-developed play. In the narrative that follows, we have addressed the Foundation's evaluation report guidelines.

1. Briefly outline your original goals and objectives as stated in your proposal.

The Yale Center for New Theatre is an initiative to commission, develop, and produce new works for the stage, while developing the skills and nurturing the talents of aspiring playwrights and other theatre professionals. Yale launched the Center on the strength of the Robina Foundation grant, to considerable field-wide publicity and interest. The Center exists to keep writers of outstanding potential engaged in the profession; to help establish a new standard in playwright-centered development and production; to provide a pipeline for new talent and new works for theatre companies across the country; to broaden the experiences and sharpen the expertise of Yale students and embolden them to imagine new possibilities for the stage; and to serve as a model for the training of theatre professionals in the production of new work.

Through the Center, we aim to increase the number of Yale Repertory Theatre commissioned plays to eight per year and to sustain this level of creative output after the three-year grant period, through the establishment of a permanently endowed fund. We will support commissioned artists with readings, workshops, and residencies at the School of Drama, while maintaining enough program flexibility to tailor the support so that projects benefit from these developmental opportunities. Additionally, we will introduce writing-centered, collaborative, and integrated workshops, laboratories, and courses to the Yale School of Drama curriculum, focusing specifically on musical theatre, including libretto, lyric, and music composition for the stage. We will produce work of the highest possible artistic standards at Yale Rep and encourage the advancement of plays and musicals commissioned, developed, and produced by the Center for New Theatre. These works will be introduced into the field through the production enhancement fund, a mechanism that helps to underwrite multiple productions of Yale Rep commissioned work in theaters across the country.

2. Please summarize your progress in meeting these goals and objectives, and describe how your activities relate to achieving the ultimate goal/purpose of the program.

In FY09, Yale Rep commissioned eight works: Marcus Gardley, Lear DeBessonet, and Todd Almond's musical *On the Levee*; Jay Reiss and Scott Murphy's music theater piece, *Meanwhile on the Other Side of Mt. Vesuvius*; Bill Camp and Robert Woodruff's adaptation of *Notes from Underground*; and commissions of original plays by Dan Le Franc, Will Eno, Ann Marie Healy, Paula Vogel, and Julie Marie Myatt. Julie's was the final commission awarded in FY09, and we have appended her biography to this report.

Five workshops/residencies were conducted: *On the Levee* workshop, August 2008; *On the Levee* writers retreat, December 2008; *Meanwhile on the Other Side of Mt. Vesuvius* workshop, July 2008; *We Have Always Lived in the Castle* by Adam Bock and Todd Almond, adapted from the novel by Shirley Jackson, workshop January 2009; *We Have Always Lived in the Castle*, workshop April 2009.

Yale Rep presented the world premiere of *Notes from Underground* March 20-April 11, 2009. Through the Center for New Theatre, Yale Rep commissioned Bill Camp and Robert Woodruff to adapt Dostoevsky's classic novel for the stage. The production starred Bill Camp as the Underground Man and was directed by Robert Woodruff.

The adaptation is based on a translation of the novel by Richard Pevear and Larissa Volokhonsky, world-renowned and award-winning translators of Russian literature. Throughout the summer and fall of 2008, Camp and Woodruff wrote the text of the adaptation, focusing on capturing the essence of Dostoevsky's revolutionary novel, while shaping the text into a uniquely theatrical event. Composer Michael Attias and actor Merritt Jansen joined the cast, portraying the Underground Man's servant Appollan and Liza, the prostitute, and performing as live musicians throughout the production. The design team—David Zinn (sets), Mark Barton (lights), Peter Nigrini (video) and Moria Sine Clinton (costumes)—collaborated with Camp and Woodruff throughout the development of the text and ultimately created an exterior expression of the Underground Man's interior battle.

Louise Kennedy of *The Boston Globe* said of the production "One of the hallmarks of Woodruff's consistently intelligent and exhilarating work is the way he transforms an empty theater into a living space, brimming with energy and light. You can't point to any one element of his productions—the actors, the set, the lighting, the music—and say, 'There, that's what's making it come alive.' It's all alive; it's all charged with the emotional and intellectual (and even, I would say, spiritual) power he finds in the work. [...] We see nothing. We see everything. We are in the dark, and we are filled with light." The full *Globe* review and additional reviews are attached.

We are pleased to report that Yale Rep has contracted Tony Micocci of Micocci Productions, LLC to manage the tour of Yale Rep's production of *Notes from Underground*, nationally and internationally. Mr. Micocci is recognized as a leader in the field and has worked for more than thirty years as a presenter, artist's manager, and agent.

This spring, we solicited input from non-profit theatre leaders and individual artists to find an appropriate process for funding productions of Center-developed work at theatres across the country. Based on the information and suggestions we have gathered, we have concluded that our next step will be to recruit a strong network of producing partners whose artistic missions and production capacity—determined by such factors as scale of production, artist compensation, and a record of producing new work—align with those of Yale Rep and the Center for New Theatre. We anticipate recruiting up to a dozen producing organizations (including such potential partners as the Goodman Theatre, Berkeley Repertory Theatre, Lincoln Center Theater, and the Public Theater, for example), as well as consulting with playwright development organizations such as New Dramatists, The Playwrights Center, and Lark Play Development Center to develop a network that can leverage the considerable resources and new play production experience of each institution to a level not yet achieved in the American theatre. We will continue our conversations with these institutions throughout the fall of 2009, which will keep us on target to reach our original goal of beginning expenditures of the production enhancement fund in FY11 and continuing through FY14.

3. Were there any unanticipated results, either positive or negative? What have you learned? Will you make any changes based on these results?

After an international search, we hired Amy Boratko as Literary Manager, effective January 20, 2009. Ms. Boratko received her MFA in Dramaturgy and Dramatic Criticism from Yale School of Drama in 2006, and served as Artistic Coordinator for Yale Repertory Theatre from 2006-2008. The search to fill this important position took longer than we projected in the original proposal to the Foundation. Ms. Boratko was hired six months into this fiscal year; therefore, we spent less than half the monies budgeted for the Literary Manager position in FY09. Although she assumed her position as Literary Manager later than initially anticipated, Ms. Boratko has already made significant progress in restructuring Yale Rep's Literary Department and overseeing it so that it fully supports the activities of the Yale Center for New Theatre.

In our original proposal, we had indicated that it was our plan to develop and produce two new plays with funding from the Foundation in FY09. However, only one Center developed play, *Notes from Underground*, was produced this year, which substantially decreased the total production expenses for the Center for New Theatre in FY09. We still anticipate the same overall level of activity in new play production at the Center, though the timetable for projects fully produced is more likely to last into the first half of FY12.

The commissioning process proceeds largely as described in the original proposal to the Foundation. One significant difference is that Yale University requires accounting of commissioning payments with respect to the fiscal year in which they are paid, as opposed to on an accrual basis. When Yale Rep enters into an agreement to commission a playwright, the delivery date of the first draft is typically set at twelve months from the signing of the contract, and that time frame can change by mutual agreement between the theatre and the artist. Payments to the playwright are made in two parts: one half upon signing and one half upon delivery of a first draft. Therefore, while the cash flow of Robina Foundation funds for commissions may span twelve months, in most cases, those twelve months cross fiscal years. We anticipate making first draft payments to playwrights for FY10 commissions no earlier than FY11 and for FY11 commissions no earlier than FY12. In some cases, the writer and Yale Rep

may agree that the submission of a first draft, which triggers the option provision in the commissioning contract, is better delayed by both parties, and commission payments may cross more than two fiscal years.

Yale University calculates the end of the grant period to coincide with the last payment from the Robina Foundation, which is currently scheduled in FY11. We can certainly project now that we will not have spent all grant funds by the June 30, 2011. In addition, as outlined in the original budget submitted to the Foundation, we had always anticipated starting the expenditure of the production enhancement fund in FY11 and carrying it through FY14.

In an effort to more explicitly acknowledge the dynamics of the program, we request that the Foundation allow us formally to extend the grant period through FY14, though we still anticipate making approximately 70% of expenditures by FY11.

4. What are your plans to share your results or findings?

Dr. Aamoth has indicated that this question does not apply to us this year. We will be happy to revisit this question going forward.

5. Please attach an income and expense statement for this grant period. Also, include your original budget. A narrative explanation should be included for any line item differences between the original budget and actual expenses.

See attachment.

6. Please distinguish the work funded by the Robina Grant from your broader, ongoing work on the subject. Also include a list of additional funders (if any), including amounts received, for this program.

In addition to the new play activities described above, the Yale Center for New Theatre serves as a model for the training of theatre professionals, and supports the advancement of the Yale School of Drama curriculum, focusing specifically on musical theatre, including libretto, lyric, and music composition for the stage. Students at Yale School of Drama have the opportunity to study playwriting with Paula Vogel, considered by many to be the most successful teacher of young playwrights in America, with former students having won Pulitzer Prizes and MacArthur Fellowships (Nilo Cruz, Lynn Nottage, and Sarah Ruhl). Along with Paula Vogel, other faculty playwrights are Pulitzer Prize winners, Oscar and Tony nominees, OBIE and Jeff winners: they include John Guare, Lisa Kron, Rachel Scheinkin, Lynn Nottage, Michael Korie, Peter Parnell, and Ken Prestininzi. Students serve as teaching assistants to Donald Margulies (Pulitzer Prize winner) and Deb Margolin (OBIE Award winner) of the Yale undergraduate playwriting faculty. Each year the department brings in special guest artists; this year's included Hanif Kureishi and three Yale Rep playwrights: Sarah Ruhl, Octavio Solis, and Tom Stoppard. Added to all this, the University's Shen Musical Theatre Curriculum brought in composers, writers, and performers to give lectures and master classes. The School of Drama annually produces three new play festivals that are not funded by the Robina Foundation: the Carlotta Festival of New Plays, the Thornton Wilder Festival of One-Acts, and the Langston Hughes Play Festival. These festivals offer our students the chance to see their plays in full production before public audiences and invited industry professionals.

In June 2009, the School of Drama and Yale School of Music launched the Yale Institute for Music Theatre (YIMT), a musical theatre initiative that complements the Yale Center for New Theatre. YIMT exists to identify distinctive and original music theatre works by gifted emerging writers, and to serve those writers by matching them with collaborators who can help them develop their work in an unpressured setting. This year, the Institute provided two-week workshops in New Haven for three original music theatre pieces: *Sam I Was*, music, book, and lyrics by Sam Wessels; *POP!*, book and lyrics by Maggie-Kate Coleman, music by Anna K. Jacobs; and *Invisible Cities*, music and book by Christopher Cerrone. These emerging writers were partnered with professional directors, music directors, and actor/singers who worked to further develop each piece, culminating in small public readings. We're very pleased that *POP!* will receive its world premiere at Yale Repertory Theatre in November 2009—the first full production of a musical supported by the Center for New Theatre.

Other funds to support future commissioning efforts at the Center come from two sources. David Johnson, a Yale College alumnus, recently established an endowment for \$250,000. In addition, a donor who wishes to remain anonymous has bequeathed \$1 million to the program.

Summary

We have made solid progress towards our goals and objectives in our first year of the grant period. We commissioned eight new projects and conducted five workshops. We produced the world premiere of the Yale Rep commissioned and Center developed *Notes from Underground*, and are preparing for the world premiere of the first Center-supported musical. We hired a Literary Manager to oversee Yale Rep's Literary Department and the daily operations of the Yale Center for New Theatre. We began the process of defining and building a network of producing partners to implement the production enhancement fund.

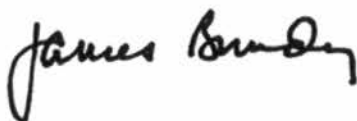
As described in our original proposal, each new play development activity has been tailored to meet the specific needs of the writers and individual projects. In recruiting playwrights for commissions and keeping the standard of artist compensation high—Yale Rep commissions now average \$20,000, more for musicals and established playwrights—we have built a reputation as a highly respected and desired home for artists. Maintaining this level of creative activity will keep us on target to meet the goals and objectives of our original proposal.

The Center funded one world premiere in FY09, and we expect significantly more activity in FY10, with the world premieres of a new play (Rinne Groff's *Compulsion*) and a new musical (Anna Jacob's and Maggie-Kate Coleman's *POP!*)

Because we did not anticipate the alignments of fiscal years and commissioning, nor the accounting procedures for grant funds received in FY11, we formally request the Foundation's extension of the funding period through FY14. We remain enormously grateful to the Foundation and the trustees for this extraordinary investment in some of the country's most promising writers. We cannot thank you enough for this unprecedented commitment to the imaginative life of our nation.

We welcome your response to the work we've accomplished thus far, and look forward to your stay in New Haven in February for your Board meeting and for your visit to Yale Rep to see *Compulsion*. I hope to be able to speak with you further about our request for an extension of the grant period, and, as always, I will continue to keep you abreast of all the activities at the Center with our quarterly reports.

Gratefully yours,

A handwritten signature in black ink that reads "James Bundy". The signature is written in a cursive, slightly slanted style.

James Bundy

Year-End Budget
(June 30, 2009)

Yale Center for New Theatre

	Total Proposed Budget	FY2009 Budget	FY2009 Robina Grant		FY2009 Other Funding Sources
Income					
Robina 3-year grant	2,250,000	-	750,000		
Robina Production Enhancement Fund	600,000	-	-		-
Subtotal Robina Foundation Grant	2,850,000	-	750,000		-
Robina pre-grant gift	50,000	-	50,000		-
Other (foundation, individual, tuition, royalties, university support)	3,532,000	-	-		456,662
Grand Total Income	6,432,000	-	800,000		456,662
Expenses					
Literary Manager: Salary plus Benefits	315,000	100,000	36,349	(Note 1)	-
Commissions (including musicals)	660,000	200,000	85,655	(Note 2)	-
Support for Commissions underway	50,000	50,000	43,500	(Note 3)	-
New Play and Musical Workshops	840,000	240,000	61,602	(Note 4)	131,611
Production Expenses	3,065,000	645,000	201,466	(Note 5)	-
YSD Lecturers for Musical Theater/YSD Playwriting Fellowships	300,000	90,000	-		143,640
YSD Key Staff Time	552,000	175,000	-		181,411
Production Enhancement Fund	600,000	-	-	(Note 6)	-
Indirect costs	0	-	38,507		-
Grand Total Expenses	6,382,000	1,500,000	467,080		456,662
Balance Carry-Over to FY2010			332,920	(Note 7)	

Budget Notes

1. Literary Manager was hired in January 2009, six months later than originally anticipated and at a marginally lower salary.
2. This amount represents the first payments for eight commissions.
3. These are second payments to playwrights who were commissioned prior to receiving Robina Grant (from \$50,000 Robina gift.)
4. Expenses for five workshops.
5. Expenses for *Notes from Underground*.
6. The spending of the Enhancement Fund will begin in 2011.
7. This amount includes six months of Literary Manager salary not spent, \$75,900 for second commission payments, \$6,500 balance of \$50,000 gift, and remainder as a result of producing only one Center-developed play.

Projected Budget
(March 25, 2008)

YALE CENTER FOR NEW THEATRE
BUDGET

<u>Income</u>	FY2009	FY2010	FY2011	FY2012 - FY2014	TOTAL
Robina 3 year grant					2,250,000
Robina Production Enhancement Fund					600,000
Other (foundation, individual, tuition, royalties, university support)					3,532,000
Total					6,382,000

<u>Expenses</u>	FY2009	FY2010	FY2011	FY2012 - FY2014	TOTAL
Literary Manager: Salary plus Benefits	100,000	105,000	110,000		315,000
New Commissions (including musicals)	200,000	220,000	240,000		660,000
Support for Commissions underway	50,000				50,000
New Play Workshops	50,000	75,000	100,000		225,000
New Musical Workshops	190,000	200,000	225,000		615,000
Production Expenses: New Plays	645,000	710,000	390,000		1,745,000
Production Expenses: New Musicals			1,320,000		1,320,000
YSD Lecturers for Musical Theatre / YSD Playwriting Fellowships	90,000	100,000	110,000		300,000
YSD Key Staff Time	175,000	184,000	193,000		552,000
Production Enhancement Fund			150,000	450,000	600,000
Annual Total	1,500,000	1,594,000	2,838,000	450,000	6,382,000

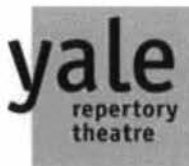
Attachments

1. BIOGRAPHY: Julie Marie Myatt
2. PRESS RELEASE: "Yale School of Drama and Yale Repertory Theatre Receive \$2.85 Million Gift from the Robina Foundation in support of the Yale Center for New Theatre"
3. ARTICLE: "Yale Receives \$2.85 Million Grant; Vogel Named Playwright-in-Residence" (by Adam Hetrick for Playbill.com on May 15, 2008)
4. ARTICLE: "Yale Receives Grant to Establish Center for New Theatre" (by BWW News Desk for BroadwayWorld.com on May 14, 2008)
5. ARTICLE: "\$2.85M gift establishes Yale Center for New Theatre" (by Donna Doherty for the *New Haven Register* on May 18, 2008)
6. PRESS RELEASE: "Yale Repertory Theatre Presents the World Premiere of Fyodor Dostoevsky's *Notes from Underground*"
7. FEATURE ARTICLE: "He'll See You in Hell: Actor Bill Camp Negotiates a Risky Curve in his High-Caliber Career" (by Kathryn Walat for *American Theatre* in March 2009)
8. REVIEW: "Get out of town: *Notes from Underground* at Yale Rep" (by Helen Shaw for *Time Out: New York* on March 30, 2009)
9. REVIEW: "*Notes from Underground*" (by Frank Rizzo for *Variety* on March 27, 2009)
10. REVIEW: "Emotional journey for all concerned" (by Louise Kennedy for *The Boston Globe* on March 30, 2009)
11. REVIEW: "*Notes From The Underground* Astonishing In World Premiere At Yale Rep" (by Susan Hood for *The Hartford Courant* on March 28, 2009)
12. REVIEW: "Actor Bill Camp anchors a music-filled multi-media journey underground" (by Christopher Arnott for the *New Haven Advocate* on March 19, 2009)

Julie Marie Myatt
| Biography |

Julie Marie Myatt has had plays produced in New York, Los Angeles, Minneapolis, Washington, D.C. and Louisville. *Zealot* and *The Joy of Having a Body* were commissioned by the Guthrie Theater, premiered at Guthrie Lab, and are published by Playscripts, Inc. *Welcome Home Jenny Suttor* premiered at the Oregon Shakespeare Festival and was presented at the Kennedy Center. *Boats on a River* premiered at The Guthrie, and *My Wandering Boy* had its world premiere at South Coast Rep. Published plays include *Lift and Bang* in *30 Ten-Minute Plays by 2 Actors from Actors Theatre of Louisville* (Smith & Kraus), *What he sent* in *The Best American Short Plays 2000-2001* (Applause Books), and *Cowbird* in the new anthology *Breaking Ground* (Stage and Screen Books). Ms. Myatt received a Walt Disney Studios Screenwriting Fellowship in 1992-1993, a Jerome Fellowship at the Playwrights' Center in 1999-2000, a McKnight Advancement Grant for 2001-2002, and was a participant in the Guthrie Theater New Play Project, funded by the Bush Foundation. Her other plays include *August is a thin girl*, *The Pink Factor*, *Alice in the Badlands*, and *49 Days to the Sun*.

“Yale School of Drama and Yale Repertory Theatre
Receive \$2.85 Million Gift from the Robina Foundation
in Support of the Yale Center for New Theatre”
| Press Release |



May 14, 2008

FOR IMMEDIATE RELEASE

Contact: Steven Padla / 203 432 1574 / steven.padla@yale.edu

**YALE SCHOOL OF DRAMA AND YALE REPERTORY THEATRE
RECEIVE \$2.85 MILLION GIFT
FROM THE ROBINA FOUNDATION
IN SUPPORT OF THE YALE CENTER FOR NEW THEATRE**

* * * *

PAULA VOGEL APPOINTED PLAYWRIGHT-IN-RESIDENCE AT YALE REP

Yale School of Drama and Yale Repertory Theatre (James Bundy, Dean/Artistic Director; Victoria Nolan, Deputy Dean/Managing Director) announce a \$2.85 million gift from the Robina Foundation to establish the Yale Center for New Theatre.

Through the **Yale Center for New Theatre**, **Yale Repertory Theatre** will substantially increase its annual commissions of new plays and musicals, and support these commissions through all stages of artist-driven development, including residencies, readings, workshops, and full productions. The **Yale Center for New Theatre** will also facilitate playwrights' residencies as lecturers at the School of Drama, and the development of curriculum in writing for musical theatre at Yale. Paula Vogel, recently appointed Eugene O'Neill Professor (Adjunct) and Chair of Playwriting at the School of Drama, will also serve as Playwright-in-Residence at Yale Rep.

The gift includes a \$600,000 production fund to be administered by the **Yale Center for New Theatre** as support provided to other not-for-profit theatres producing world premiere or second productions of plays commissioned by Yale Rep through the Center.

The **Yale Center for New Theatre** will be overseen by Dean/Artistic Director **James Bundy** and Associate Artistic Director **Jennifer Kiger**, director of Yale Repertory Theatre's new play program.

"For more than four decades, the Yale Repertory Theatre has developed and produced new work by some of the most vital and important voices in contemporary drama," says **Yale University President Richard C. Levin**. "This generous gift from the **Robina Foundation** is a direct investment in the future of the American theatre, and ensures that the Yale Rep will continue to have a significant and lasting impact on the development of new work for the stage."

"The **Yale Center for New Theatre** will provide artists with the time and resources to create new work, and build a larger community of playwrights, composers, lyricists and directors promoting professional training in every discipline of the theatre," says **James Bundy, Dean of Yale School of Drama and Artistic Director of Yale Repertory Theatre**. "We are particularly pleased to extend meaningful support to emerging playwrights through commissions and production opportunities that help them reach a wider audience."

"The **Robina Foundation** is pleased to participate in Yale School of Drama and Yale Repertory Theatre's commitment to providing playwrights with the means to actively pursue careers in the theatre at a time when more lucrative forms of media may lure them away," says **Gordon M. Aamoth, President of the Robina Foundation**. "Supporting the creation of new work will help maintain this creative wellspring. Supporting them in a university environment, in particular, offers a unique and especially creative venue for developing plays and for nurturing their talents and imagination."

The Robina Foundation, a Minnesota-based private grantmaking foundation, seeks to positively impact critical social issues by encouraging innovation and financially supporting transformative projects of its four institutional partners. These partners, selected by the Foundation's founder, James H. Binger, are 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.

ABOUT YALE REPERTORY THEATRE

A champion of new work, Yale Repertory Theatre has produced well over 100 world, American, and regional premieres—including two Pulitzer Prize winners and four other nominated finalists—by emerging and established playwrights. Eleven Yale Rep productions have advanced to Broadway, garnering more than 40 Tony Award® nominations and eight Tony Awards, and Yale Rep itself is the recipient of the Tony Award for Outstanding Regional Theatre.

In its 42-year history, Yale Repertory Theatre has produced the world premieres of plays by David Adjmi, Roberto Aguirre-Sacasa, Lee Blessing, Christopher Durang, Jules Feiffer, Athol Fugard, Marcus Gardley, Kama Ginkas, John Guare, Albert Innuarato, Walton Jones, Adrienne Kennedy, Arthur Kopit, Sunil Thomas Kuruvilla, Wendy MacLeod, Julie McKee, Terrence McNally, Richard Nelson, Suzan-Lori Parks, David Rabe, Keith Reddin, José Rivera, Sarah Ruhl, Sam Shepard, William Styron, Derek Walcott, August Wilson, and Doug Wright, among many others.

Current Yale Repertory Theatre commissions include *Notes from Underground*, a new play by Robert Woodruff and Bill Camp adapted from Fyodor Dostoevsky's novel, which will have its world premiere at Yale Rep in March 2009; as well as original plays by David Adjmi, Hilary Bell, Marcus Gardley, Amy Herzog, Naomi Iizuka, Rolin Jones, Elizabeth Meriwether, Octavio Solis, Kate Walat, Anne Washburn, and Marisa Wegrzyn; and a new musical by playwright Adam Bock and composer Todd Almond based on Shirley Jackson's *We Have Always Lived in the Castle*.

Founded in 1966 to serve as the Master Teacher to the professionals-in-training at Yale School of Drama, Yale Repertory Theatre's resident artistic staff includes School of Drama faculty members David Budries (Sound Design Advisor), Liz Diamond (Resident Director), Ming Cho Lee (Set Design Advisor), Jane Greenwood (Costume Design Advisor), Jess Goldstein (Resident Costume Designer), Mary Hunter (Stage Management Advisor), Catherine Sheehy (Resident Dramaturg), Rick Sordelet (Fight Advisor), Stephen Strawbridge (Resident Lighting Designer), Jennifer Tipton (Lighting Design Advisor), Paula Vogel (Playwright-in-Residence), Walton Wilson (Voice and Speech Advisor), Michael Yeargan (Resident Set Designer), and Evan Yionoulis (Resident Director).

####

**“Yale Receives \$2.85 Million Grant;
Vogel Named Playwright-in-Residence”**
by Adam Hetrick for Playbill.com on May 15, 2008
| Article |

PLAYBILL.COM

Yale Receives \$2.85 Million Grant; Vogel Named Playwright-in-Residence

By *Adam Hetrick*
15 May 2008

The Yale School of Drama and Yale Repertory Theatre have received a \$2.85 million grant to create the Yale Center for New Theatre.

The Robina Foundation – a Minnesota-based grantmaking organization – bestowed the gift.

In a statement Robina Foundation president Gordon M. Aamo said, “The Robina Foundation is pleased to participate in Yale School of Drama and Yale Repertory Theatre’s commitment to providing playwrights with the means to actively pursue careers in the theatre at a time when more lucrative forms of media may lure them away. Supporting the creation of new work will help maintain this creative wellspring. Supporting them in a university environment, in particular, offers a unique and especially creative venue for developing plays and for nurturing their talents and imagination.”

The creation of the Yale Center for New Theatre will allow increased commissions of new plays and musicals through residencies, readings, workshops and full productions. A portion of the grant will support the production of commissioned works from Yale Rep at other non-profit theatres.



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"Yale Receives Grant to Establish Center for New Theatre"

by BWW News Desk for BroadwayWorld.com on May 14, 2008

| Article |



Yale Receives Grant to Establish Center for New Theatre



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A row of small social media icons including Facebook, Twitter, and others.

Yale School of Drama and Yale Repertory Theatre ([James Bundy](#), Dean/Artistic Director; Victoria Nolan, Deputy Dean/Managing Director) announce a \$2.85 million gift from the Robina Foundation to establish the Yale Center for New Theatre.

Through the Yale Center for New Theatre, Yale Repertory Theatre will substantially increase its annual commissions of new plays and musicals, and support these commissions through all stages of artist-driven development, including residencies, readings, workshops, and full productions. The Yale Center for New Theatre will also facilitate playwrights' residencies as lecturers at the School of Drama, and the development of curriculum in writing for musical theatre at Yale. [Paula Vogel](#), recently appointed Eugene O'Neill Professor (Adjunct) and Chair of Playwriting at the School of Drama, will also serve as Playwright-in-Residence at Yale Rep.

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“\$2.85M gift establishes Yale Center for New Theatre”
by Donna Doherty for the *New Haven Register* on May 18, 2008
| Article |

New Haven Register

Serving New Haven, CT

\$2.85M gift establishes Yale Center for New Theatre

Published: Sunday, May 18, 2008

By Donna Doherty

NEW HAVEN ♦ A \$2.85 million gift from the Robina Foundation to establish the Yale Center for New Theatre could have a profound effect on the future of American Theatre, at least that ♦s what officials at Yale Repertory Theatre and the School of Drama see as the end result of this week ♦s gift.

Not only will it allow Yale to expand its annual commissions of new plays and offer more residencies, workshops and full productions of new works, it will also enhance the life expectancy of works by offering support of productions beyond their world premieres, even outside of Yale at other nonprofit theaters.



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“Yale Repertory Theatre Presents the World Premiere
of Fyodor Dostoevsky’s *Notes from Underground*”
| Press Release |



March 3, 2009

FOR IMMEDIATE RELEASE

Contact: Steven Padla / 203 432 1574 / steven.padla@yale.edu

**YALE REPERTORY THEATRE
PRESENTS
THE WORLD PREMIERE OF

FYODOR DOSTOEVSKY’S
NOTES FROM UNDERGROUND
ADAPTED BY BILL CAMP AND ROBERT WOODRUFF
BASED ON A TRANSLATION BY
RICHARD PEVEAR AND LARISSA VOLOKHONSKY

DIRECTED BY ROBERT WOODRUFF

FEATURING OBIE AWARD-WINNING ACTOR BILL CAMP

MARCH 20-APRIL 11 ONLY
OPENING NIGHT IS THURSDAY, MARCH 26**

YALE REPERTORY THEATRE (James Bundy, Artistic Director; Victoria Nolan, Managing Director) presents the world premiere of **Fyodor Dostoevsky’s *NOTES FROM UNDERGROUND***, adapted by **Bill Camp** and **Robert Woodruff**, based on a translation by Richard Pevear and Larissa Volokhonsky, **March 20-April 11 at Yale Repertory Theatre (1120 Chapel Street, at York Street).** Opening night is Thursday, March 26.

The creative team for ***NOTES FROM UNDERGROUND*** includes scenic designer **David Zinn**, costume designer **Moria Sine Clinton**, lighting designer **Mark Barton**, sound designer and composer **Michaël Attias**, projection designer **Peter Nigrini**, associate projection designer **Daniel Vatsky**, dramaturg **Amy Boratko**, vocal coach **Walton Wilson**, and stage manager **Kris Longley-Postema**.

OBIE Award-winning actor **Bill Camp**, who adapted the novel with director Robert Woodruff and plays Dostoevsky's iconic antihero, will be joined on stage by sound designer/composer **Michaël Attias** as Apollon and **Merritt Janson** as Liza, both of whom will also perform the music.

ABOUT NOTES FROM UNDERGROUND

Internationally-acclaimed director Robert Woodruff and OBIE Award-winning actor Bill Camp join forces to bring to life **NOTES FROM UNDERGROUND**—the revolutionary novel by Fyodor Dostoevsky, author of *Crime and Punishment* and *The Brothers Karamazov*—in a world premiere production for the stage.

"I am a sick man...I am a wicked man," cries the Underground Man, one of modern literature's first, and most remarkable, antiheroes. A former government official who has defiantly withdrawn from a corrupt society, the Underground Man wages his own personal war on everything—and everyone—around him. Laugh-out-loud funny and terrifying, **NOTES FROM UNDERGROUND** is the passionate, obsessive, and contradictory confession of a tormented soul.

Contains nudity, sexual situations, violence, and strong language.

TICKET INFORMATION AND PERFORMANCE SCHEDULE

Tickets for **NOTES FROM UNDERGROUND** range from \$35-65, and are available online at www.yalerep.org, by phone at (203) 432-1234, and in person at the Yale Rep Box Office (1120 Chapel Street, at York Street). Student, senior, and group rates are also available.

In addition, all tickets for the performances on Monday, March 23, Tuesday, March 24, and Wednesday, March 25 are \$10.

Friday, March 20	8PM	
Saturday, March 21	8PM	
Monday, March 23	8PM	ALL TICKETS \$10
Tuesday, March 24	8PM	ALL TICKETS \$10
Wednesday, March 25	8PM	ALL TICKETS \$10
Thursday, March 26	8PM	Opening Night
Friday, March 27	8PM	
Saturday, March 28	2PM	Talk Back
Saturday, March 28	8PM	Grad Night reception begins at 7PM
Tuesday, March 31	8PM	
Wednesday, April 1	2PM	Senior Reception begins at 1PM
Wednesday, April 1	8PM	
Thursday, April 2	8PM	Talk Back
Friday, April 3	8PM	

Saturday, April 4	2PM	Open Captioning, Talk Back
Saturday, April 4	8PM	
Tuesday, April 7	8PM	
Wednesday, April 8	8PM	
Thursday, April 9	8PM	
Friday, April 10	8PM	
Saturday, April 11	2PM	Audio Description
Saturday, April 11	8PM	

ABOUT THE CAST AND CREATIVE TEAM

MICHAËL ATTIAS (*Apollon, Musician, Sound Designer, Composer*) is a New York City-based saxophonist/composer. He has performed concerts in clubs and festivals throughout the United States, Europe, the Middle East, and Japan with musicians such as Paul Motian, Anthony Braxton, Anthony Coleman, Oliver Lake, and many others. Pursuing multifarious action as recording artist and leader of several ensembles, he has also composed and designed for dance, theatre and film, both in the US and Europe; most recently Theatre for a New Audience's production of Edward Bond's *Chair*, directed by Robert Woodruff, at The Duke on 42nd Street this past December.

MARK BARTON (*Lighting Designer*) Off-Broadway credits include *The Shipment*, *Chair*, *The Sound and the Fury* (April 7th, 1928), *Paradise Park*, *Church*, *All the Wrong Reasons*, *No Child...*, *Five Course Love*, and *Thom Pain (Based on Nothing)*. Other New York credits include many productions with companies including Elevator Repair Service, New York Theatre Workshop, Young Jean Lee's Theater Company, Theatre for a New Audience, Target Margin Theater, Signature Theatre Company, Salt Theater, P.S.122, New Georges, Clubbed Thumb, HERE Arts Center, Epic Theatre Ensemble, Edge Theater Company, among many others. Productions of Elevator Repair Service's *Gatz* in Brussels, Amsterdam, Zurich, Minneapolis, Oslo, Trondheim, Bergen, Lisbon, Vienna, Philadelphia, Portland, Seattle, Dublin, Chicago. Regional work includes productions at Perseverance Theatre, REDCAT, Berkeley Rep, Los Angeles Theater Center/Kirk Douglas Theatre, Woolly Mammoth Theatre Company, American Repertory Theatre, Lookingglass Theatre Company, Syracuse Stage, Asolo Repertory Theatre, Southern Rep, and Hangar Theatre. Other credits include *Wozzeck*, *Ainadamar*, *Albert Herring*, *L'Ormino*, *The Magic Flute*, and *Postcard from Morocco* with The Curtis Opera Theater in Philadelphia.

BILL CAMP (*Man, Co-Adaptor*) previously appeared in the Yale Rep productions of *Troilus and Cressida* and *Le Bourgeois Avant-Garde*. In New York, his credits include the Broadway productions of *St. Joan*, *The Seagull*, *Jackie: An American Life*, *Heartbreak House*, and *Coram Boy*; and Off-Broadway: *Homebody/Kabul* (OBIE Award), *Lydie Breeze*, *The Demons*, *The Misanthrope*, *Beckett Shorts* (New York Theatre Workshop); *Macbeth*, *Measure for Measure* (Theatre for a New Audience); *One Flea Spare* (The Public Theater); and *Inferno* (Jewish Rep). At American Repertory Theatre, he appeared in *Henry IV, Parts I and II*; *Henry V*; *Picasso at the Lapin Agile*; *Long Day's Journey into Night* (Elliot Norton Award, Best Actor); *Richard II*; *The Provok'd Wife*; and *Olly's Prison*. Other US theatre

credits include productions at Brooklyn Academy of Music, Mark Taper Forum, Guthrie Theater, Berkeley Repertory Theatre, Seattle Repertory Theatre, La Jolla Playhouse, and Hartford Stage, among others. Television and film credits include *Public Enemies*, *The Guitar*, *Coach*, *Deception*, *The Dying Gaul*, *Brotherhood*, *Law and Order*, *Joan of Arcadia*, and *The Great Gatsby*.

MORIA SINE CLINTON (*Costume Designer*) is a third-year MFA candidate at Yale School of Drama, where her credits include *I Am a Superhero* and *Peer Gynt*. The recipient of two Kennedy Center American College Theatre Awards, the 2003 National Barbizon Costume Design Award for *Scapino*, and the 2004 National Mehron Award in Makeup Design for *Bondagers*, her other credits include *Ainadamar*, *Korean Elektra*, *The Underneath*, *Bone Songs*, *The Do-Over* (Yale Cabaret); *Grey Gone* (Impact Theatre, NY); *Arms and the Man* (Theatre in the Round, MN); Commedia and dance productions at Humboldt State University, CA; productions at St. Croix Valley Summer Theatre, WI; Phipps Center for the Performing Arts, WI; and the University of Wisconsin-River Falls. Moria will return to The Santa Fe Opera for her eighth summer to assist on *Elixir of Love*.

MERRITT JANSON (*Liza, Musician*) is making her Yale Rep debut. Most recently she was seen in New York as Sophie Barger in *Baal* (The Riverside Theatre). She has appeared as Desdemona in *Othello* (Shakespeare and Company); the title role in *Eurydice* (The Wilma Theater); Chevalier in Theatre de la Jeune Lune's *The Deception* (La Jolla Playhouse); Junia in *Britannicus* (IRNE nomination), *The Onion Cellar* (American Repertory Theatre); Emilia in *The English Channel* (Vineyard Playhouse); and *Tuesday* (Barrymore Award for Outstanding Ensemble, Amaryllis Theatre Company). Her film credits include *Mail Order Wife* (Best American Film, Santa Barbara International Film Festival) and *Otto and Anna*. Ms. Janson received her MFA from the A.R.T./MXAT Institute for Advanced Theatre Training at Harvard University.

PETER NIGRINI (*Projection Designer*) Video design credits for theatre include the Broadway productions of *Say Goodnight*, *Gracie* and the upcoming *9 to 5: The Musical*; the new musical *Fela!* conceived and directed by Bill T. Jones; Jean Genet's *Elle* starring Alan Cumming (The Art Party, NYC); *Biro* (The Public Theater); *Blind Date* with the Bill T. Jones/Arnie Zane Dance Company; *Camille*, Neil Bartlett's adaptation of Alexandre Dumas's *La Dame Aux Camelias*, directed by Kate Whoriskey; *Sweet Bird of Youth* (Williamstown Theatre Festival). His opera credits include the world premiere of Charles Wuorinen's adaptation of *Haroun and the Sea of Stories* by Salman Rushdie (New York City Opera); world premiere of *Frau Margot* by Thomas Pasatieri and *Angels in America* by Peter Eötvös (Fort Worth Opera). Mr. Nigrini received his BA from Dartmouth College and his MA from Central St. Martin's College of Art and Design's International Scenography Centre (London).

ROBERT WOODRUFF (*Co-Adaptor, Director*) has directed over 60 productions across the US at theatres including Lincoln Center Theater, The Public Theater, Brooklyn Academy of Music, American Conservatory Theatre, Guthrie Theater, and Mark Taper Forum, among others. Most recently, he directed *Chair* at Theatre for a New Audience and created *Ifigeneia in Aulis* with Toneelgroep Amsterdam and Philip Glass's *Appomattox* for the San Francisco

Opera. Internationally, his work has been seen at the Habimah National Theatre in Israel, Sydney Arts Festival, Los Angeles Olympic Arts Festival, Edinburgh International Festival, Hong Kong Festival of the Arts, Jerusalem Festival, and Spoleto Festival USA. Mr. Woodruff has taught at the University of California campuses at San Diego and Santa Barbara, New York University's Tisch School of the Arts, and Columbia University. He is now on the faculty of Yale School of Drama. In 1972, he co-founded the Eureka Theatre in San Francisco, where he served as Artistic and Resident Director until 1978. In 1976, Mr. Woodruff established the Bay Area Playwrights Festival, a summer forum for the development of new plays that is still flourishing. From 2002 to 2007, Mr. Woodruff was the Artistic Director of American Repertory Theatre. He was named a 2007 USA Biller Fellow by United States Artists, an arts advocacy foundation dedicated to the support and promotion of America's top living artists.

DAVID ZINN (*Scenic Designer*) designed the costumes for Yale Rep's production of *Medea/Macbeth/Cinderella* in 2002. His New York credits include costumes for the Broadway productions of *A Tale of Two Cities* and *Xanadu*; and Off-Broadway his recent set and costume design credits include *Chair* (Theatre for a New Audience); *Back Back Back*, *The Four of Us* (Manhattan Theatre Club); and *The Sound and the Fury* (Elevator Repair Service). His regional credits include sets and/or costumes for *The Seagull*, *The Island of Slaves*, *Olly's Prison*, *Orpheus X*, *Highway Ulysses* (American Repertory Theatre); *Tobacco Road* (La Jolla Playhouse); and most recently, costumes for *In the Next Room (or the Vibrator Play)* at Berkeley Rep; as well as productions at the Guthrie, Alliance Theatre, Spoleto Festival, Mark Taper Forum, Intiman Theatre, Seattle Rep, and CENTERSTAGE among many others. His set and costume designs for opera have been seen at the Lyric Opera of Chicago, Santa Fe Opera, Glimmerglass, New York City Opera, and others. He is the recipient of the 2008 OBIE Award for Sustained Achievement in Set and Costume Design and the 2005 TDF/Irene Sharaff Young Master Award.

NEXT AT YALE REP

Charles S. Dutton in
DEATH OF A SALESMAN
By Arthur Miller
Directed by James Bundy
Yale Repertory Theatre (1120 Chapel Street)
April 24-May 23

####

**“He’ll See You in Hell:
Actor Bill Camp Negotiates a Risky Curve in his High-Caliber Career”
| Article |**



HE'LL SEE YOU IN HELL

ACTOR BILL CAMP NEGOTIATES A RISKY CURVE IN HIS HIGH-CALIBER CAREER

BY KATHRYN WALAT

IT'S HARD TO PINPOINT BILL CAMP'S career-defining roles. The actor left strong impressions early on, shifting comfortably from the slacker Prince Hal to a dashing, capable King Henry at American Repertory Theatre of Cambridge, Mass., in the early '90s. Playing a tormented, forceful Macbeth (opposite his now wife Elizabeth Marvel at New York City's Theatre for a New Audience in 1999), the decision to kill the king came as he and Lady Macbeth were intertwined lustily on the floor. For his role as a common seaman in Naomi Wallace's plague-era *One Flew Over a Cuckoo's Nest* at New York City's Public Theater in 1997, he learned to tie knots like a sailor, and nightly swung from pissing in the corner to working his hands up Dianne Wiest's legs in a moment of audience-squirming, steamy transgression.

More recently Camp seethed sadness and desperation as the heroin-addicted Quango Twistleton in Tony Kushner's *Homebody/Kabul*, first at New York Theatre Workshop in late 2001, then for Los Angeles's Mark Taper Forum and Brooklyn Academy of Music. In Ivo van Hove's reimagined *Misanthrope* at NYTW in 2007, Camp plunged his Alceste to new levels of shock and baseness, smearing himself with chocolate sauce and rolling around in trash brought in from the actual East Village street. And though he had to leave the Playwrights Horizons production of Sarah Ruhl's *Dead Man's Cell Phone* last year due to scheduling conflicts, for a handful of preview performances he harnessed the power of containment, shifting almost imperceptibly from one foot to another while delivering a five-page monologue describing his own death.

Camp, though, doesn't count the breakthrough roles so much as the connections they've given him, enabling him to deliver high-caliber performances for such powerhouse directors as Robert Woodruff, Anne Bogart, Ron Daniels, Frank Galati, Mark Wing-Davey and Garland Wright. In conversation, Camp always comes back to the privilege that he feels working on top projects with top people—a sentiment that his collaborators must echo when they find themselves in the playground and laboratory of a rehearsal room with him. "Ninety-five percent of what we do is about screwing it up," Camp reasons, "all that time that nobody sees."

In all his roles, it's clear that Camp is an actor who loves language.



Bill Camp and Zofia Goszczynska in *Oly's Prison* at American Repertory Theatre.

His extraordinary immersion in dramatic texts—both in his depth of understanding and his Juilliard-trained delivery—makes him a master at new plays as well as Shakespeare, Restoration comedy, even linguistically sensitive projects such as the staging of Robert Pinsky's translation of Dante's *Inferno*, presented by the 92nd Street Y Unterberg Poetry Center and the National Literary Audience Development Project in 1998.

Currently, he and director Woodruff—Camp calls him "a hero of mine"—have descended upon a massive, meaty project that is sending Camp back to a literary hell, of sorts. The pair is co-adapting Dostoevsky's short novel *Notes from Underground*—a project weighted with such risk potential that the embarking philosophy became: "I this will work. Or it won't." *Notes* makes its much-anticipated debut at Connecticut's Yale Repertory Theatre later this month. Camp will portray the obsessive antihero of what many consider the world's first existentialist novel. The bitter ramblings of a passionately tormented, retired government official in St. Petersburg, *Notes* was a pivotal work for Sartre and Nietzsche and an inspiration for Paul Schrader's *Taxi Driver* screenplay and Bret Easton Ellis's *American Psycho*. The production at Yale will feature jazz saxophonist Michael Atlas performing live on stage, weaving his original music into the piece.

I caught up with Camp before the collaborators had plunged into rehearsals, while he was still in the midst of working on his portion of the adaptation—experiencing the language in his mouth, feeling out the rhythms of the text, and listening with a judicious ear and a



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ATTACHMENT NO. 8

“Get out of town: *Notes from Underground* at Yale Rep”
by Helen Shaw for *Time Out: New York* on March 30, 2009
| Review |



THE WORLD OF THEATER Edited by David Cote

Get out of town: Notes from the Underground at Yale Rep

Posted in Upstaged by Helen Shaw on March 30th, 2009 at 3:36 pm

When the American Repertory Theatre in Cambridge let artistic director Robert Woodruff leave after a paltry few years, its loss was our gain. If the country's most adventurous director was going to be somewhere, best that we have him in New York, where we can get to his shows without risking the four-hour Fung Wah bus ride. After his petrifying, eye-of-the-storm production of Edward Bond's Chair at Theater for a New Audience last season, many of us were throwing back our heads for gloating, throaty mwah-ha-has. He's ours now, you Massachusetts suckas! Well, now Connecticut has him. Woodruff has joined the Yale Drama School's directing faculty, and his current piece, a multimedia adaptation of Evodor



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"Notes from Underground"
by Frank Rizzo for *Variety* on March 27, 2009
| Review |



Posted: Fri., Mar. 27, 2009, 2:54pm PT

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EMAIL



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CONTACT

Regional

Notes From Underground

(Yale Repertory Theater; 480 seats; \$65 top)

By FRANK RIZZO

NEW HAVEN, Conn. A Yale Repertory Theater presentation of a play in one act adapted by Bill Camp and Robert Woodruff, based on the novel by Fyodor Dostoevsky, from a translation by Richard Pevear and Larissa Volokhonsky. Directed by Woodruff.

Man - Bill Camp

Liza, Musician - Merritt Janson

Apollon, Musician - Michael Attias



Bill Camp and Merritt Janson star in a wrenching production of Dostoevsky's 'Notes from Underground' at Yale Rep.

"Notes From Underground," world premiering at Yale Rep, is an open wound of a play, oozing self-loathing, throbbing with intensity and stinking with misogyny. Only despair, guilt and hate act as balm for its wretched and abusive antihero. The feel-good play of the season this ain't, but one doesn't pick up Dostoevsky for a beach read. He means to take you to the basement beneath the lower depths of a man's buried soul. Going from page to stage, this largely internal monologue is not always illuminating, engaging or satisfying, but Robert Woodruff's helming is brilliantly cold, and Bill Camp's work is as raw and real as any stage performance in memory.

MOST VIEWED:

Ben Silverman out at NBC (9635 views)

Despite recession, Broadway booming (6850 views)

Spirit seeks out King Kong story (5670 views)

Funny People (2590 views)

Comic-Con wows audiences, studios (2512 views)

'G-Force' takes top spot from 'Potter' (2186 views)



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“Emotional journey for all concerned”
by Louise Kennedy for *The Boston Globe* on March 30, 2009
| Review |

boston.com

HOME / A&E / THEATER/ARTS
STAGE REVIEW

Emotional journey for all concerned

The Boston Globe



Bill Camp is in control yet completely free in the role of Underground Man at the Yale Repertory Theatre. (JOAN MARCUS)

By Louise Kennedy
Globe Staff / March 30, 2009

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Text size  

NEW HAVEN - Brutal, funny, agonizing, and profound, "Notes From Underground" at the Yale Repertory Theatre possesses a harsh and indelible beauty. It is at once a faithful adaptation of Fyodor Dostoevsky's strangely modern novel and a brilliantly original and theatrical work of art.

RELATED

- **EVENT** "Notes From Underground" at Yale Repertory Theatre
 - **BLOG** *Exhibitionist: Inside. Backstage. Behind the scene*
-

NOTES FROM UNDERGROUND

Play by Bill Camp and Robert Woodruff

Adapted from Fyodor Dostoevsky's novel, in a translation by Richard Pevear and Larissa Volokhonsky

Directed by: Woodruff. Set, David Zinn. Costumes, Moria Sine Clinton. Lights, Mark Barton. Music and sound, Michael Attias. Projections, Peter Nigrini.

At Yale Repertory Theatre, New Haven, through April 11. Tickets, \$35-\$65, 203-432-1234, www.yalerep.org

It is, in short, precisely the kind of work that Robert Woodruff, former artistic director of Cambridge's American Repertory Theatre, does at his best. And so the dark joy I felt in experiencing its bleak and bracing world was tempered only by a renewed sense of the loss that our local theater scene suffered when Woodruff left.

"Joy" may sound like a strange word for this particular work, which Woodruff and his frequent collaborator, the actor Bill Camp, adapted from the novel. It certainly wasn't the emotion expressed by assorted audience members who stalked out during Thursday's press opening, and it's not the most likely reaction to Dostoevsky's willfully nasty, aggressively negative Underground Man, a character who practically single-handedly invented the idea of the antihero, decades before Camus got around to it.

And yet joy is what I felt - first as Camp delivered a long, angry, bitingly self-mocking rant into a tiny camera, which then projected his tightly toothy grimaces hugely onto the back wall of the stage, and then later as this claustrophobic interior consciousness expanded to include the nameless Man's memories of a humiliating, cruel incident from his youth. Partly it was the joy of craft, of seeing an actor at once completely in control and completely free.



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*"Notes From The Underground Astonishing
In World Premiere At Yale Rep"*
by Susan Hood for *The Hartford Courant* on March 28, 2009
| Review |

Hartford Courant.
courant.com

STAGE REVIEW

**'Notes From The Underground' Astonishing In World
Premiere At Yale Rep**

By SUSAN HOOD

Special to the Courant

March 28, 2009

Bill Camp's astonishing, sustained white-heat performance as the hyper-conscious, riddling and nihilistic anti-hero of "Notes from the Underground," which had its world premiere Thursday at Yale Repertory Theatre, is likely to become a defining role in this notable actor's career.

Clearly Camp was eager for the vocal and physical challenges of the two-hour play — performed without intermission — because he and director Robert Woodruff were collaborators on this adaptation of Fyodor Dostoevsky's short existential novel of the same name. (The text is based on a recent translation by Richard Pevear and Larissa Volokhonsky.) So some background is in order.

Ever since "Notes from the Underground" was published in 1864, Dostoevsky's anti-hero, a mid-19th-century former civil servant who is reduced to paranoia and inertia, has been viewed by succeeding generations of thinkers and fiction writers as a character contemporaneous with their times.

Likewise, Camp and Woodruff's vision of a character who is identified simply as "Man" is up-to-the-minute. Seated at a table before a laptop computer and a live video-cam that projects his face onto the back of the set, the Man is documenting his first monologue, which he describes as his vivid consciousness of the pleasures he finds in his own humiliation.



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“Actor Bill Camp anchors a music-filled multi-media journey underground”
by Christopher Arnott for the *New Haven Advocate* on March 19, 2009
| Review |

NEW HAVEN Advocate

Stage

Camp, Rock

Actor Bill Camp anchors a music-filled multi-media journey underground

Thursday, March 19, 2009

By Christopher Arnott

Notes from Underground

March 20-April 12 at the Yale Repertory Theatre, Chapel and York sts., New Haven; (203) 432-1234, yalerep.org.

To those who recall him only from his prior appearances on Connecticut stages — four shows, all in the early 1990s — Bill Camp may seem more the exemplary ensemble member than the lead actor type. Previously at Yale Rep, he was Troilus in Adrei Belgrader's anarchic take on Shakespeare's *Troilus and Cressida* (fighting for attention in a hardy cast that included John Turturro and Ethyl Eichelberger) and a pretentious instructor in Charles Ludlam's boisterous Molière remix *The Bourgeois Avant-Garde* (which director Liz Diamond cast with a who's who of downtown New York theater upstarts such as Everett Quinton and Stuart Sherman).

At Long Wharf in 1990, Camp was one of the troubled housemates in Stuart Jeffreys' drama of social upheaval *Valued Friends*. He was a marvelously manic Mercutio for director Mark Lamos in *Romeo and Juliet* at Hartford Stage in 1995.

Even at the ART in Cambridge, Mass., and on Broadway, Camp's resume is full of stand-out turns in large casts (Boss Mangan in Robin Lefevre's Roundabout Theatre revival of Shaw's *Heartbreak House*), multiple roles in the riotous historical romp *Jackie: An American Life* or leading roles in works which demand constant interaction with equally strong performers (opposite Mikhail Baryshnikov, for instance, in JoAnne Akalaitis' Beckett shorts).

With that history of excelling at teamwork and grand-scale productions, Dostoevsky's *Notes from Underground* would seem to be an unlikely starring vehicle for Bill Camp. But what it turns out to be is an unusually collaborative production of a work that basks in misanthropy and isolation.



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"Notes from Underground"

by Sandy MacDonald for *TheaterMania* on March 28, 2009

| Review |

THEATERMANIA
FOR THEATER EVERYWHERE

REVIEWS

>> ARCHIVES

Notes from Underground

Reviewed By: **Sandy MacDonald** · Mar 28, 2009 · Connecticut

If you've ever experienced so much as a moment's unease in a social situation, you owe it to yourself to see Bill Camp in his and director Robert Woodruff's coruscating adaptation of Dostoevsky's 1864 novella *Notes from Underground* at Yale Rep. It's a two-hour thrill ride into the realm of self-loathing -- a brilliant study of the perverse impulses that make even the sanest of us occasionally behave counterproductively in our quest for validation and approval.

Camp's "Man," a 40-year-old former civil servant gone semi-feral, doesn't rate high on the sanity spectrum. Holed up in a trashed office adrift in falling snow, he settles in for a long rant in front of a computer camera. He won't face us in the audience (lit like him, as if in complicity); however, his closeup, projected onto the rear wall, demands intimacy. Man positively froths and drools in his zeal to get his point across -- that, romantic notions to the contrary, humans are not instinctively drawn to virtue.

Admittedly, he is not a fun companion. After 15 minutes or so of such fulminating, it's reasonable to wonder where he's going with all this: Are we locked into a lecture by a madman? And then he decides to dredge up one particularly oppressive memory, and, as he reenacts it, the real drama begins. Already a loner at 24, Man finds himself nonetheless hungry for company and, on a whim, invites himself to dinner with a group of former schoolfellows he has never had much use for. They neglect to mention that the appointment has been pushed back an hour, and so he sits alone in the fancy restaurant, grinning defensively, feigning an air of habitual bonhomie.



Bill Camp in *Notes from Underground*
(© Joan Marcus)



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Robina Foundation Board of Directors Annual Meeting

August 25-26, 2009

Faegre and Benson Office

2200 Wells Fargo Center, 90 South 7th Street, Minneapolis, MN 55402, Phone: 612-766-8078

(Go to 22nd floor and receptionist will direct you to the room.)

Time	AGENDA – Tuesday, August 25	Tab#
8:00 a.m.	Welcome and Call to Order – Aamoth (Continental Breakfast to be provided)	
8:05 a.m.	Disclosure/Conflict of Interest Policy – Aamoth – Action Item	1
8:10 a.m.	Minutes from May 18, 2009 – Schroeder - Action Item	2
8:30 a.m.	Governance - Crosby • Officer and Board Member Elections/Resignations/Compensation – Action Items	3
8:45 a.m.	President's Report – Aamoth • Grant approval for \$250K for UofM and \$2.85M for Yale Drama – Action Items	4
9:00 a.m.	Human Rights Report – Barbara Frey and Garth Meintjes – Karoff & Aamoth (Report in back of Board Book)	
10:45 a.m.	Break	
11:00 a.m.	Committee Reports A. Finance – Aamoth and Crosby Financial Statements – 1 st & 2 nd Quarter 2009 – Action Items (Statements in back of Board Book) Required Distributions report from CBIZ Binger Current Residuary Assets on Hand B. Audit – Report from Auditor, Julie Richardson – Karoff – Action Item (Report in back of Board Book) C. Legal - Crosby	5
12 Noon	Lunch (to be provided in the meeting room)	
1:00 p.m.	Committee Reports D. Grants Program Continued – Schroeder Yearend Evaluation Reports (Please bring your reports to Meeting) • University of Minnesota Law School – David Wippman – Action Item	6
2:30 p.m.	• Abbott Northwestern – Richard Adair and Heather Britt – Action Item	
4:00 p.m.	Other Business – Consider grant to NEA - Karoff	6
4:15 p.m.	Future Board Meetings – Aamoth	7
4:30 p.m.	Adjournment	
	AGENDA – Wednesday, August 26	
8:00 a.m.	Committee Reports (Continental Breakfast in Meeting Room) Grants Program Continued – Schroeder (Please bring your reports to Meeting) • Council on Foreign Relations – Stewart Patrick /Jim Lindsay – Action Item	
9:30 a.m.	• Yale Law School and Yale School of Drama – Action Items	8
10:00 a.m.	Break	
10:15 a.m.	Other Business	
10:30 a.m.	Executive Session with Susan Boren – Tom Crosby	
12 Noon	Adjournment	

ROBINA FOUNDATION BOARD OF DIRECTORS MEETING
August 24-26, 2009

MONDAY, AUGUST 24

6:00 p.m. Dinner at Manny's Steakhouse (9th and Marquette)
 Phone: 612-215-3700

Lodging: Peter Karoff, Steve Schroeder at the Marquette Hotel
 Garth Meintjes at the Holiday Inn Metrodome

TUESDAY, AUGUST 25

8:00 a.m. Board of Directors Meeting at Faegre and Benson – see Agenda

5:30 p.m. Peter and Steve to Minnetonka via limo service
 (Paul Forsline – 612-240-4400)

6:00 p.m. Boat cruise on Lake Minnetonka (arranged by Tom Crosby) *met @ Woodhill*

7:30 p.m. (approx) Dinner at Woodhill Country Club
 Phone: 952-473-7333

9:30 p.m. (approx) Karoff and Schroeder back to hotel via limo service
 (Paul Forsline – 612-240-4400)

Lodging: Karoff and Schroeder at the Marquette Hotel
 Stewart Patrick (CFR) at the Marquette Hotel
 Jim Lindsay (CFR) at the Marquette Hotel

WEDNESDAY, AUGUST 26

8:00 a.m. Board Meeting Continued – see Agenda

10:30 a.m. Executive Session with Susan Boren

Noon Adjournment

1	Disclosure Conflict of Interest
2	Minutes
3	Governance
4	President's Report
5	Committee Reports Finance
6	Committee Reports Grants Other Business
7	Future Board Meetings
8	Committee Reports Grants (Continued)

**Robina Foundation
Meeting Minutes
May 18, 2009**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on May 18, 2009 via conference call.

The following Directors were present for the meeting: Gordon Aamoth, Thomas Crosby, Lois Quam, and Steven Schroeder.

Lisa Deutsch, OfficeTeam temporary employee, was present and served as recorder.

Call to Order and Welcome

Gordon Aamoth, President, called the meeting to order and welcomed Board Members.

Disclosures

Lois Quam noted that she has left Piper Jaffray, and formed a new company, Tysvar. Lois also noted that her husband, Matt Entenza, has declared his formal candidacy for Governor of Minnesota. Steven Schroeder has joined the board at Marin General Hospital, and has stepped down from Harvard Public School of Health Board due to the end of his term limit. Thomas Crosby, Gordon Aamoth, and Peter Karoff have no changes.

Minutes

The Minutes of the February 16-17, 2009 Board Meeting were reviewed by the Board. There were no corrections. A motion was made and seconded to approve the Minutes, the motion passed unanimously.

President's Report

Gordon stated that we do not need to review his report line by line as all issues will be dealt with as we go through the book.

Human Rights Proposal from Frey and Meintjes

Gordon noted that since our last meeting, we have had two conference calls with Peter, Barbara, and Garth. Barbara and Gordon wrote the notes from those calls. We have asked her to do a research scan for the August meeting. The conference call summaries and the proposals are included under Tab 3. Do we want to go further at this time, and at the expense they proposed?

Lois made a motion, which was seconded, and unanimously approved to go ahead and fund the Research Plan presented by Frey and Meintjes.

Gordon gave an update on Garth's job situation and he said that Garth has agreed he will continue to consult with us even if he were to accept another position.

Aspen Institute Judges Conference Proposal

Gordon directed us to the report sent to us from Garth Meintjes regarding the Aspen Institutes' Justice and Society Program under Tab 3. This program is currently without funding, and they are requesting an amount of \$130,575 for the project.

Tom was impressed with the number and quality of judges they work with, especially the district court judges.

Steve supports a one-time/one-year grant. We should encourage them to ask for funding elsewhere in the future because this project is outside our domain.

A motion was made, seconded and approved to fund the Aspen Institutes' project at the requested amount of \$130,575.

Gordon will let Garth Meintjes know of the Board's decision.

Gordon brought up one additional issue regarding the Center for Victims of Torture's New Tactics Project that Barbara Frey sent to Robina. As you may recall, we donated money to them when Ed retired. Would we like to consider another program outside of our four institutions? Would we like to pursue this? The group agreed that we should turn them down due to the fact that they are outside our scope.

D&O and Property Insurance (Chubb)

Gordon noted that we did renew our annual D&O and our property insurance policies. No action needed.

Minnesota Council on Foundations/Association of Small Foundations

Tom recommends that we not renew our membership with the Minnesota Council on Foundations as the fee increased from \$500 to over \$14,000. This amount changed due to the increased grant giving. Gordon mentioned that MCF has asked us to hold off on a decision pending some task force work they are conducting. The Board would like to be a member, but feels the amount is excessive regarding the return we would get. Tom suggested making a contribution of \$500 in support of their work. The Board agreed. Gordon said that we did join the Association of Small Foundations whose membership fee is \$495/annually and offers similar benefits to MCF.

Ethics, Travel, and Record Retention Policies

Gordon noted that these policies are routine practice for nonprofits. In this regard, a travel policy was established as a general practice. Steve and Lois recommended we add a statement in the policy that private club memberships are not a benefit for our Foundation.

Regarding the Record Retention Policy, Tom recommends under Corporate Records on page one that we add to "Founder's (Jim Binger) Estate Papers" the wording, "Relevant to the Foundation." He also suggested removing the "Consultant Applicant Resumes and Evaluations" under Contracts on page two stating he didn't think they were necessary.

A motion was made, seconded, and passed unanimously to approve the three Policies with the changes recommended.

Committee Reports

Finance Report

Gordon reviewed our 1st Quarter Financial Statement prepared by CBIZ. There being no further discussion, a motion was made, seconded and unanimously approved to accept the 1st Quarter Financial Statement.

Investment

Tom recapped our meeting with the USBank to review the \$20 million we received. Most of those funds have been kept in cash; the bank made some recommendations which are summarized on page 71 of the Board Book.

A motion was made, seconded, and unanimously approved to accept the USBank strategy.

The TIFF investments, permits us to mirror the investment strategies of larger foundations. Our cost basis was \$9.3M, which is now down 37% to \$5.9M in two years since the original investment date in May 2007. This return is similar to other foundations.

There is relatively little else on the investment horizon going forward. Future amounts are dependent on the funds to be received from J.P. Morgan. Tom noted his appreciation for Ed Spencer's recommendation to hold our money in cash while awaiting the J.P. Morgan funds.

Grants Program

Gordon noted that the grantees are asked to submit quarterly updates, which he reviews.

Abbott Northwestern

Abbott Northwestern has hired four care guides and two program managers. One has since left due to a new job in Chicago. Gordon met with the other three, who are highly qualified and very enthusiastic. They have had more good results by recruiting patients in person rather than by phone. They are close to meeting their recruitment goal of 324. However, the patient population is not as diseased as we had anticipated. Gordon

noted that Abbott is using the University of Minnesota Public Health Department for statistical analysis.

Council on Foreign Relations - Institutional Initiative and Global Governance

Gordon went to New York last week for their first annual IIGG Conference which covered six areas, including climate, international finance, international law, etc. We had sponsored the Laws of the Sea Program which was given to Sen. John Kerry. Some of our support will be last minute, not planned in advance, since the members of the Council in New York treat it as a breakfast/lunch club depending on who is in town. Our support will result in ongoing publications.

Steve was contacted by Stewart Patrick, and then Richard Haass. He will meet with Mr. Haass next week, but thinks it's unusual that they would single out a Board Member.

After some discussion, the group agreed that this is the toughest one of our four organizations to analyze the benefits and outcomes of their work.

University of Minnesota Law School

Total amount expended to date is \$1M plus - meaning they have about \$400,000 remaining. The school has hired John Borroughs, whose specialty is indigenous and human rights. *Borroughs*

The Law School has requested to reallocate some of their summer internship money to fund post graduate fellowships. They would like to give recent graduates a job so they can start working right away, due to the slowdown in the job market. The group agreed that this is a good idea.

Gordon also noted that due to state budget decreases, they have a request for \$99,000 to retain one particular faculty member. After some discussion, it was agreed that we would approve a reallocation of this amount from the second year's grant money of \$1,436,750, but are not willing to give an extra amount this year.

Peter Karoff joined the call at 10:30 a.m.

Yale Law School

Kenna Barrett writes in their report that they have given fellowships for the following year, including one private practice person. Gordon feels they are outstanding people, our money was well spent. Peter asked if we receive updates from them throughout the year. Gordon replied that we do.

Yale Center for New Theater

Gordon is satisfied that they are on track based on his previous visit. They may not be coming to our meeting in August because we hope to have a winter meeting in New Haven.

Tom suggested keeping tabs by institution regarding total amount committed and paid. Peter would also like to track our potential spending over the next few years, as a separate document.

Monitoring/Evaluation Letter

There was discussion on the letter to go to the four institutions to get their annual evaluation and the Report Guidelines. Steve made the suggestion to change the wording in the letter to say that we "may" do onsite visits from we "will" do onsite visits. Peter suggested that we might want to include the question of "What is the single most creative idea that has come out of their project." That question will be included under #3 of the Guidelines.

Audit

There was no report other than some discussion about the reason for having the Ethics, Travel, and Record Retention Policies which were suggested by the Auditor. The final Audit will be presented at the August Board Meeting.

Legal Update

Tom stated that the family members are ready to settle the IRS issue, and bring this to a conclusion. The McDermott Will lawyer says that the IRS has not completed its work on the refund claim. The likelihood that we would owe anything to the IRS is slim. We believe that \$123 million will be our final amount from the Estate. Tom has concern that McDermott Will legal fees are excessive. We need to continue pressure on J.P. Morgan, McDermott Will & Emery, and the IRS, to control expenses paid out of the Estate.

Future Board Meetings

Gordon asked that the Board Members put their best effort forward to be here on Monday, August 24, 2009 for the opening dinner that evening at 6:00 p.m. We will be having a full day and a half for the Business Meeting including visits by some of the institutions.

After consulting calendars, the group agreed that February 22-26, 2010 are good dates for a meeting with the Yale representatives in New Haven, Connecticut. Gordon will contact Yale to confirm.

Adjournment

There being no other business, the meeting was adjourned.

Executive Session

The Board went into Executive Session including Gordon Aamoth.

Respectfully Submitted,

Steven A. Schroeder, Secretary

Date

ROBINA FOUNDATION BOARD SLATE
August 25-26, 2009

Name/Office	Elected to 1st Term	1st Term Expires	Elected to 2 nd Term
Gordon M.Aamoth, MD President	9/1/04	8/31/07	9/1/07 – 8/31/10
Thomas M. Crosby, Jr. Vice President	2/20/07	8/31/10	
Peter Karoff, Audit	12/1/06	8/31/09	
Lois E. Quam	8/26/08	8/31/11	
Steven Schroeder, MD Secretary	9/1/04	8/31/07	9/1/07 – 8/31/10

The Auditor recommends that compensation for the Board of Directors be reviewed and approved annually.

ROBINA FOUNDATION

4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402
Phone: 612-333-2313
Fax: 612-333-0182
www.robinafoundation.org

DATE: August 13, 2009
TO: Robina Board Members
FROM: Gordon Aamoth
SUBJECT: PRESIDENT'S REPORT – August 2009

Governance/Administration

The Board Chair, Tom Crosby, and I have been working with consultant, Susan Boren, of SpencerStuart to do a job description for the President and CEO, the Officers and the Directors which will be completed for the August 2009 Annual Board Meeting.

The office is functioning well. Tom Crosby, Gordon, and Nancy now have offices next to one another which provides efficiency in a well functioning model for a small foundation.

The Audit will be presented in final form to the Board of Directors at the Annual Meeting for your approval. The report, prepared by Julie Richardson of the Wilkerson Associates firm, was reviewed by Committee Chair, Peter Karoff, Gordon Aamoth, and Nancy Gilberg. During the gathering of information for the auditor, she noted that our Minutes did not include "approval action" for the \$250,000 grant to the University of Minnesota Law School for faculty retention nor the \$2.85M to the Yale School of Drama. These were actually covered by approval from each of you via email, but we need to have them formally approved in our Minutes – which we will do at the Annual Meeting.

I met with Anita Tyson of J. P. Morgan on June 11th in Minneapolis to discuss the remaining Binger Estate assets and to pitch further distribution. She wants to wait until the IRS case has action. The Binger Estate assets are \$63,680,462. We also discussed the fees of the lawyers and J. P. Morgan. Her response was that both were about the same as pre-engagement estimates.

The TIFF assets are \$6.9M and USBank's are \$41M. Our total assets will be \$111,271,861. This does not include any IRS return of the Mauer gift tax which Tom Crosby will give us an update in his report. This does not include grants to be given at the end of this Board Meeting to Yale Drama, Abbott, Council on Foreign Affairs, and the University of Minnesota Law School. We have already given Yale Law School their second round of grant monies (\$1M).

On July 30, I met with Dr. Richard Adair, the PI for the Abbott grant on "Care Guides in the Primary Care Office." I think you all will be pleased with their program, their progress, and their budget. It is a straight forward report of their success at a reasonable cost, this short term outcomes of improvement in three chronic diseases, and their plan for Phase II of expanding the program to include clinics of differing socioeconomic status. Their report was sent to you and will be presented by Dr. Adair on August 25 at our Meeting.

Grantmaking

At the last Board Meeting, Peter asked that I chart the grants distributed, remaining grant commitments, and the remaining assets after these distributions.

Grantee	Grants Distributed	Remaining Commitments
Abbott Northwestern	\$1,378,535	\$4,746,465
Council on Foreign Affairs	2,050,000	4,000,000
UofM Law School	1,775,000	4,661,339
Yale University – Planning Grant	50,000	-0-
Yale School of Drama	750,000	2,100,000
Yale Law School	1,000,000	2,000,000
Aspen Institute	350,000	-0-
Center for Victims of Torture	25,000	-0-
TOTALS	\$7,159,110	\$17,507,804

Remaining Assets as of June 2009	\$111,271,861
Less Remaining Commitments	- 17,507,804
	\$ 93,764,057

Finance/Investments

Our 2nd Quarter Financial Statement from CBIZ, our accountants, is in the back of this Board Book and required approval.

The 990-PF, also prepared by CBIZ, and was just completed, signed by me, and posted. An Extension to August 15th had been filed because of waiting for completion of the Audit.

USBank has invested our assets, under their management, as we presented to you in May; \$10M in cash or equivalents, \$8M in TLGP, government backed short term bonds, and \$15.7M in 3-5 year Corporate Bonds. We have \$6.9M in the TIFF Multi-Asset Fund (MAF) on 6/30/09 which is slightly up, \$18,732 from April 31, 2009. Until the economy stabilizes, Tom and I think we should do this. However, the auditor has advised me that we will need a new Investment plan to continue to do this because it is in variance from our current plan to have equities 70%, bonds 30%, and other determined by equity manager.

The Binger Estate report from J. P. Morgan in the Board Book shows \$63,180,462 which is slightly up for the last quarter.

Addendum to Investment Policy (08 25 09)

The President and Investment Committee Chair have made a temporary change in the Investment Policy allocation to allow for the sudden recession in the global economy as of the fall of 2008 continuing through 2009. We have elected to have 80% in cash equivalents and short terms bonds and 20% in equities until the recession ends at which time we will recommend to the Board to resume our position stated in the Investment Policy of August 2008.

Nancy Gilberg

From: Julie R. Richardson [jrichardson@wilkersoncpa.com]
Sent: Friday, July 31, 2009 8:46 AM
To: ngilberg@robinafoundation.org
Cc: gaamoth@robinafoundation.org
Subject: grants not in the minutes

Nancy and Gordon,

Sorry I didn't reply yesterday - I don't always carry my cell phone and didn't hear it.

There were 2 grants that weren't explicitly in the minutes. The 250,000 grant to the U of M law school and the 750,000 grant to the Yale Drama school.

Hope you have a great weekend. Off the fair this morning to watch the sheep judging! Tomorrow it's the rabbits.
Julie

Nancy Gilberg

From: Gordon Aamoth [gaamoth@robinafoundation.org]
Sent: Thursday, March 20, 2008 5:18 PM
To: ngilberg@robinafoundation.org
Subject: Re: Letter from Wippman 3708.pdf

Nancy, I support the immediate fundig of \$250,000 for Dean Wippman propsal. Gordon Aamoth

-----Original Message-----

From: "Nancy Gilberg" <ngilberg@robinafoundation.org>
Sent 3/20/2008 3:56:29 PM
To: "'Crosby, Thomas M.'" <TCrosby@faegre.com>, "'Schroeder, Steve'" <schröder@medicine.ucsf.edu>, "'H. Peter Karoff'" <pkaroff@TPI.ORG>, "Edson W. Spencer" <nosde2@aol.com>
Cc: "Gordon M. Aamoth" <gaamoth@robinafoundation.org>, "Jean Sazevich" <jsazevich@robinafoundation.org>
Subject: Letter from Wippman 3708.pdf

Gentlemen,

We just received the attached letter from Dean Wippman from the University of Minnesota Law School. Gordy has asked that I forward a copy to each of you for your review. They are requesting an immediate grant of \$250,000 – stated in the letter on page two. Please respond via email (so that we have a written record) as to whether you approve or decline this request. If you have any questions, contact Gordy directly (612-845-9990 or 772-546-6126).

Thank you.

Nancy Gilberg
Robina Foundation

Nancy Gilberg

From: Crosby, Thomas M. [TCrosby@faegre.com]
Sent: Friday, March 21, 2008 9:00 AM
To: ngilberg@robinafoundation.org; Schroeder, Steve; H. Peter Karoff; Edson W. Spencer
Cc: Gordon M. Aamoth; Jean Sazevich
Subject: RE: Letter from Wippman 3708.pdf

I, too, am in favor of the \$250,000 grant. Gordy and I discussed this possibility with Wippman and Sullivan in our February meeting. Faculty retention is a big issue given several years of uncertainties in the Dean's office. Whippman is discovering that he needs to act promptly.

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]
Sent: Thursday, March 20, 2008 4:56 PM
To: Crosby, Thomas M.; 'Schroeder, Steve'; 'H. Peter Karoff'; Edson W. Spencer
Cc: Gordon M. Aamoth; 'Jean Sazevich'
Subject: Letter from Wippman 3708.pdf

Gentlemen,

We just received the attached letter from Dean Wippman from the University of Minnesota Law School. Gordy has asked that I forward a copy to each of you for your review. They are requesting an immediate grant of \$250,000 – stated in the letter on page two. Please respond via email (so that we have a written record) as to whether you approve or decline this request. If you have any questions, contact Gordy directly (612-845-9990 or 772-546-6126).

Thank you.

Nancy Gilberg
Robina Foundation

Nancy Gilberg

From: H. Peter Karoff [pkaroff@TPI.ORG]
Sent: Friday, March 21, 2008 11:24 AM
To: Jean Sazevich; schroeder@medicine.ucsf.edu; ngilberg@robinafoundation.org; Crosby, Thomas M.; nosde2@aol.com
Cc: Gordon M. Aamoth
Subject: RE: Letter from Wippman 3708.pdf

I also am in support of this grant but echo Ed's comment reagrding human rights- and would indicate that in our resoponse -

Peter

From: Jean Sazevich [mailto:jsazevich@robinafoundation.org]
Sent: Thursday, March 20, 2008 7:49 PM
To: schroeder@medicine.ucsf.edu; ngilberg@robinafoundation.org; Crosby, Thomas M.; H. Peter Karoff; nosde2@aol.com
Cc: Gordon M. Aamoth; Jean Sazevich
Subject: Re: Letter from Wippman 3708.pdf

Thank you for your fast reply Steve. Gordon and I spoke earlier today. He expressed his support of funding the request and I agreed with that recommendation as well.

Jean M. Sazevich
Managing Consultant
Robina Foundation
612.599-7092 (cell)

-----Original Message-----

From: "Schroeder, Steve" <schroeder@medicine.ucsf.edu>
Sent: 3/20/2008 4:12:27 PM
To: ngilberg@robinafoundation.org, "Crosby, Thomas M." <TCrosby@faegre.com>, "H. Peter Karoff" <pkaroff@TPI.ORG>, "Edson W. Spencer" <nosde2@aol.com>
Cc: "Gordon M. Aamoth" <gaamoth@robinafoundation.org>, "Jean Sazevich" <jsazevich@robinafoundation.org>
Subject: RE: Letter from Wippman 3708.pdf

Assuming staff approves this request, I am comfortable with moving forward on the \$250,000 authorization as well as the proposed expenditures of the left-over planning funds. SAS

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]
Sent: Thursday, March 20, 2008 2:56 PM
To: 'Crosby, Thomas M.'; Schroeder, Steve; 'H. Peter Karoff'; Edson W. Spencer
Cc: Gordon M. Aamoth; 'Jean Sazevich'
Subject: Letter from Wippman 3708.pdf

Gentlemen,

We just received the attached letter from Dean Wippman from the University of Minnesota Law School. Gordy has asked that I forward a copy to each of you for your review. They are requesting an immediate grant of \$250,000 – stated in the letter on page two. Please respond via email (so that

Nancy Gilberg

From: Schroeder, Steve [schroeder@medicine.ucsf.edu]
Sent: Thursday, March 20, 2008 5:12 PM
To: ngilberg@robinafoundation.org; Crosby, Thomas M.; H. Peter Karoff; Edson W. Spencer
Cc: Gordon M. Aamoth; Jean Sazevich
Subject: RE: Letter from Wippman 3708.pdf

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Cc: Gordon M. Aamoth; 'Jean Sazevich'
Subject: Letter from Wippman 3708.pdf

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Thank you.

Nancy Gilberg
Robina Foundation

Nancy Gilberg

From: Nosde2@aol.com
Sent: Friday, March 21, 2008 10:26 AM
To: gaamoth@robinafoundation.org; tcrosby@faegre.com; Schroeder@medicine.UCSF.edu; pkaroff@TPI.org
Cc: jsazevich@robinafoundation.org; ngilberg@robinafoundation.org
Subject: University of Minnesota Request

I approve the grant request from the University of Minnesota, but I would say that we are disappointed that there is no reference to human rights in the request and that is a growing part of global legal practise and they already have some strength in that field.

Ed Spencer

Create a Home Theater Like the Pros. [Watch the video on AOL Home.](#)

- In order to encourage regional theaters to produce the new plays commissioned by Yale, the School of Drama will hold a two-week play festival (beginning in year 4 of the project).
- Yale believes that it would be very helpful if it could offer financial assistance to regional theaters to help cover production costs. It feels it could design and implement a program that would do this effectively. (Note: the idea of a production fund was proposed by Robina).
- The project's commitment to the development of new musical theater is very unique and will involve the collaboration of the School of Music at Yale. Additional faculty with strong credentials in musical theater will be hired.
- Yale clarified that the total budget for the project is roughly \$5.7 million over three years, beginning in FY 2009. Additional funds have been secured to cover the costs not included in the proposal to Robina.
- Yale clarified that the wasting endowment funds included in the project budget is to provide an internal stream of funds to subsidize the costs of the program in future years.

In the discussion period, President Levin commented that he would also be supportive of an additional grant to the Yale Law School in support of a human rights initiative.

The board thanked the representatives from Yale for taking the time to meet and for the information they shared. Rocco Landesman was also thanked for attending the meeting and sharing his insight.

Board Meeting (continued) - January 29

Grants Committee (continued)

Yale University – Drama School

The board discussed the proposal from Yale and the information presented about the request. There was general agreement that the proposal was worthy of support and will likely be funded. However, prior to making a funding decision the board would like Yale to provide additional information. Specifically, Yale should submit a revised budget that 1) converts the wasting endowment portion of the request to annual expenditures over the three year start-up time frame of the project; and 2) includes costs of the proposed new "Production Fund" of roughly \$600,000. Additional narrative describing how the Production Fund will be structured and administered should also be submitted. Once these materials are received, the board will complete its review of the proposal and make a final recommendation on the request.

Yale University – School of Law

The board discussed a letter received from Yale Law School's Dean Harold Koh in which he inquires about the possibility of Robina supporting a variety of projects and activities in the area of human rights. It was determined that Dean Koh should be invited to submit a request specifically targeted for support of fellowships and that the request should not exceed \$1 million per year for an initial three year period.

*attached
approval*

file copy

all Bd members approved the Yale grant.

Nancy Gilberg

From: Crosby, Thomas M. [TCrosby@faegre.com]
Sent: Tuesday, April 01, 2008 12:09 PM
To: ngilberg@robinafoundation.org; Schroeder, Steve; Edson W. Spencer; H. Peter Karoff
Cc: Gordon Aamoth; Jean Sazevich
Subject: RE: Letter from Dean Bundy 32508.pdf

I approve

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]
Sent: Monday, March 31, 2008 5:02 PM
To: 'Schroeder, Steve'; Edson W. Spencer; Crosby, Thomas M.; 'H. Peter Karoff'
Cc: 'Gordon Aamoth'; 'Jean Sazevich'
Subject: Letter from Dean Bundy 32508.pdf

Gentlemen:

Attached is a letter that Gordy received from Dean James Bundy of the Yale School of Drama/Theatre providing "the revisions and descriptions you (Robina) have requested." Gordy sees no problem with accepting their grant request and so would appreciate each of you emailing (for a written record) your approval of or declining their request.

Thank you.

Nancy Gilberg
Robina Foundation

Nancy Gilberg

From: H. Peter Karoff [pkaroff@TPI.ORG]
Sent: Tuesday, April 01, 2008 12:01 PM
To: ngilberg@robinafoundation.org; schroeder@medicine.ucsf.edu; nosde2@aol.com; Crosby, Thomas M.
Cc: Gordon Aamoth; Jean Sazevich
Subject: RE: Letter from Dean Bundy 32508.pdf

Approval is my vote - I have a sense that Jim Binger would have liked this one without reservation.

Peter

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]
Sent: Monday, March 31, 2008 3:02 PM
To: schroeder@medicine.ucsf.edu; nosde2@aol.com; 'Crosby, Thomas M.'; H. Peter Karoff
Cc: 'Gordon Aamoth'; 'Jean Sazevich'
Subject: Letter from Dean Bundy 32508.pdf

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Thank you.

Nancy Gilberg
Robina Foundation

Subj: Letter from Dean Bundy 32508.pdf
Date: 3/31/2008 5:04:22 PM Central Daylight Time
From: ngilberg@robinafoundation.org
To: schroeder@medicine.ucsf.edu, nosde2@aol.com, TCrosby@faegre.com, pkaroff@TPI.ORG
CC: gaamoth@robinafoundation.org, jsazevich@robinafoundation.org

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Thank you.

Nancy Gilberg
Robina Foundation

Nancy
I agree to making this grant.
W.S.

Tuesday, April 01, 2008 America Online: Nosde2

Nancy Gilberg

From: Schroeder, Steve [schroeder@medicine.ucsf.edu]
Sent: Monday, March 31, 2008 5:11 PM
To: ngilberg@robinafoundation.org; Edson W. Spencer; Crosby, Thomas M.; H. Peter Karoff
Cc: Gordon Aamoth; Jean Sazevich
Subject: RE: Letter from Dean Bundy 32508.pdf

Verily and forsooth, the undersigned doth approve this missive. SAS

From: Nancy Gilberg [mailto:ngilberg@robinafoundation.org]
Sent: Monday, March 31, 2008 3:02 PM
To: Schroeder, Steve; Edson W. Spencer; 'Crosby, Thomas M.'; 'H. Peter Karoff'
Cc: 'Gordon Aamoth'; 'Jean Sazevich'
Subject: Letter from Dean Bundy 32508.pdf

Gentlemen:

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Thank you.

Nancy Gilberg
Robina Foundation



MINNESOTA COUNCIL
ON FOUNDATIONS

100 Portland Avenue South, Suite 225
Minneapolis, Minnesota 55401-2575

t 612.338.1989
f 612.337.5089

info@mcf.org
www.mcf.org

a community of grantmakers

July 17, 2009

Gordon M. Aamoth
Robina Foundation
80 South 8th Street, #4900
Minneapolis, MN 55402

Dear Gordon:

I am writing today to thank you and the Robina Foundation for your continued support of the Minnesota Council on Foundations. We recently received your general support grant in the amount of \$500.00. Your ongoing support enables the Council to continue its mission of strengthening and increasing philanthropy in Minnesota.

On behalf of the entire Council Board and staff, we thank you. If we can be of any assistance in the future, please don't hesitate to contact me.

Sincerely,

Chuck Peterson
Vice President of Member Relations & Operations

Thanks again Gordon -



JUSTICE AND SOCIETY
PROGRAM

Alice H. Henkin
Director

Michael Doyle
Program Coordinator

Robert B. McKay
*Senior Fellow
(1919-1990)*

Advisory Committee:

John Adams
Berl Bernhard (Chair)
Professor Drew S. Days
Justice Richard Goldstone
Robert D. Joffe
Dean Harold Hongju Koh
Hon. George J. Mitchell
Justice Sandra Day O'Connor
Hon. Mary Robinson
Hon. William S. Sessions
Stephen D. Susman
Hon. William H. Webster

June 2, 2009

Gordon M. Aamoth, MD
President
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Dr. Aamoth,

My colleagues and I are most grateful to the Robina Foundation for the award of a one-time grant of \$130,575. The funds will enable us to sponsor a judicial seminar on the application of international human rights and humanitarian laws. At the conclusion of the seminar we will send a report to the Foundation on the goals, outcomes, and budget of our work.

Again, with many thanks to you and your board.

Sincerely,

Alice H. Henkin

1585 Broadway

16th Floor

New York, NY 10036

PH 212.765.1927

FX 212.977.5515

justice@aspeninstitute.org

www.aspeninstitute.org/j&s

Human Rights Report from Barb Frey and Garth Meintjes are in the back of the Board Book.

1st and 2nd Quarter Financial Statements prepared by CBIZ are in back of Board Book.

To: Robina Foundation
From: Anne Ledwein
Date: August 10, 2009
Re: 2008 Tax Return

We have completed the 2008 Form 990-PF Return of Private Foundation for Robina Foundation. The following is a brief discussion on the excise tax, estimated tax payments for 2009, and the distributions required.

EXCISE TAX

The tax return shows in excise tax in the amount of \$12,242. This amount is based on 1% of the 2008 net investment income.

Foundations must pay an excise tax on its net investment income. The rate of the excise tax is generally 2%; however, a foundation may qualify for the reduced 1% rate. The tax rate is determined each year based on the qualifying distributions during the current year and prior years. It is also based on the net value of noncharitable-use assets.

Noncharitable-use assets are determined by taking the average fair market value of assets (on a monthly basis) and reducing them by 1-½%.

Qualifying distributions are distributions to qualified charities and related administration expenses. If the foundation qualified for the 1% excise tax for a given year, the qualifying distributions are reduced by the 1% tax paid for that year.

In order for a foundation to qualify for the 1% tax rate, the foundation must distribute more - (as a percentage of their noncharitable-use assets) - in the current year than they have in the last 5 years.

If a foundation has been in existence for less than 5 years, the average is based on all of the years that the foundation has been in existence.

Because the requirement is to distribute a higher percentage of the noncharitable-use assets each year, it may be difficult for a foundation to continue to meet the 1% rate. This is because the foundation must continue to distribute a greater proportion of foundation assets - which may be contrary to the overall mission of the foundation and may deplete foundation assets.

It may be advantageous for a foundation to qualify for the 1% rate in those years that net investment income is higher (years in which large capital gains are recognized) and not qualify for years in which net investment income is low.

It can be difficult to plan for the reduced excise tax rate because the criteria include the calculation of average fair market value of assets. The average fair market value of assets is determined by looking at the monthly values of all assets. This includes the values for the last month of the year (December for calendar year foundations). The distributions must be made by year end; however the year end values may not be known until after the distributions are made. Generally an estimate of the year end values can be made; however during these very volatile times, it may be difficult to estimate those numbers.

During 2008, the Robina Foundation contributed sums of money to various organizations totaling \$6,678,535 and paid administration expenses of \$428,251. Total qualifying distributions amounted to \$7,106,786.

The average fair market value of assets during 2008 was \$32,518,386. The Net value of noncharitable-use assets (98.5% of the total) amounted to \$32,030,610. The \$7,106,786 of distributions represented about 22% of the foundation's noncharitable-use assets for 2008.

For the years 2004-2007 the foundation distributed, on average, only 8.7% of the noncharitable-use assets each year. The foundation easily qualified for the 1% rate in 2008.

The average distribution ratio for the years 2004-2008 is 11.4%. This means that the foundation must distribute (to charitable organizations and as administration expenses) more than 11.4% of the noncharitable-use assets during 2009 in order to qualify for the reduced 1% excise tax rate for 2009.

Assuming that the foundation will have a \$30,000,000 monthly average of assets (\$29,500,000 of noncharitable-use assets), the foundation will need to distribute approximately \$3,400,000 in order to qualify for the 1% rate. Distributions and administration expenses paid through June 30, 2009 total \$1,326,173. Additional distributions and administration expenses of about \$2,100,000 will need to be paid before December 31, 2009 in order to qualify for the 1% rate. >

Attached is an excel spreadsheet showing the calculations for both 2008 and 2009.

ESTIMATED TAX PAYMENTS

Foundations having excise tax in excess of \$1,000.00 are required to make estimated tax payments.

Estimated tax payments are due in May, June, September and December

Generally a foundation can make estimated tax payments equal to 100% of the prior year tax liability and avoid any penalties; however, foundations that have net investment income over \$1,000,000 must follow the annualized income method of calculating the amount of estimated tax payments for the 2nd - 4th quarters. The 1st quarter estimated tax payment can be based on the prior year tax liability.

The annualized method requires the foundation to calculate net investment income through March, June and September. The amounts are then annualized in order to determine the total projected excise tax.

The following 2009 estimates have been paid to date:

1 st quarter payment (2008 overpayment applied to 2009)	\$6,558
2 nd quarter payment (estimate paid June 15, 2009)	\$2,000

Based on the income through June 30, 2009, A 3rd quarter estimated tax payment in the amount of \$5,000 should be paid. This is assuming a 2% tax rate since the amount of distributions through June 30, 2009 are not sufficient to qualify for the 1% rate.

Once we have the income and distributions through September 30, 2009, we will determine the amount, if any of the 4th quarter estimated tax payment.

REQUIRED DISTRIBUTIONS

Private Foundations are required to annually distribute approximately 5% of the average fair market value of the assets held by the Foundation.

If a Foundation distributes more than the required amount, the excess distributions are carried over and used to offset distributions required for the next five years. If a Foundation fails to distribute the required amount by the end of the tax year, they have until the end of the next year to make the required distributions.

As already discussed, the Foundation distributed \$7,106,786 for charitable purposes during 2008.

The Foundation was required to distribute \$1,589,289. The excess distribution of \$5,517,497 will be carried over to 2009. The total excess amount of distributions from 2004 - 2007 is \$8,889,041. ➤

Based on the fair market value of assets held at December 31, 2008, the Foundation will be required to distribute approximately \$1,475,000 2009. The excess distributions can be used to offset the 2009 required distribution requirement; however, by relying on the excess distributions to satisfy the distribution requirement, the foundation will not meet the criteria for qualifying for the reduced excise tax rate (as discussed above).

To the extent that this communication and any attachments contain any federal tax advice, such advice is not intended or written to be used, and cannot be used, for the purpose of avoiding penalties that may be imposed under the Internal Revenue Code or promoting, marketing, or recommending to another person any transaction, arrangement or matter addressed herein.

Robina Foundation Excise Tax Rate Planning 2009

	Qualifying Distributions	Noncharitable-Use Assets	Distribution Ratio
2008	\$ 7,094,544.00	\$ 32,030,610.00	0.221492628458
2007	\$ 4,504,764.00	\$ 17,155,533.00	0.262583739019
2006	\$ 296,594.00	\$ 9,766,827.00	0.030367487824
2005	\$ 485,604.00	\$ 9,880,337.00	0.049148526007
2004	\$ 30,566.00	\$ 4,660,892.00	0.006557972165
Total			57.0150353471941%
Average Distribution Ratio			0.114030071
Noncharitable-use assets for 2009 (Estimate)			\$ 29,550,000.00
Distributions required to qualify for the 1% rate (average Distribution ratio X Noncharitable-use Assets)			\$ 3,369,588.59

✱

Robina Foundation Excise Tax Rate 2008

	Qualifying Distributions	Noncharitable-Use Assets	Distribution Ratio
2007	\$ 4,504,764.00	\$ 17,155,533.00	0.262583739019
2006	\$ 296,594.00	\$ 9,766,827.00	0.030367487824
2005	\$ 485,604.00	\$ 9,880,337.00	0.049148526007
2004	\$ 30,566.00	\$ 4,660,892.00	0.006557972165
Total			34.8657725014350%
Average Distribution Ratio			0.087164431
Noncharitable-use assets for 2008			\$ 32,030,610.00
Distributions required to qualify for the 1% rate (average Distribution ratio X Noncharitable-use Assets)			\$ 2,791,929.90
Actual Distributions			\$ 7,106,786.00

Current Residuary Assets on Hand (as of June 30, 2009)

Cash and Short Term

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 13,054,438.81
James H. Binger Revocable Trust - Income Account [REDACTED]	7,170,195.45
Estate of James H. Binger [REDACTED]	13,725,223.40
Estate of James H. Binger - Income Account [REDACTED]	445,188.88
Total Cash and Short Term:	\$ 34,395,046.54

Tartan I LP (as of 12/31/08)

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	21,149,831.29	43.4%	9,179,026.78	
Tartan I LP - ScotchGard	15,539,955.99	33.3%	5,174,805.34	
Tartan I LP - Post It	23,763,980.52	19.8%	4,705,268.14	
Total:	60,453,767.80		19,059,100.27	\$ 19,059,100.27 (Liquidation Value)

Other Assets:

James H. Binger Revocable Trust [REDACTED]		
Tomsten Inc.	125,001.00	
301 Clifton	420,000.00	
MN Community Dev. Bond	100,000.00	
Jason McLean Prom. Note	50,000.00	
Venture Capital	9,129,204.00	
Eridon	60,000	
Loring Pasta Bar	66,576	
Myfitlife Inc.	275,000	
Project Apple	-	
Raymedica Inc.	535	
Total:	10,226,316.00	\$ 10,226,316.00
Estate of James H. Binger [REDACTED]		
Note (\$1MM face due 12/31/2010)	1,000,000.00	
Total:	1,000,000.00	

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA:

\$ 63,680,462.81

Note: Interim distribution of \$27MM was made 10/4/07

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

Audit Report by Wilkerson Associates is in the back of the Board Book.

ROBINA FOUNDATION GRANTS AND GRANT REQUESTS

August 2009

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid/Date	MONITORING AND EVALUATION	SCHEDULED PAYMENTS/REPORTS
Abbott Northwestern		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 paid 2005 \$50,000 paid 2006		Paid in Full
Abbott Northwestern	11/14/07 \$5,244,500/3 years	Project: Transforming Health Care Delivery	Declined Request being revised. New request to be submitted 7/08			
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 paid 9/08	Rec'd 1 st Yearend Report - 7/31/09	2009 - \$2,373,233 2010 - \$2,373,232 - Note that 2009 and 2010 grants are contingent on continuation of project beyond initial pilot phase - Financial and narrative report due annually - Robina has asked for revised program budgets annually
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 paid 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 paid 8/08		Paid in Full
Council on Foreign Relations		Planning Grant 2006	Approved \$50,000 - 2006	\$50,000 paid 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	\$2 million paid 2/08	Rec'd 1 st Yearend Report - 7/31/09	2009 - \$2 million (after receipt and approval of first year report – due 7/09) 2010 - \$2 million 3 year final report due 2011, prior to consideration of additional 2 year grant
U of MN Law School		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 paid 2005 \$50,000 paid 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 paid 4/08		July 2008 - Brief financial and narrative report due Report was received and reviewed by board 5/08 Paid in Full
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	\$1.4 million paid 12/08	Rec'd 1 st Yearend Report - 7/31/09	2009 - \$1,436,750 2010 - \$1,480,338 2011 - \$850,854 2012 - \$893,397 Financial and narrative report due annually

Yale University		Planning Grant	Approved \$50,000 - 2006	\$50,000 paid 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	\$750,000 paid 4/08	Rec'd 1 st Yearend Report - 7/31/09	2009 - \$750,000 (after receipt and approval of first year report – due 7/09) 2010 - \$1.35 million - Financial and narrative report due annually - Yale states that first year of grant will be completed on 6/30/09 (Yale's fiscal year end).
Yale University – Law School	5/14/08 \$3M/3 years	Robina Human Rights Fellowship Initiative	Approved \$3 million/3 years	\$1 million paid 6/08 \$1 million paid 5/09	Rec'd 1 st Yearend Report - 6/08/09	June 2009 - \$1 M – Paid 5/09 (requested an early payment) June 2010 - \$1 M Financial and narrative report due annually
TOTALS			\$24,391,399 grants approved includes planning grants of \$350K	\$8,159,110 paid through 6/09		\$7,559,983 – 2009 committed \$8,203,570 – 2010 committed \$850,854 – 2011 committed \$893,397 – 2012 committed \$17,507,804 total committed for future payment

Twin Cities Campus

Office of the Dean
The Law School
Walter F. Mondale Hall

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Fax: 612-625-2019

May 28, 2009

Dr. Gordon Aamoth
President, Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Dr. Aamoth:

Thanks very much for your email of May 16. I very much appreciate the Foundation's flexibility concerning allocation of grant funds.

We will reallocate \$125,000 from summer internships to post-J.D. fellowships. As mentioned in my previous letter, that will address a serious need among our graduating class and simultaneously allow us to provide much needed legal services to the community.

I also wanted to let you know that yesterday we successfully recruited Jennifer Green (currently with the Center for Constitutional Rights) to create the human rights clinic envisioned in our original LaPPS proposal. I am attaching a copy of Jennie's curriculum vitae. She is clearly one of the country's leading human rights litigators, and has significant clinical teaching experience with CUNY's International Women's Human Rights Clinic. We will expend approximately \$145,000 on first year salary and benefits and plan to use the funds associated with the Robina clinical chair for that purpose.

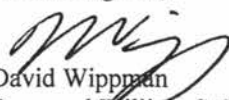
We also plan to use some of the first year Robina funds to support several retention efforts and one recruitment effort that fall into the law, public policy, and society framework of our proposal to the Foundation. Two of the retentions involve faculty who teach public international law and human rights. To retain them involves a new commitment of \$92,000, which provides for increased salary, travel support, and funding for a Transitional Justice program. The recruitment effort involves a leading empiricist whose work we hope will support that of many of our faculty working on law and public policy issues. The initial commitment for next year for his salary and benefits amounts to \$291,000.

Putting everything together, we will be spending the first tranche of Robina funding as follows:

Robina Research/Clinical Chairs:	\$736,000
LaPPS Research Fund	\$397,000
Public Policy Internships	\$70,000
LaPPS Conferences	\$79,000
LaPPS faculty retentions	\$92,000
Post-J.D. fellowships	\$125,000 (reallocated)
Total Spending Commitments	\$1,499,000

This will put us \$99,000 over the \$1.4 million provided by the Foundation this year; that is the amount we will treat as a reallocation from next year's funding. I'd be happy to provide further information on our efforts in this area if that would be helpful. As always, we are very grateful for the Foundation's support.

All best regards,


David Wippman
Dean and William S. Pattee Professor of Law

jj

JENNIFER M. GREEN

Center for Constitutional Rights
666 Broadway, 7th floor
New York, NY 10012
(212) 614-6431

273 East Seventh Street #1A
New York, NY 10009
tel: (917) 697-8233
email: jennie.green@mail.law.cuny.edu

EDUCATION

HARVARD LAW SCHOOL, J.D., June 1991.

Awards: Yale Law School Orville Schell Center for International Human Rights Fellowship, Mark DeWolfe Howe Fellowship.

Journal: Editor, *Harvard Human Rights Journal*.

UNIVERSITY OF WISCONSIN-MADISON, B.A. in Political Science, International Relations, and Women's Studies with honors, May 1984. *Awards:* Elected to Phi Kappa Phi, Mortar Board, Sigma Delta Pi, Phi Eta Sigma honor societies for leadership, public service and academic achievement, and to the Dean's list for five semesters.

POST LAW-SCHOOL EMPLOYMENT

**INTERNATIONAL WOMEN'S HUMAN RIGHTS LAW CLINIC,
CITY UNIVERSITY OF NEW YORK SCHOOL OF LAW**

January - May 2008
August 2008 - present

Adjunct Professor and Staff Attorney. Taught clinical seminar on international law, international human rights enforcement, human rights litigation and advocacy before U.S. courts and international bodies, and supervised clinical projects on advocacy before United Nations treaty bodies and the Inter-American Commission on Human Rights; assisted with U.S. cases under the Alien Tort Statute and related statutes.

CENTER FOR CONSTITUTIONAL RIGHTS

New York, NY

September 1991 - present

Senior Attorney (2003-present); Staff Attorney (July 1995 - 2003), Cooperating Attorney (September 1992 - June 1995), International Human Rights Fellow (September 1991 - August 1992). Responsible for international law docket: litigate international human rights claims before the United States courts and intergovernmental bodies; make public presentations, write and edit CCR publications, and do media work and fundraising.

**CLINICAL PROJECT SUPERVISOR, HUMAN RIGHTS PROGRAM,
HARVARD LAW SCHOOL**

Cambridge, MA

September - December 2006

Supervised team of three students on research and draft of *amicus curiae* brief for appeal to the U.S. Court of Appeals for the Second Circuit in *Kiobel v. Royal Dutch*. Subjects were the justiciability of the norms prohibiting freedom of association and the right to life, forced exile, and arbitrary arrest and detention.

HUMAN RIGHTS PROGRAM, HARVARD LAW SCHOOL

Cambridge, MA

August 1992 - June 1995

Administrative Director. Directed student clinical and research projects on human rights advocacy; supervised students. Directed summer internship program (develop placements, work with nongovernmental organizations and intergovernmental organizations, counsel students). Assisted visiting fellows from human rights organizations throughout the world with their research, coursework and writing. Adviser to *Harvard Human Rights Journal*. Wrote and edited Human Rights Program publications. Regular presentations on Human Rights Program and various human rights topics.

OTHER WORK AND VOLUNTEER EXPERIENCE**BOSTON AREA RAPE CRISIS CENTER**

Cambridge, MA

October 1994-June 1995

Volunteer counselor. Provided counseling assistance to survivor on ongoing basis and with court proceedings, and worked on telephone hotline. Completed BARCC training.

HARVARD PRISON LEGAL ASSISTANCE PROJECT

Cambridge, MA

September 1988 - June 1991

Represented Massachusetts prisoners at disciplinary and parole hearings, wrote appeals briefs, and provided legal research assistance and advocacy for improved treatment of prisoners.

REFUGEE AND IMMIGRATION CLINIC, CAMBRIDGE & SOMERVILLE LEGAL SERVICES

Cambridge, MA

September 1990 - January 1991:

Drafted political asylum briefs, filed affirmative political asylum claims, and wrote legal research memoranda.

MEDIATION PROJECT, HARVARD LAW SCHOOL

Cambridge, MA

September 1990 - January 1991

Mediated disputes in small claims court in Roxbury, MA.

INTERNATIONAL COMMISSION OF JURISTS

Geneva, Switzerland

Summer 1990

Co-drafted publication on the harassment and persecution of judges and lawyers. Monitored United Nations Sub-Commission on the Prevention of Discrimination and the Protection of Minorities and the Working Group on Contemporary Forms of Slavery. Wrote urgent action appeals on behalf of judges and lawyers who were victims of human rights abuses.

FREE LEGAL ASSISTANCE GROUP

Manila, Philippines

Summer 1989

Researched and wrote legal briefs and memoranda for political prisoners, indigenous people, and farmers organization. Served as legal advisor on human rights fact-finding missions and wrote reports of missions.

CHURCH COALITION FOR HUMAN RIGHTS IN THE PHILIPPINES

Washington, D.C.

November 1987 - August 1988

Coordinated legislative and media strategies for Philippine human rights issues. Focused on United States foreign aid legislation. Organized speaking tours and other events to raise public awareness about human rights abuses in the Philippines.

UNITED STATES CATHOLIC CONFERENCE and the CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE

Washington, D.C.

November 1987 - January 1988

Researched and edited reports on United States refugee asylum policy and legalization program for undocumented non-citizens.

UNITED STATES CATHOLIC CONFERENCE MIGRATION AND REFUGEE SERVICES

Washington, D.C.

October 1985 - January 1987

Wrote advocacy papers for local offices to change United States refugee and immigration policy. Organized public education campaigns on refugee and immigration issues. Drafted presentations and wrote articles for monthly newsletter.

INTERGOVERNMENTAL COMMITTEE FOR MIGRATION

Manila, Philippines

January - August 1987

Promoted economic development program with nongovernmental organizations and government officials. Wrote analyses of international refugee and migration issues. Assisted refugees in their movement to the United States for resettlement.

UNITED STATES REPRESENTATIVE HOWARD WOLPE

Washington, D.C.

Summer 1985

Conducted legislative research on foreign and domestic policy issues. Drafted legislative correspondence and assisted constituents with problems.

AMNESTY INTERNATIONAL USA

Washington, D.C.

September 1984 - June 1985

Drafted supporting documents for political asylum applicants to the United States. Lobbied Congress, the Executive branch and foreign embassies on human rights issues.

MAJOR LITIGATION AND OTHER HUMAN RIGHTS ADVOCACY (Selected)

Wiwa, et al v. Royal Dutch Petroleum, Civ. No. 96-8386 (KBW) (S.D.N.Y., filed November 8, 1996); Wiwa et al v. Anderson, Civ. No. 01-1909 (filed March 7, 2001); Wiwa v. Shell Petroleum Development Company (filed 2004): Counsel for Nigerian activists executed in Nigeria in November 1995, as well as activists shot while peacefully protesting Shell bulldozing of her land. On September 14, 2000, Second Circuit decided that it had personal jurisdiction over Royal Dutch and reversed dismissal of claims on forum non conveniens grounds. In 2001, plaintiffs served a complaint on Brian Anderson, the former head of the Nigerian subsidiary Shell Petroleum Development Company (SPDC), for his role in the human rights violations against plaintiffs. Defended client depositions. In 2003 amended in additional plaintiffs. Case against parent corporation and Brian Anderson set for trial to begin February 9, 2009. In 2004, plaintiffs filed a complaint against SPDC after learning, through discovery, of business activities in the United States. Briefed opposition to SPDC motion to dismiss and appeal to U.S. Court of Appeals for the Second Circuit. Argument expected in the Spring of 2009. Also worked on *amicus curiae* briefs in appeal in related case, *Kiobel v. Royal Dutch*, scheduled for argument on January 12, 2009.

Advocacy with Nicaraguan women's groups to the United Nations Human Rights Committee and Committee on Economic, Social and Cultural Rights. Supervisor of International Women's Human Rights Clinic project, Spring 2008, Fall 2008; traveled to Nicaragua with IWHR student to meet with partners in Nicaragua, worked with students to develop successful advocacy strategies in UN committees; currently working on other strategies for advocacy. (UN work featured in New York Law Journal, December 12, 2008)

Doe v. Constant, (S.D.N.Y. Judgment October 2006; appeal before Second Circuit pending). Counsel for three Haitian women suing Emmanuel "Toto" Constant, the leader of the paramilitary organization known as FRAPH, for attempted summary execution, rape and other torture and crimes against humanity. In October 2006, the court issued an award of \$19 million in compensatory and punitive damages; Defendant's motion to set aside the verdict was denied, which he appealed to the U.S. Court of Appeals for the Second Circuit (argument expected Spring 2009). Also led successful advocacy campaign on criminal prosecution by state of New York for mortgage fraud which led New York criminal court judge to set aside plea bargain agreement over the opposition of the U.S. Department of Homeland Security; defendant convicted on all counts at trial.

Filartiga v. Pena-Irala, Civ. No. 04-444 (E.D.N.Y. filed Feb. 2004): Counsel for plaintiffs in an action to enforce the judgment in this landmark human rights case. After working through the Paraguayan and U.S. courts, on July 14, 2006, the court entered an order extending the judgment.

Doe v. Unocal, 963 F. Supp. 880 (C.D. Cal. 1997); case successfully settled 2005: Counsel in lawsuit against energy companies Unocal Corporation, Total, S.A., and two Unocal corporate officers for human rights violations committed in connection with a natural gas pipeline project through Burma; plaintiffs' charges include crimes against humanity, slave labor, rape and other torture. Defeated Unocal defendants' motion to dismiss for lack of subject matter jurisdiction; briefed multiple district court and appellate briefs; took and defended depositions.

Doe, et al., v. Karadzic, 866 F. Supp. 734 (S.D.N.Y. 1994); rev. sub nom Kadic v. Karadzic, 70 F.3d 232 (2d Cir. 1995); cert. denied, 116 S.Ct. 2524 (1996): Counsel in lawsuit against Bosnian Serb leader; plaintiffs charged him with command responsibility for war crimes, genocide, crimes against humanity -- including violence against women -- in Bosnia-Herzegovina. Defeated motion to dismiss for lack of subject matter and personal jurisdiction; won motions on discovery; in September 2000, jury awarded 39 plaintiffs \$4.5 billion in compensatory and punitive damages.

Country Conditions Communications Respecting the Violations of Human Rights of Haitian Women (1994-2000): Advocacy with the International Women's Human Rights Law Clinic and a coalition of Haitian and Haitian-American organizations before Inter-American Commission on Human Rights for effective prosecution of violations of women's human rights in Haiti, particularly widespread rape during the Cedras regime.

Linder v. Calero, 963 F.2d 332 (11th Cir. 1992); Linder v. Department of Defense, et al., 133 F.3d 17 (D.C. Cir. 1998): Counsel in wrongful death suit against leaders of the Nicaraguan contras on behalf of family of U.S. citizen killed by their forces. Lower court dismissed case; appellate court reversed dismissal in an important ruling on the discovery of government documents.

Farhat v. Kuwait (1991-1999): Counsel for woman rape survivor and family who brought claim against Kuwaiti government for role in assault and attempted murder against her and murders of her father and brother. Filed United Nations action and assisted family in criminal case and civil court judgment in Kuwait..

Abu-Zeinah, et al., v. Federal Laboratories, et al., 91-2148 (W.D.Pa. filed Dec. 19, 1991); Gurab v. Federal Laboratories No 92-2958 (Philadelphia County Court of Common Pleas): Counsel in federal and state cases brought under Pennsylvania wrongful death law against U.S. tear gas manufacturer; plaintiffs are Palestinian families who each lost a family member killed by the tear gas. Federal case dismissed; plaintiffs defeated two motions to dismiss in state court; successful settlement completed.

Doe v. Islamic Salvation Front (FIS) and Anwar Haddam, 96CV0292 (D.C.D.C. Feb. 3, 1998): Co-counsel in lawsuit against fundamentalist movement in Algeria engaged in campaign of human rights abuses with the objective of using religion to seize power. Defeated motion to dismiss for lack of personal and subject matter jurisdiction.

Abebe-Jiri, et al., v. Negewo, 90-2010, slip op. (N.D. Ga. Aug. 20, 1993), **affirmed on appeal**, 72 F.3d 844 (11th Cir. 1996), **cert. den.** 117 S. Ct. 96 (1996): Counsel for three Ethiopian women tortured by regional police official in Ethiopia. After trial, won \$1.5 million judgment. Upheld on appeal.

Todd v. Panjaitan, No. 92-12255 1994 WL 827111 (D. Mass., Oct. 26, 1994): Counsel. Assisted with research and drafting of complaint for mother of a young man killed in a massacre in East Timor: suit was against one of the Indonesian generals responsible. Court awarded default judgment of \$14 million.

Trajano v. Marcos (In re Estate of Ferdinand E. Marcos Human Rights Litigation), 978 F.2d 493 (9th Cir. 1992), **cert. denied**, 113 S. Ct. 2960 (1993) (Estate I): Researched and drafted *amicus curiae* brief in lawsuit for human rights abuses against daughter of former Philippine dictator.

Xuncax v. Gramajo, 886 F. Supp. 162 (D. Mass. 1995): Researched and drafted motions for default judgment in lawsuits against Guatemalan general responsible for massive human rights abuses. Plaintiffs' motions for default judgments granted in both cases for a total of \$47 million.

Filipina "Comfort Women" v. Japan, United Nations action, filed Oct. 26, 1993: Researched and drafted 1503 petition on behalf of Filipina survivors of the Japanese military's sexual enslavement of women during World War II.

McNary, et al., v. Haitian Centers Council, Inc., et al., U.S. Supreme Court, October term 1992: Drafted and edited *amicus curiae* brief for U.S. Supreme Court case challenging U.S. policy interdicting Haitian refugees at sea and returning them to Haiti without hearing asylum claims. Brief prepared for the Association of the Bar of the City of New York.

Khader v. U.S., United Nations actions: Advocate for man whose wife and four daughters were killed in a civilian bomb shelter in Baghdad during the 1991 Gulf War. Researched and drafted 1503 Petition, accompanied Professor Khader to 1992 United Nations Commission on Human Rights, assisted with claim to the United Nations Compensation Commission.

PUBLICATIONS

INTERNATIONAL LITIGATION IN UNITED STATES COURTS (2d Ed.) (with Beth Stephens, Judith Chomsky, Paul Hoffman, and Michael Ratner) (2008)

Litigating International Human Rights Claims of Sexual Violence in the United States Courts: A Brief Overview of Cases Brought Under the Alien Tort Statute and Torture Victim Protection Act, in VIOLENCE AND GENDER IN THE GLOBALIZED WORLD (2008)

Essay, Holding Human Rights Violators Accountable by Using International Law in U.S. Courts: Advocacy Efforts and Complementary Strategies, 19 EMORY INT'L L. REV. 169 (2005) (with Sandra Coliver and Paul Hoffman)

Against the War in Iraq (with Michael Ratner) (2002)

Litigation Update (with Paul Hoffman), ACLU INT'L CIVIL LIBERTIES REP. (annual: 1998-2003)

Suing for Genocide in the United States: The Case of Jane Doe v. Radovan Karadzic, in WAR CRIMES: THE LEGACY OF NUREMBERG (Belinda Cooper ed., 1998)

Seeking Recourse for Human Rights Violations in Domestic Courts, 10 INTERRIGHTS BULL. 108 (1996)

United States: Civil Suits Move Forward, TRIBUNAL (with Beth Stephens). London: Institute of War and Peace Reporting (January/February 1996)

Not just victims, BALKAN WAR REPORT (with Rhonda Copelon and Felice Gaer). London: Institute of War and Peace Reporting (September 1995)

A Call to Action: Governmental Failure to Investigate and Prosecute Rape: A Violation of Women's Human Rights. A Draft Position Paper Highlighting the Case of Naimat Farhat in the Kuwaiti Courts (editor). New York: Center for Constitutional Rights in collaboration with the Lowenstein International Human Rights Clinic (Revised, August 1995)

Affecting the Rules for the Prosecution of Rape and Other Gender-Based Violence Before the International Criminal Tribunal for the Former Yugoslavia: a Feminist Proposal and Critique (with Rhonda Copelon, et al.), HASTINGS WOMEN'S LAW JOURNAL (Spring 1995) (earlier version published in Virginia Morris and Michael Scharf, AN INSIDER'S GUIDE TO THE TRIBUNAL (1995)

GUIDE TO HUMAN RIGHTS RESEARCH (with Jack Tobin). Cambridge, MA: Harvard Human Rights Program, 1994

An Activist's Guide: Bringing International Human Rights Claims in the United States (with Beth Stephens). New York: Center for Constitutional Rights, 1992

THE HARASSMENT AND PERSECUTION OF JUDGES AND LAWYERS (assistant editor to Reed Brody). Geneva: International Commission of Jurists, 1990

Note, The Philippines: United States Policy and Allegations of Human Rights Abuses under Aquino, 2 HARVARD HUMAN RIGHTS JOURNAL 187-196 (1989)

BAR STATUS

Admitted in May 1992 to New York State Bar, Southern District of New York, Eastern District of New York; also admitted in to District of Columbia Circuit; Second Circuit, Fourth Circuit, Fifth Circuit and U.S. Supreme Court.

MEMBERSHIPS

Legal Adviser, Center for Justice and Accountability (San Francisco, CA); Legal Adviser, International Committee of Experts, International League for Human Rights (New York, NY), (Coordination of Women's Advocacy Groups for Liaison with the International War Crimes Tribunals (Geneva, Switzerland) (1992-1996); Counsel and member, NGO Coalition for Women's Human Rights in Conflict Situations (Kigali, Rwanda and Montreal, Canada) (1998-2000); American Bar Association (Task Force on Future War Crimes Tribunals) (1995); Member, Amnesty International (1978-present); National Lawyers Guild (1988-present).

PRESENTATIONS (Selected)

- University of Wisconsin - Milwaukee, Prosecuting International Human Rights Abuses
December 2, 2008
- Cornell University School of Law, Labor Rights and International Human Rights Violations
Webinar, October 2008
- Harvard Law School Public Interest Reunion Plenary speaker
Cambridge, MA Spring 2008
- Northwestern University School of Law Alien Tort Statute Continuing Education class
Chicago, IL, February 2008
- Harvard Law School, Litigation as a Human Rights Strategy: The Case of Doe v. Unocal
Cambridge, MA, November 5, 2007
- Fordham Law School, Business and Human Rights: The Alien Tort Statute
New York, NY October 2007
- World Conference on Japanese Military Sexual Slavery, Legal Symposium on Possible Strategies
Los Angeles, CA, October 6, 2007
- Columbia Law School, Business and Human Rights: Current Questions Under the Alien Tort Statute
New York, NY, March 2007
- Hastings Law School, ATS Continuing Legal Education Course (Organizer, Moderator and Lecturer)
San Francisco, CA, December 2006
- Columbia Law School, The Alien Tort Statute, Continuing Legal Education Course (Organizer, Lecturer),
New York, NY February 10, 2006
- Columbia Law School, Commemoration of the Tenth Anniversary of the Execution of the Ogoni Nine in Nigeria
New York, NY November 9, 2005
- Northeastern University Law School, International Human Rights and the War on Terror
Boston, MA October 2005
- Cardozo Law School, Guest Lecturer on Alien Tort Statute Practice
New York, NY 2004-2008
- Congressional Briefing, The Alien Tort Statute: The Implications of Sosa v. Alvarez-Machain
Washington, D.C. July 2004
- Columbia Law School Human Rights Institute, Lectures on Human Rights Litigation in U.S. Courts and
Security Issues for Clients, New York, NY, January 1999, January, 2000, October, 2000, and March 2001
- American Society of International Law, Five Years After Beijing: A Report Card on Women's Rights
Washington, D.C., April, 8, 2000
- Harvard Law School, Fifteenth Anniversary of Human Rights Program at Harvard Law School,
Cambridge, MA, September, 1999
- Yale Law School Orville Schell Center for International Human Rights, Human Rights and Democracy
in Burma, New Haven, CT, December 3, 1998
- American Branch of the International Law Association, International Law Weekend '98,
New York, NY, November 14, 1998 ("Stripped of Immunity: The Latest News on Sovereign,
Diplomatic, and Head of State Immunity")
- University of Toronto Faculty of Law, Linking the Domestic and the International: Human
Rights into the 21st Century, Toronto, Canada, October 3, 1998 ("Advocacy Across Borders: Transnational
Litigation and Human Rights")
- Northeastern University School of Law, Bringing International Human Rights Home, Boston, MA,
July 10, 1998
- InterRights (Senegal) and Foundation for Human Rights Initiative (Kampala, Uganda), Regional
Workshop on Constitutional and Public Interest Law in East Africa, Entebbe, Uganda, June 16-18, 1998
("Litigation-based strategies, expectations and outcomes")

- City University of New York School of Law, "Bringing It Home: Building International Human Rights Law, Advocacy and Culture, New York, NY, May 3, 1998 ("Indigenous Peoples, Development and International Human Rights Law")
- U.S. House of Representatives, Congressional Human Rights Caucus Briefing, Washington, D.C., March 25, 1998 ("War Crimes Unpunished: Rape Victims in Bosnia")
- American Bar Association Annual Meeting, Enforcement Mechanisms for International Human Rights, Orlando, FL, August 1996
- AfroNet Trust (London) and Civil Liberties Organisation (Lagos, Nigeria), International NGO Conference on Nigeria, London, England, April 10-12, 1996 (Facilitated final plenary, "The Way Forward: Forging a Sustainable International Coalition")
- Five College Program in Peace and World Security Studies, Identity Politics and Collective Violence: A Workshop on Conflict Analysis and Resolution, Amherst, MA, January 17, 1996 ("Inter-Communal Conflict and Violence Against Women: The Lessons of Bosnia")
- Gustav Stresemann Institut e.V., Women, Violence and War, Bonn, Germany, December 14-16, 1995
- Harvard Law School, Political Lawyering: Conversations on Progressive Social Change, Cambridge, MA, November 17-18, 1995 ("Linking International Law and Political Activism")
- Rutgers University School of Law, Bringing Beijing Home, Rutgers, NJ, November 16, 1995
- Fourth World Conference on Women, Participated in panels organized by the Center for Constitutional Rights ("Enforcing Women's International Human Rights in National Courts"), the Jacob Blaustein Institute for the Advancement of Human Rights, ("Women's Rights at the International Criminal Tribunal for the Former Yugoslavia") and the Women Refugees Project, ("Options for Redress for Human Rights Violations -- ATCA and TVPA Cases"), Beijing, China, September 1995
- Coordination of Women's Advocacy, Gender-Specific War Crimes and the International Criminal Tribunal for the Former Yugoslavia, Geneva, Switzerland, October 21-22, 1994
- Tufts University: War, Militarism and Violence against Women, Boston, MA, March 1, 1994
- World Conference on Human Rights, The Use of International Law in National Courts Vienna, Austria, June 1993
- Amnesty International: Global Refugee Crisis: Rethinking Policy and Methods of Empowerment, New York University School of Law, March 27, 1993 ("International Refugee Protection: Bringing Human Rights Violators to Justice")
- National Lawyers Guild Annual Meeting, Continuing Legal Education (CLE) Unit on Alien Tort Claims Act Litigation, New York, NY, 1992

REFERENCES

Rhonda Copelon, Director, International Women's Human Rights Law Clinic and Professor of Law
City University of New York School of Law, 718-340-4329

Tiffany McKinney Gardner, Legal and Katrina Program Director, National Economic and Social Rights Initiative
New York, NY, 212-253-1771
(former intern at the Center for Constitutional Rights)

Tyler Giannini, Clinical Director, Human Rights Program, Harvard Law School
Cambridge, MA, 617-496-7368

Paul Hoffman, Schonbrun, De Simone, Seplow, Harris & Hoffman,
Venice, CA, 310-396-0731

Professor Beth Stephens, Esq., Cooperating Attorney, Center for Constitutional Rights
Professor of Law, Rutgers School of Law, Camden, NJ, 856-225-6384

Additional references available upon request.

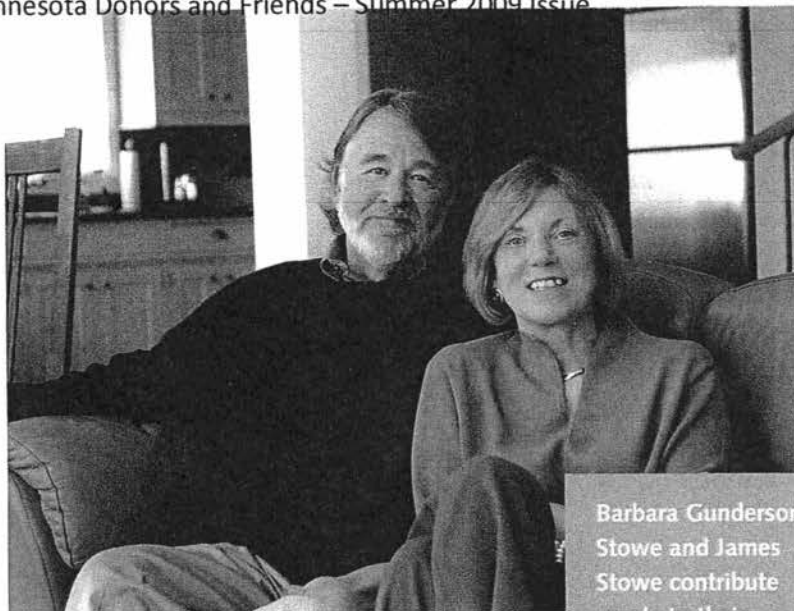
recent gifts

A Quiet Donor

During the course of his life, James Binger quietly became the largest donor to his alma mater, the U of M Law School. Among other contributions, his generosity was responsible for a chair and a rare books research center.

His commitment continued up to his death in 2004, through the creation of the Robina Foundation. Binger, a longtime chairman of Honeywell, named the Law School one of four institutional partners to impact critical social issues with the support of the foundation.

The most recent project to fulfill Binger's wishes is the school's Program on Law, Public Policy, and Society. The foundation's \$6 million in funding will create new chairs in LaPPS (see page 2), as well as establish new courses, annual conferences, and up to 50 law student internships in public policy.



Barbara Gunderson Stowe and James Stowe contribute yearly to their scholarship at Morris.

'Long' Remembrance

"My uncle, Ted Long, was one of UMM's original faculty members," says Barbara Gunderson Stowe, '72 B.A., Morris. "He and my aunt, Tone, taught at West Central School of Agriculture, a school that was phased out and became U of M, Morris."

The couple, who lived a stone's throw from campus, greatly influenced Stowe's life. "They were extremely generous to my brother and me," she recalls. "We stayed with them often; the campus was very much a part of our growing up."

In appreciation, Stowe and her husband, James, began making annual contributions to the Theodore S. and Tone H. Long Scholarship in the early 1980s. "We've recently made provisions for the fund in our will," states Stowe, who worked in advancement for MIT for 25 years and now does international consulting. "Our intent is to reach \$1 million."



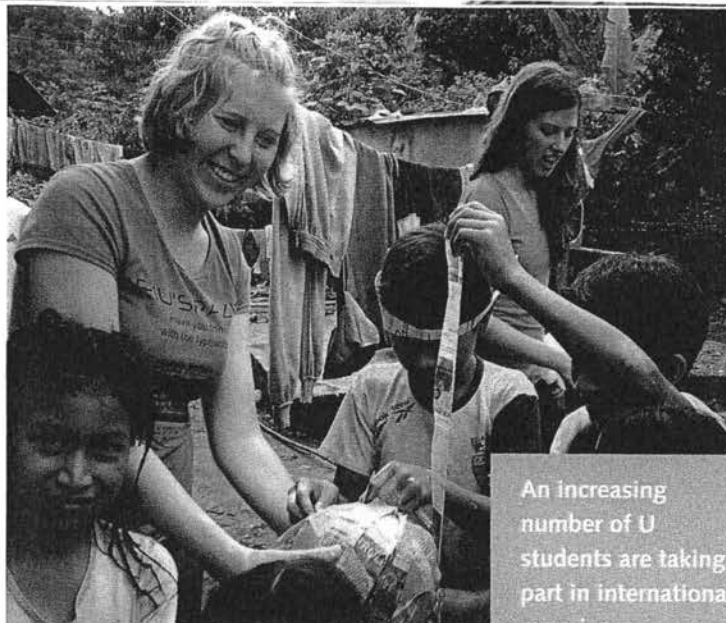
Slap and Strap Teapot
David M. Lynas (American, b. 1944)
Tweed Museum of Art

A Multi-dimensional Gift

UMD's Tweed Museum of Art is the sole beneficiary of the \$3.2 million Marguerite L. Gilmore Charitable Foundation, a gift which will be used to add three-dimensional works of art to the collection. The Tweed has already begun looking for works of sculpture, ceramics, glass, and crafts. "We will also include photography," noted museum director Ken Bloom, "because it was a favorite hobby of Miss Gilmore."

A native of Duluth, Marguerite Gilmore enrolled in UMD art classes after her retirement from junior high school teaching. During that time she was a frequent visitor and member of the Tweed Museum. She also exhibited her own photography across the United States and Mexico.

"We honor her wonderful generosity and her deep commitment to the enrichment of life through art," said UMD Chancellor Kathryn Martin.



An increasing number of U students are taking part in international experiences.

Stellar Foreign Relations

System-wide internationalization efforts—from encouraging students to study abroad to attracting top foreign students and faculty—are paying off. Not only is the renewed global focus helping to shape the U's strategic positioning, it also is getting noticed beyond campus.

Recently, NAFSA: Association of International Educators named the U one of five recipients of the 2009 Senator Paul Simon Award for Campus Internationalization. In the past nine years, the U is only the 10th public research institution to win the award, which is named for the late Illinois senator who championed international education.

Privately funded scholarships and fellowships are helping to make study abroad a reality for an increasing number of U students. With 2,079 study abroad students in 2006-07 (the most recent year for such data), the U now ranks fourth nationwide.

Knowing His (human) Rights

A new plan at the U of M Law School aims to transform legal education and research, and to prepare law students to serve as agents of social change.

The cornerstone of the effort, spearheaded by a \$6 million grant from the Robina Foundation (see page 5), is the Program on Law, Public Policy, and Society. The first chairholder in the program is John Borrows, who will join the faculty in the area of international law and human rights. Law School Dean David Wippman calls Borrows "one of the world's leading authorities in indigenous rights."

A member of Ontario's Chippewas of Nawash First Nation and Anishinabe, Borrows is also an activist on behalf of First Nations peoples. He writes and speaks prodigiously on such issues as indigenous legal rights and traditions, treaties and land claims, and religion and the law.

Paying Tribute

In 2005, retired U.S. Air Force Brigadier General Dennis Schulstad, '66 B.A., led a committee of representatives from a variety of veterans groups and the University to develop the Veterans Tribute for TCF Bank Stadium. A fund-raising goal of \$450,000 was set to build the 18-foot-tall curved brick-and-limestone wall that will stretch 72 feet just outside the new stadium's entrance.

As of March 1, 2009, \$580,000 had been raised from more than a dozen individuals, creating extra funding that will help pay for flags, maintenance costs, a dedication on September 11 (the day before the first game in the new stadium), and future upgrades. While the tribute will be highly visible on game days, Schulstad says people also will see it while driving or walking by the stadium. The completed tribute will include inscriptions from donors honoring veterans from all wars.



John Borrows is a leading authority on indigenous rights.

UNIVERSITY OF MINNESOTA

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July 30, 2009

Dr. Gordon Aamoth
President
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

*File copy
"Do Not
Remove"*

Re: Annual Evaluation Report

Dear Dr. Aamoth:

As requested in your letter of June 4, 2009, I am providing a detailed report of the University of Minnesota Law School's use of Robina Foundation funding to launch a new program on Law, Public Policy, and Society (LaPPS). Over the course of the past year, we have made remarkable progress towards fulfilling the Program's goals. Among other things, we have significantly restructured the first-year curriculum; initiated several new capstone courses to be launched this year; completed two of the three faculty hires contemplated by our proposal; launched multiple ambitious new faculty research projects; funded 20 student public policy internships; launched a new post-J.D. fellowship program; and held one of the contemplated annual public policy research conferences.

We view the Program as a critical investment in the Law School's future. Robina funding has enabled the Law School to leverage additional resources from the central University, focus Law School resources, energy, and attention on building existing areas of strength, and begin to develop a model of legal education and scholarship that we hope will serve as an inspiration to others. To achieve its long-range goals, the Program will need time to mature. But we are excited about the progress to date.

In many respects, Robina funding could not have come at a better time. It has enabled us to make substantial progress on our teaching and research missions at a time when state budget cuts, declining endowment income, and a reduction in philanthropic giving from other sources might otherwise have stalled our efforts to transform the Law School to meet the demands of a rapidly changing legal landscape. We are accordingly very grateful to the Foundation for its support and look forward to working with you to achieve our mutual goals and Jim Binger's vision for transformational change.

1. Original Goals and Objectives

The Program, as described more fully in our June 20, 2009 proposal, seeks to make the Law School a recognized leader in developing innovative solutions to problems at the intersection of law, public policy, and society. The Program has two central and related objectives:

- A. to transform the Law School's curriculum and teaching mission in ways that will enable our graduates to be more effective at developing multidisciplinary solutions to complex social problems; and
- B. to leverage our existing strengths in criminal justice, international law, and science and technology to broaden our ability to generate cutting-edge, policy-relevant research, scholarship, and community outreach.

A. Transformation of Curriculum and Teaching

As noted in our original proposal, the traditional model of legal education has come under considerable criticism in recent years. In particular, the Carnegie Foundation for the Advancement of Teaching has urged law schools to offer greater exposure to the complexity of actual practice and greater emphasis on ethics, professional responsibility, and social context. The Law School, through a long process of faculty review, reached similar conclusions independently. We have therefore initiated major changes to our curriculum, particularly in the formative first year. Robina support of a new human rights clinic, new capstone courses, public policy internships, and post-J.D. fellowships forms an integral and essential part of the Law School's curriculum and teaching reforms.

The goals of these changes include:

- to integrate professional values, ethics, and lawyering skills throughout the Law School curriculum, and increase opportunities for skills development in both simulated and live-client settings;
- to educate students in a progressive arc about the full range of lawyering concepts, beginning with basic lawyering skills and legal doctrine and proceeding through advanced theory and highly complex problem-solving strategies;
- to promote collaboration, particularly interdisciplinary collaboration, both within the Law School and among University departments;
- to highlight the ways in which law can be original and transformative, in drafting, application, and interpretation; and
- to emphasize the professional values of social responsibility and public service.

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

By building on existing strengths, the Law School seeks to become a leading institution for intensive policy work and problem solving. As set out in our proposal, we seek to build strength in three key areas: criminal justice, international law and human rights, and law, science, and technology. The Law School already has clusters of distinguished faculty working in each of these areas. Each area provides exceptional opportunities for important public policy research and is fundamental to work being done in other areas. The overall goal is to develop these three areas as strategic enabling areas around which clusters of faculty develop related law, policy, and society projects.

Specific goals for the LaPPS Program include:

- hire one or more new faculty members in each of the three fields of strength, to complement our existing faculty and stimulate new ideas and research through faculty interaction;
- hire an established or rising star social scientist with first-class quantitative skills, who might partner with existing faculty in empirical or quantitative policy-oriented research;
- foster cutting-edge public policy-oriented research, particularly in criminal justice, international law, and law and science (especially health and life sciences); and
- hold annual high-profile conferences in one or more of the three strategic enabling areas that attract top scholars, stimulate new research, and generate new publications to disseminate conference findings.

2. Progress in Meeting Program Goals

The LaPPS Program is well under way. It has helped stimulate an extraordinary set of curricular and teaching reforms, and enabled the Law School to build on its strengths and initiate substantial new research on public policy issues.

A. Progress on Curriculum and Teaching

Overview

As part of the overall strategy of adapting curriculum and teaching methods to the demands of the changing legal environment, the Law School has launched a new Lawyering Program with a three-stage pedagogical model for integrating the teaching of legal skills, values, professional identity and role, and ethics. The three-stage model consists of:

Stage 1, which incorporates new courses and new course components on Legal Writing, Statutory Interpretation, Professional Responsibility, Perspectives on the Law, and Practice and Professionalism (formerly "Work of the Lawyer"). Together, these courses and course components introduce basic concepts and skills to first-year students and lay a foundation for the full integration of theory and practice. They are designed to give students exposure to professional challenges in a controlled environment.

Stage 2, characterized by increasing contextualization and exercise of independent judgment. Through externships, pro bono opportunities, and hybrid courses, students put into practice what they have learned in the first year, but also confront professional challenges generally not covered in doctrinal courses. Students are introduced to actual clients and the concomitant responsibility of making decisions with real consequences, requiring heightened reflection on the part of the students and intensive supervision by faculty.

Stage 3, which adds or amplifies the elements of collaboration, public engagement, social responsibility, and interdisciplinary coordination. Students at this stage have the opportunity to enroll in a Clinic and/or a Capstone course. Most Clinics have an individual client and litigation orientation and integrate systemic issues with personal and professional values. The Capstone courses are designed around long-term, interdisciplinary work; they will provide students not only with an intensive immersion in a particular doctrinal area, but also with experience in complex problem solving that integrates law and social policy.

Specific Reforms

The Law School has instituted six significant curricular reforms in the past two years in the areas of Practice and Professionalism; Professional Responsibility; Statutory Interpretation; Perspectives and Other First-Year Electives; Capstones; and a Human Rights Clinic. While these curricular changes are still evolving, they have already demonstrably strengthened the curriculum.

1. Practice and Professionalism. Practice and Professionalism (formerly "Work of the Lawyer") is a required first-year, three-credit course. Minnesota is alone among the top-tier law schools in the nation to offer an experiential first-year course that both has a transactional or non-litigation focus and is complementary to (rather than a substitute for) the Legal Methods curriculum.

Through lecture, discussion and short exercises, the course explores conceptual frameworks for, and theoretical understandings of, professional role. As a complement to the Practice and Professionalism class, students convene weekly in small sections of ten to develop lawyering skills through role-based performance of discrete tasks in the context of a simulated transactional law problem. Offered for the first time in the spring of 2009 as an elective, Practice and Professionalism will be mandated for all first-year law students next year.

2. Professional Responsibility. The Law School's Professional Responsibility curriculum is also undergoing a major transformation. As at most law schools, during the last few decades the Professional Responsibility course at Minnesota has been a required, upper-level, three-credit course. Now, however, at Minnesota, basic concepts and issues are introduced in the first year; fifteen percent of the Practice and Professionalism course is devoted specifically to legal ethics.

As a way of reinforcing this introduction to legal ethics, students in their first year are expected to attend a series of lectures on professionalism, and the lectures will be followed up with discussion groups that will give students the opportunity to talk informally with experienced practitioners about professional responsibility issues.

3. Statutory Interpretation. The first-year Legal Writing curriculum has been enhanced with the addition of a complementary Statutory Interpretation component.

4. Perspectives and Other First-Year Electives. This past year, for the first time, second-semester first-year students had the opportunity to choose one course from a list of

electives. In 2009, the electives included Work of the Lawyer, Perspectives, Corporations, and International Law. (Because in 2010 Practice and Professionalism (or Work of the Lawyer) is a required course, the fourth elective will be Civil Procedure II.)

5. *Capstones*. In the 2009-2010 academic year, the first of the Law School's Robina-supported capstone courses will be offered. One course integrating employment law skills, labor law doctrine, and ethics is a model for a national collaborative project involving the ABA Section on Labor and Employment Law. Another engages students in issues surrounding the existence of, redevelopment of, and litigation over so-called "brownfield" properties (i.e., real property that has been subject to contamination). Both Capstones address complex law and policy issues and both use a combination of simulation, interdisciplinary team-teaching, and discussion methodologies. The Law School is also exploring the possibility of a community-engagement model for future Capstone courses. Like the current simulation-based models, the community-engagement model would immerse students in complex problem solving in a specialized field of law. However, these classes would address actual, ongoing problems carefully chosen in collaboration with community advocates and service providers. To learn more about the potential for such a model, the Lawyering Program director will be participating in a graduate-level Capstone course being offered through the University's Humphrey Institute of Public Affairs. The Humphrey Institute, which has already developed a community-engagement model of student learning, is enthusiastic about working with the Law School on such courses.

6. *Clinics*. In the upcoming fall semester, two hybrid clinical courses will be used to test some of the methodological and interdisciplinary aspects of a community-engagement model. One clinic has as its focus domestic violence; the other will highlight environmental issues. In addition, January 2010 will see the introduction of a new Robina-supported Human Rights Clinic at the Law School. It is anticipated that the fieldwork component of this new clinical course will combine the direct representation of a traditional clinic with policy-oriented project work. Innovations in Capstone and Clinic design can be expected to stimulate empirical research and interdisciplinary scholarship in related areas.

B. Progress on Building Existing Strengths in Criminal Justice, International Law and Human Rights, and Law and Science

Robina Research Chairs in Law, Public Policy, and Society

As indicated in our June 20, 2008 proposal and subsequent correspondence, we set as a goal the hiring of two star faculty members to help us become one of the country's leading centers for innovative work on complex law and public policy problems. We have already hired John Borrows, one of North America's leading experts on indigenous rights and comparative constitutional law. A copy of John's curriculum vitae is attached. John will join the Law School faculty on September 1, 2009 as the first holder of a Robina-funded research chair on law and public policy. John joins and complements an already exceptionally strong group of faculty who work in the area of international law and human rights. John's expertise on indigenous rights fills an important gap in the Law School's scholarly and teaching agenda.

We are currently conducting a national search to find a star lateral that we could hire in the area of law and science, to fill the second Robina-funded research chair on law and public policy. Our appointments committee has assembled a list of prospective candidates, and two candidates have been scheduled for two-day interview visits this fall.

As mentioned in our 2008 proposal, we also sought to add to our faculty an established or rising star social scientist with first-class quantitative skills, who could partner with other faculty in intensive empirical projects in areas such as criminal justice law reform and race and poverty. In keeping with this objective, we hired Herbert Kritzer, one of the world's top experts on empirical legal studies, and the author of over 100 books and articles in that field. Professor Kritzer started at the Law School on July 1, and is already co-authoring articles and working on empirical projects with several other members of the faculty. His curriculum vitae is also attached.

Finally, we are considering a new strategy for building strength in the fields of criminal justice, international law, and law and science. In particular, we have identified several of the world's top criminal law scholars (based in the UK) who might consider joining the Minnesota faculty on a 50% time basis; our objective would be to hire two or three such faculty as a way of further internationalizing and strengthening our existing criminal justice faculty. If we succeed in attracting the individuals we have engaged in discussion, we would have probably the strongest group of criminal law faculty in the world. If this international cluster hire strategy succeeds in the area of criminal law, we will then consider its possible application to the other targeted fields.

Robina Clinical Chair in Law, Public Policy, and Society

After an extensive national search, the Law School hired Jennifer Green, formerly a lead attorney with the Center for Constitutional Rights, to develop a human rights clinic. Ms. Green will join the Law School faculty this month. She has been co-counsel or lead attorney in many of the most important human rights cases in the last fifteen years, and just recently won a \$15 million dollar settlement in a path-breaking human rights case against the Shell Oil Corporation. Her curriculum vitae is attached.

Robina-supported Faculty Public Policy Research

This year, the Law School solicited proposals from faculty for policy-related research projects that will have high visibility and impact, attract external funding, involve law students in substantive roles, and enhance the Law School's reputation as a leading institution for law and public policy. Preference was given to projects that relate to criminal justice, international law and human rights, or law, science, and technology. Progress on some of the projects that received funding this spring is described below.

1. *Law and Science.* Robina funds are supporting original research by Professor Susan Wolf on "Cutting-Edge Policy Issues in Reprogenomics: Revamping the Law, Ethics & Policy Governing Genomic Biobanks and Assisted Reproductive Technology." This project, running from July 2009 through June 2011, involves work on two related projects addressing issues posed by the latest advances in biomedical science in the linked domains of genomics and reproductive technologies. In both areas, the rise of

computer capacity, the Internet, and bioinformatics is posing enormous challenges. Biobanks are large collections (often more than 100,000 source individuals) of biological samples and related data, typically including genetic and genomic information. Biobanks depend on computer capacity to organize, manage, and drive research on these large collections. Health care and research institutions all over the world are establishing them at a rapid rate. They raise extremely important issues, including what constitutes adequate source consent, who is entitled to the information generated, how privacy and confidentiality will be ensured, how they should be managed over time, and what data and samples should be shared with researchers and under what conditions. Professor Wolf has been conducting related work supported by the National Institutes of Health. Her Robina-supported work will allow her to visit biobanks and interact with them directly and to focus and publish on the legal issues raised.

Professor Wolf's related work on assisted reproductive technologies (ART) also builds on the rise of computer capacity and the Internet. Individuals are increasingly using these technologies to decide on treatment, find gamete donors, and (for offspring) search for donors as well as other children produced by the same gamete donor. Parents and offspring are also using direct-to-consumer genetic testing available over the Internet, a controversial service, but one that recently helped a 15-year-old child of anonymous sperm donation locate his donor. As in the biobank realm, these developments in ART are raising major issues including consent, access to information, privacy and confidentiality.

Both the biobanks and the ART projects raise high-profile issues of immediate concern to federal and state governments, scientists, physicians, and individuals. Both projects address how legal and ethical obligations to those who are most vulnerable (participants in genomic research and children produced using reproductive technologies) should change in light of evolving technologies. Outcomes will include a major legal article on access to biobank findings and return of individual research results, a major bioethics publication, visits to biobanks and archives to get a deeper sense of how they work, and an article on the changing information technologies challenging ART policy and practice.

2. *Criminal Justice*. Professors Michael Tonry, Richard Frase, Kevin Reitz, and Fionnuala Ni Aolain have launched a major project on comparative prosecution systems. The project will consist of three major elements--a winter 2010 conference in Europe on descriptive case studies of prosecution systems, funded primarily from European sources, and resulting in a book published by a specialist legal or criminal justice publisher; preparation in summer 2010 by law student interns of case studies, drawing heavily on interviews and administrative materials, of combined judicial and prosecution systems in 6-8 countries (including the Netherlands, Switzerland, Sweden, Finland, Germany, the United States, and possibly Poland, Hungary, and Canada); and a fall 2010 or early 2011 conference in Minnesota on comparative study of judicial and prosecution systems, resulting in a book to be published by the University of Chicago Press.

Professors Tonry et al. have obtained matching funding of 10,000 euros (\$14,000) from each of four sources (the Finnish National Research Institute for Legal Policy; HEUNI [the UN crime institute in Finland]; the Netherlands Institute for the Study of Crime and

Law Enforcement; and the Criminal Law Institute of the University of Zurich). They have also obtained undertakings of support from the Swedish National Crime Prevention Institute and the Max Planck Institute on International and Comparative Criminal Law. They have also obtained funding from the Swiss National Science Foundation to support a Swiss post-doctoral student to work on the project for two years in Minnesota; her focus will be on a comparative Swiss/US analysis, which is especially interesting as Switzerland is the only other Western country in which prosecutors are elected.

The two leading US scholars of prosecution, Ron Wright of Wake Forest and Marc Miller of the University of Arizona, have agreed to participate. Principals of all the funding and supporting agencies named above have agreed to collaborate in project planning and in supervision of summer interns in on-site preparation of case studies. The Max Planck Institute has agreed to lend the services of Marianne Wade (who coordinated a 3-year comparative data collection project on prosecution in Europe) and Michael Kilchling (who 5-7 years ago organized a conference on comparative prosecution studies and edited the resulting book) to work on the project. Adam Tomczak, a Minnesota law student, has been working the past three months on preparation of a comprehensive annotated bibliography on comparative studies of prosecution systems.

3. *International Law and Human Rights*. Professors David Weissbrodt, Fionnuala Ni Aolain, and Oren Gross have launched an interconnected series of research projects relating to international humanitarian law and transitional justice. Professor Weissbrodt has already conducted an extensive analysis of the jurisprudence of the UN Human Rights Committee as it relates to the 1949 Geneva Conventions and the Additional Protocols of 1977, and has prepared a substantial law review article examining the Committee's interpretations and applications of humanitarian law. The article recommends an expanded role for the Committee as a more feasible alternative to the creation of a new international body to interpret humanitarian law. Earlier this week the article was submitted for publication review to several law reviews. That consideration process may take several months. Meanwhile, Professor Weissbrodt will be working with his research assistants, supported by the Robina Foundation, to study how other institutions interpret humanitarian law, including the U.S. Supreme Court, the Committee on the Rights of the Child, and the Committee on the Elimination of All Forms of Racial Discrimination.

Professors Ni Aolain, Weissbrodt, and Gross are also working on an international and comparative law conference on military tribunals and exceptional courts, with a strong policy focus related to ongoing debates about military commissions. Professor Ni Aolain is working on a related series of specialized symposia and a book on transitional justice, with a focus on post-conflict and post-repressive societies. Finally, with Robina Foundation research support, Professor Ni Aolain is completing a monograph to be published with Oxford University Press on women and conflict; the manuscript is due to be submitted to Oxford at the end of this calendar year.

Professor Stephen Meili has embarked on a three-year project to enhance the international human rights protections afforded to persons who seek political asylum in the United States. The project aims to combine scholarly research, transnational

comparative analysis, public advocacy, and representation of asylum seekers by the University of Minnesota Law School's Immigration and Human Rights Clinic. It will examine the roots of the United States' reluctance to invoke international human rights law in defense of non-citizens generally (including asylum seekers), and the experience of countries which have shown a greater willingness to apply that law in the asylum context (i.e., Australia, Canada, New Zealand and the United Kingdom). The project will include active participation by University of Minnesota law students, who will learn about the relevant law, hone their lawyering skills, and engage with vulnerable immigrant communities. Project research will generate papers to be delivered at various academic and public policy conferences, one or more law review articles on comparative approaches to the use of international human rights law in asylum decisions, and position papers, op-ed pieces, and other public writings in support of the use of international human rights law by U.S. tribunals. In addition, the Law School's Immigration and Human Rights Clinic, working in conjunction with Advocates for Human Rights, a Minneapolis-based NGO that advocates for asylum seekers and other non-citizens throughout the country, will seek out asylum cases that allow for cutting-edge arguments based, in part, on international human rights law.

Professor Greg Shaffer has launched a major empirical study that will result in a book examining how the legal system of the World Trade Organization (WTO) operates for countries that have few resources and less legal expertise (that is, most developing countries). According to conventional wisdom, the key to the WTO's success is its legalistic architecture under the Disputes Settlement Understanding, which supplanted the diplomacy-based framework of the WTO's predecessor, the General Agreement on Tariffs and Trade. Professor Shaffer's project seeks to assess empirically the challenges that developing countries face in using the WTO legal system. He is examining whether differences in power in the form of asymmetric legal capacity have replaced other forms of power in international trade relations. He is examining, in particular, possible strategies developing countries might consider in order to increase their ability to use this legal system. Robina funding will be used to do empirical case studies in India and South Africa, to conduct follow-up interviews in Geneva (the home of the WTO), and to hire research assistants, to help with statistical data gathering and analysis regarding determinants for participation and success in the WTO legal system.

4. *Robina Public Policy Annual Conferences.* On March 6, 2009, the University of Minnesota's Consortium on Law and Values and Joint Degree Program in Law, Health & the Life Sciences (www.jointdegree.umn.edu), marked their 10th Anniversary with a major national conference on "What's Next in Law, Health & the Life Sciences? Debating Openness, Access & Accountability." This conference, attracting an audience of more than 200, with the video now archived online for free public access (http://lifesci.consortium.umn.edu/conferences/2009_whatsnext), addressed issues at the forefront of law, health, and the life sciences. Presentations from top national experts analyzed emerging issues in genomics, neuroscience, health care, and environmental research, as well as science oversight. This conference also included a competitive call for papers from junior scholars, with presentations of the leading selected papers. This conference is resulting in publications in the *Minnesota Journal of Law, Science & Technology* (*MJLST*) (<http://mjlst.umn.edu/>), based at the Law School. Crucial funding

for this conference came from the Robina Foundation. Additional funding came from the Law School, the Office of the Executive Vice President and Provost, and the Presidential Initiative in support of interdisciplinary research and education.

A major conference on military tribunals and exceptional courts will be held in October 2009 at the University of Minnesota. Major conferences on comparative criminal prosecutions will be held in fall 2010 and 2011 in Minnesota and Europe. In addition, a major conference on Human Trafficking in the 21st Century will be held in two parts, in Brazil in February 2010, and in the United States in April 2010. We will provide additional information on those conferences as the dates draw nearer.

C. Progress on Student Internships and Post-JD Fellowships

This year, twenty law students were awarded Robina Public Policy and Human Rights Fellowships. We believe there is no more effective way to inspire law students to undertake a career in public service than to give them a taste of public policy and/or human rights work. Also, such practical experiences give students the contacts and first-hand knowledge so important for career and public service opportunities. We recently sent you a letter with a list of the organizations for whom the student interns worked. A copy of that letter is attached.

In addition, we are in the process of establishing a new, post-J.D. fellowship program. This program aims to assist recent Law School graduates to gain practical experience working at a non-profit organization or for a government agency on public policy issues. We have allocated \$125,000 of Robina internship funding for this purpose. We believe the reallocation will assist members of the class of 2009 with employment opportunities and provide the agencies for whom the graduates work with much needed assistance. The organizations that have requested a Robina public policy fellow include:

Battered Women's Legal Advocacy Project
Cancer Legal Line
Center for Victims of Torture
Children's Law Center of Minnesota
Disability Law Center
HOMELine
Minnesota Center for Environmental Advocacy
Minnesota Coalition Against Sexual Assault
Office of the Title Examiners (Real Estate Policy)
Volunteer Lawyers Network (Bankruptcy).

We have just begun accepting applications for these fellowships and expect to place fellows starting this fall.

3. Unanticipated Results and Program Changes

So far, the LaPPS Program has largely taken shape as we had anticipated. Most of the faculty research projects are in an early stage, and two of the three chairs contemplated under our

proposal have just been filled. Accordingly, it is still early to evaluate the results of that research and hiring, though we are very pleased with progress so far.

We have had somewhat greater opportunity to evaluate the curriculum and teaching components of the LaPPS Program. Taken together, the six curricular reforms that have already been instituted have moved the Law School rapidly forward in the incorporation of professional values, lawyering skills, and ethics into the overall curriculum. The new and revised courses teach a broad array of lawyering proficiencies in such fields as legislation, policy making, diplomacy, alternative forms of dispute resolution, and transactional skills, as well as in the more traditional areas of advocacy and mastery of legal doctrine.

While it is difficult at this early stage to measure outcomes concretely, the Law School has, with the support of the University's Center for Teaching and Learning, undertaken a review and assessment of the curricular reforms through small group interviews and written surveys. Initial findings relating to the Practice and Professionalism course indicate that experiential methodologies, immediate feedback, diverse viewpoints, ethical considerations, and practical relevance to professional career paths are among the perceived strengths of the new program. Feedback from students and the Center's observers has led to some minor changes in the program (for example, to connect classroom theory more closely to simulated skills) but has affirmed the soundness of the program's basic structure.

One issue that has arisen in connection with the Capstone courses has been a lack of uniformity among the capstone proposals received from faculty. Among other things, we have debated whether to call two new hybrid clinical offerings capstone courses. One of our objectives this coming year will be to refine the capstone concept and develop a clearer set of criteria for what constitutes a capstone course. It has also proven more difficult than we anticipated to recruit faculty to teach capstone courses, partly because of the amount of work required to develop a multidisciplinary, innovative new course. We are rethinking the incentives needed to induce more faculty to offer capstone courses. We hope gradually to grow the number of these courses as we gain expertise from the early capstone offerings.

As the Law School looks ahead, it has become increasingly clear that an institutional focus on complex, pressing issues requires contributions from both practitioners in the field and outside experts. The Law School is therefore building bridges with experienced practitioners engaged in complex legal and policy issues. Several possible roles for practitioners are in development for the 2009 -2010 academic year. In one, experienced lawyers would serve as "senior partners" in the Practice and Professionalism course. As such, these lawyers will participate in weekend consultation sessions or "office hours" with first-year students. Students, in role as attorneys representing a client in a simulated case, can meet with a "senior partner" to discuss an issue that has arisen in the course of the simulated problem, but may also ask the lawyer general questions about practice. These sessions will provide opportunities for students to learn how practitioners define their roles, understand their obligations to the community and the profession, maintain balance in their personal and professional lives, and grow as professionals. Experienced practitioners also participate as panelists in the Professionalism Lecture Series.

In the course of the past year, the Law School has identified two very concrete needs in the areas of teaching materials and assessment tools. Because the Minnesota model is at the cutting edge

of law school innovation, there are no texts or teaching materials directly applicable to the content and methods of the new courses. These materials will have to be developed over time, and will demand considerable effort from the faculty teaching Practice and Professionalism, Statutory Interpretation, Perspectives, Capstones, Professional Responsibility (as newly conceived), and interdisciplinary Clinics. Similarly, newly devised evaluative tools are needed to ensure that pedagogical goals and institutional objectives are being met.

While Robina Foundation funding is not being used to support the entire curriculum reform effort, it is supporting enhanced experiential learning opportunities through the creation of a new Human Rights Clinic and student public policy internships and post-JD fellowships. These experiential learning opportunities are a critical part of the larger curriculum and teaching reforms being undertaken by the Law School.

4. Sharing Results and Findings

In the wake of the Carnegie report, Minnesota's curriculum reforms have generated considerable interest nationally. In the last year, the program has been spotlighted at a half dozen curriculum workshops from Seattle to Cambridge. In the coming year, presentations to teaching faculty in four additional fora are already scheduled, covering developments in four key areas: programmatic innovation; teaching methodologies; assessment; and infusion of professional responsibility into the curriculum. An article developing the idea of diffusion of innovations in the law and community context is already being planned. Moreover, in the spring, the Law School will be hosting a leadership workshop at which a select group of law school educators will address the challenges and successes of curricular innovations designed to strengthen the academy's commitment to multidisciplinary problem solving and policy-relevant research. Participants will be expected to contribute papers to an on-line publication that will be available through several law teaching organizations' websites, as well as through the University website.

The faculty research projects and conferences described above will be shared through the more conventional means of publication in books and articles. In addition, some of the conference proceedings will be videotaped and made available on the Law School's web site.

5. Income and Expense Statement

The income and expense statement requested is attached to this report.

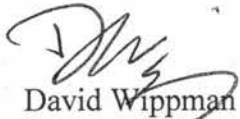
6. Additional Funders

Funding for the Robina research and clinical chairs combines Robina funding, Law School operations funds, and \$4 million in University of Minnesota matching funds on the timeline indicated in our original proposal and subsequent correspondence. In addition, some of the conferences referenced above have attracted modest amounts of third-party funding, as noted earlier in this report.

To Gordon Aamoth
July 30, 2009
Page 13

I would be happy to provide additional detail on all of the projects described above if that would be helpful to the Board. Again, we are very grateful to Jim Binger and to the Foundation for the opportunity to launch the LaPPS Program.

Sincerely,

A handwritten signature in dark ink, appearing to read 'D. Wippman', is written over the printed name.

David Wippman
Dean and William S. Pattee Professor of Law

jj

Enclosures

JOHN BORROWS

CURRICULUM VITAE

ADDRESS

Work: Faculty of Law,
Univ. of Victoria
Box 2400, Stn CSC.
Victoria, B.C. V8V 3H7
(250) 721-8167

FULL TIME ACADEMIC APPOINTMENTS

University of Victoria,
Law Foundation Chair and Professor (tenured), Faculty of Law, 2001 –

University of Toronto
Associate Professor (tenured), Faculty of Law, 1998-2001

University of British Columbia
Associate Professor, (tenured) Faculty of Law 1996 - 1998,
Assistant Professor, Faculty of Law 1992 - 1994
Director, First Nations Law Program

Osgoode Hall Law School
Assistant Professor 1994-1996
Director, Lands, Resources, and Indigenous Governance Program

VISITING ACADEMIC APPOINTMENTS

Brigham Young University/University of Minnesota Law School
Visiting Professor, 2007-2008

Dalhousie Law School
Justice Wilson Visitor in Human Rights, Fall 2006

University of Waikato Law School
New Zealand Law Foundation Distinguished Visitor, March – June 2006

University of New South Wales, Faculty of Law
Visiting Professor, 2004 (Jan.-June)

Arizona State University, College of Law
Visiting Professor, 2000-2001, Acting Executive Director, Indian Legal Program

EDUCATION

Ph.D., Osgoode Hall Law School, 1994

Thesis: "Land Use, Treaties & Settlement: A Legal History of the Chippewa of Lake Huron"

LL.M., University of Toronto, 1991

Thesis: "A Genealogy of Law: Inherent Sovereignty & First Nations Self-Government in Canada"

J.D., University of Toronto, 1990

*Clinical experience, Supreme Court. of Canada litigation on Aboriginal title and Treaty case (*Bear Island*)

M.A., University of Toronto, 1996

Thesis: "Land Use & Environment Planning in First Nations"
Department of Geography and Planning

Hons. B.A., University of Toronto, 1987

Graduated: With Distinction

Major: Specialist in Political Science & History

AWARDS

- **Fellow, Canadian Society of Arts, Humanities and Sciences RSC**, (2007) Canada's highest academic honour
- **Trudeau Fellow**, for outstanding achievement in the Humanities and Social Sciences (Lifetime Honour) (\$225,00) (2006)
- **New Zealand Law Foundation Distinguished Visitor** (2006)
- **SSHRC, Major Collaborative Research Initiative**, 'Aboriginal Governance', Collaborator (Steering Committee), Co-Researcher, (\$2.5 million) (2006-2010)
- **SSHRC, Virtual Scholar in Residence**, Indigenous Legal Traditions, Law Commission of Canada (2004) (\$50,000)
- **International Visiting Fellow**, Australian Institute of Aboriginal and Torres Strait Islander Studies (AIATSIS) (2004)
- **National Aboriginal Achievement Award**, for outstanding accomplishment in the field of Law and Justice, National Aboriginal Achievement Foundation (2003).
- **Donald Smiley Award**, (2002) For **Best Book in Canadian Political Science** (Canadian Political Science Association)
- **University of Toronto Open Fellowship** (1996)
- **Osgoode Hall Law School Graduate Fellowship** (1992-1994)
- **Mississauga of the New Credit Academic Achievement Scholarship**, (1991) for high academic distinction
- **University of Toronto Rosalind Murray Award** (1987-1990) Aboriginal Student with the Highest GPA studying at the University

PUBLICATIONS

1) BOOKS

1. Recovering Canada: The Resurgence of Indigenous Law (Toronto: University of Toronto Press, 2002) (312 pages).
2. Aboriginal Law: Cases and Materials, 3rd edition (Toronto: Butterworths, 2007) (co-edited with Len Rotman) (1010 pages). Used in 11 of 16 Canadian Law Schools.
3. Canadian Constitutional Law (Toronto: Emond Montgomery, 2003) (co-editor) pp. 511-632
4. Anishinabek Law Reports (under consideration) University of Toronto Press, 318 pp.
5. Canada's Indigenous Constitution (under consideration) University of Toronto Press, 472 pp.

2) REFEREED ARTICLES

1. "Ground Rules: Indigenous Treaties in Canada and New Zealand" (2006) 22 New Zealand Universities Law Journal 188.
2. "Indigenous Legal Traditions in Canada" (2005) 19 Washington University Journal of Law and Policy 167.
3. "Practical Recolonization: Indigenous Rights in Australia" (2005) 28 University of New South Wales Law Review 614.
4. "Tracking Trajectories: Aboriginal Governance as an Aboriginal Right" (2005) 38 U.B.C. Law Review 285.
5. "Creating an Indigenous Legal Community: 5th Annual John Tait Memorial Lecture" (2005) 50 McGill Law Journal 3.
6. "Taking What's Not Yours" (2003-2004) 22 Windsor Yearbook of Access to Justice 253.
7. "Stewardship and the First Nations Governance Act" (2004) 29 Queen's Law Journal 103.
8. "A House of Justice" (2002) 48 Criminal Law Quarterly (with Chief Justice G. Seniuk).
9. "Fourword/Foreword: Issues, Individuals, Institutions, Ideologies" (2002) 1 Indigenous Law Journal 1.

10. "Indian Agency: Forming First Nations Law in Canada" (2001) 24 Political and Legal Anthropology Review (PoLAR) 9.
11. "Listening for a Change: The Courts & Oral Tradition" (2001) 39 Osgoode Hall Law Journal 1.
12. "Uncertain Citizens: The Supreme Court and Aboriginal Peoples" (2001) 80 Canadian Bar Review 15.
13. "Domesticating Doctrines: Aboriginal Peoples After the Royal Commission" (2001) 46 McGill Law Journal 615.
14. "Sovereignty's Alchemy: An Analysis of Delgamuukw v. The Queen" (1999) 37 Osgoode Hall Law Journal 537.
15. "Reliving the Present: Title, Treaties and the Trickster in British Columbia" (1999) B.C. Studies 99.
16. "Frozen Rights in Canada: Constitutional Interpretation and the Trickster" 22 American Indian Law Review 37.
17. "Living Between Water and Rocks: First Nations, the Environment and Democracy" (1997) 47(3) University of Toronto Law Journal 417.
18. "The Sui Generis Nature of Aboriginal Rights: Does it Make a Difference?" (1997) 35 University of Alberta Law Review (with Len Rotman) 9.
19. "The Trickster: Integral to a Distinctive Culture" (1997) Constitutional Forum 29 - 38.
20. "Fish and Chips: Aboriginal Fishing & Gambling Rights in the Supreme Court" (1996) 50 Criminal Reports 230 - 244.
21. "With or Without You: First Nations' Law (in Canada)" (1996) McGill Law Journal 630 - 665.
22. "Incremental Planning and the Ontario Municipal Board" (1996) 10 Cdn. Journal of Administrative Law & Practice
23. "Constitutional Law From a First Nation Perspective: Self-Government and the Royal Proclamation" (1994) 28 University of British Columbia Law Review 1 - 48.
24. "Traditional Contemporary Equality: The Impact of the Charter on First Nations Politics" (1994) 43 University of New Brunswick Law Journal 19-48.
25. "Negotiating Treaties and Land Claims: The Impact of Diversity within First Nations Property Interests" (1992) 12 Windsor Yearbook of Access to Justice 179-234.
26. "A Genealogy of Law: Inherent Sovereignty and First Nations Self-Government" (1992) 30 Osgoode Hall Law Journal No. 2 at 291-354.

3)

CHAPTERS IN BOOKS

1. "Living Law on a Living Earth: Aboriginal Religion, Law and the Constitution" Constitutional Law, Religion and Citizenship in Canada (Vancouver: UBC Press, 2008).
2. "Aboriginal Political Advocacy and the Canadian Constitution" in Garrick Bailey, ed., Handbook of North American Indians, Vol. 2: Indians in Contemporary Society (Washington: Smithsonian Institute, 2008).
3. "Let Obligations Be Done" in J. Webber, H. Foster and H. Raven, eds., The Calder Case (Vancouver: University of British Columbia Press, 2007).
4. "Challenge, Change and Development in Aboriginal Communities" (Sarah Morales, co-author) in Joseph Magnet and Dwight Dorey, Legal Aspects of Aboriginal Business Development (Toronto: LexisNexis, 2005).
5. "Throwing the Eagle From the Nest" in Wanda McCaslin, ed., Justice as Healing: Indigenous Ways (St. Paul, Living Justice Press, 2005).
6. "A Separate Peace: Strengthening Shared Justice" in Cathy Bell, ed., Intercultural Dispute Resolution in Context (Vancouver: UBC Press, 2004).
7. "Measuring a Work in Progress: 20 Years of Section 35" in Ardith Walkem, ed., Box of Treasures or Empty Box: Section 35 and the Canadian Constitution (Penticton: Theytus Press, 2003).
8. "Colonialism, Canadian Legal History & Delgamuukw v. The Queen" in Diane Kirkby ed., Law, History and Colonialism: Empire's Reach (Manchester: Manchester University Press, 2001).
9. "Landed Citizenship: Narratives of Aboriginal Political Participation" Will Kymlicka, ed., Citizenship in Diverse Societies (Oxford University Press, 2000); reprinted Alan Cairns, ed., Citizenship, Diversity and Pluralism (McGill Queens, 2000).
10. "The Supreme Court, Citizenship and the Canadian Community: Judgments of Justice G.V. La Forest", Wade McClaughlin, ed., The Honourable Mr. Justice G.V. La Forest (Ottawa: Supreme Court of Canada Historical Society, 2000).
11. "Wampum at Niagara: First Nations Self-Government and the Royal Proclamation" Aboriginal and Treaty Rights in Canada (Vancouver, U.B.C. Press, 1997).
12. "Traditional Contemporary Equality: The Impact of the Charter on First Nations Politics" Charting the Consequences: The Impact of Charter Rights on Law and Politics in Canada (Toronto: U. of T. Press, 1997).

4) WORKS IN PROGRESS

- Physical Philosophy: Indigenous Rights in Motion (300 pages)

5) GOVERNMENT REPORTS

- * ***Treaty Justice Report***, 170 pages, 2004, Office of the Treaty Commissioner of Saskatchewan (Conducted and mediated round table discussions over 2 years with Elders, Governmental Ministers, First Nations Chiefs, Judges and Academics)
- * ***Ipperwash Inquiry Report***, 200 pages, 2005, Government of Ontario, Chronicling Aboriginal Blockades & Occupations
- * ***Western Economic Diversification*** (WED) Report, Government of Canada, 400 pages, 2005 Study of Aboriginal Economic Development in 5 Canadian Cities
- * ***Aboriginal Cultural Audit***, Department of Justice, 2004, Interviewed 115 Managers and Aboriginal Employees across Canada and wrote 80 page report with summary of interviews, analysis and recommendations (visited and interviewed in Montreal, Ottawa, Toronto, Iqaluit, Winnipeg, Saskatoon, Edmonton, Vancouver, Yellowknife and Halifax).

POLICY WORK and PROFESSIONAL SERVICE

Pro-bono and paid work for Indigenous communities & organizations, inter alia:

*Assembly of First Nations (Ottawa); Sto:lo Nation (British Columbia); Lubicon Lake Cree Nation (Alberta); Upper Nicola Lake Band (British Columbia); Musgama Tsawataineuk (British Columbia); Eagle Clan, Haida Nation (British Columbia); Temagami Anishinabek (Ontario); Wasauksing First Nation (Ontario); United Chiefs and Councils of Manitoulin (Ontario); Chippewas of the Nawash (Ontario); Chiefs of Ontario; First Nations Summit (British Columbia); First Nations Governance Centre (Vancouver).

Curator, Indian Treaties Exhibit, National Library and Archives, Canada (September 24, 2007-March 30, 2008) Ottawa, Ontario

MEMBERSHIPS

- | | |
|---------------------------|---|
| *Barrister and Solicitor, | Lawyer , Law Society of British Columbia (articled with Joe Arvay) |
| *Honorary Director, | EAGLE, Sierra Legal Defence Fund |
| *President, | Indigenous Bar Foundation |
| *Director, | Environmental Law Centre, Victoria |
| *Advisor, | National Judicial Institute, Resource Group |
| *Member, | Indigenous Bar Association |

TEACHING

*Canadian Constitutional Law	- 1998-2005, 2008-2009
*Criminal Law	- 2006-2007
*U.S. Federal Indian Law	- 1998-2007
*U.S. Constitutional Law	- 2002, 2006
*Aboriginal Peoples & the Law	- 1992-2005, 2009
*Property Law	- 1995-1996
*Environmental Law	- 1994-1998
*Land Use Planning	- 1994-1996
*Racism and the Law,	- 1992-1994
*Contracts Law	- 1992, 2003

ACADEMIC LECTURES AND SEMINARS:

Yale Law School
 University of California at Berkeley
 Princeton University
 University of Washington, Law School
 University of New Mexico Law School
 University of Okla. College of Law
 Boston College Law School
 University of Grenoble
 Cambridge University
 McGill Law School
 Osgoode Hall Law School
 Queen's University Law School
 University of Saskatchewan Law School
 Dalhousie University, Law School
 University of Winnipeg
 Australian National University
 University of Wollongong
 University of Queensland
 University of Melbourne
 University of Lapland, Finland
 Lulea Technology University, Sweden
 Arctic College, Nunavut
 Otago Law School
 University of Auckland, Law School
 Canterbury Law School
 University of Malaya Law School

Harvard Law School
 U.C.L.A.
 Dartmouth College
 University of Oregon, Law School
 University of Kansas Law School
 Okla. Supreme Court
 University of Arizona Law School
 University of Glasgow
 Strathclyde University
 University of Alberta Law School
 University of British Columbia. Law Sch.
 University of Manitoba Law School
 University of Ottawa, Law School
 University of New Brunswick Law School
 Simon Fraser University
 University of New South Wales
 Monash University
 Charles Darwin University
 Tromso University, Norway
 Abo Akademi, Turku, Finland
 Hamline University
 Sydney Opera House, Australia
 Victoria University, Wellington
 Waikato Law School
 University of Puerto Rico
 University of Minnesota Law School

*I have taught Judicial Education Seminars to all Courts in Canada at all levels (except P.E.I. and Quebec), including the Supreme Court of Canada.

*I have also been a commentator and guest on numerous radio & T.V. programs,

C.B.C. (Ottawa, Vancouver, Victoria, Whitehorse, Edmonton, Regina, Windsor, Halifax, Winnipeg);
A.B.C. (Sydney Australia); Radio New Zealand (Wellington); Maori Radio (Auckland).

FUNDRAISING ACTIVITIES

Worked with Deans and Development Officers, of primary assistance to the Dean:

- \$5,200,000 for National Chair in Aboriginal Economic Development (2006)
- \$1,000,000 for June Callwood Program in Aboriginal Law, University of Toronto (2001)
- \$ 500,000 for Law Foundation Chair at University of Victoria (2001)
- \$ 100,000 First Nations Legal Clinic, University of British Columbia (1994)
- \$ 50,000 for Intensive Program in Lands and First Nations Governments (1996)

GRADUATE SUPERVISION

- | | |
|---|--|
| Renee Racette (LL.B. Victoria) M.A. | Jennifer Shade (B.A. Victoria) M.A. |
| Kelly Gallagher-McKay (LL.B. McGill) LL.M. | Barry Stuart (LL.B. Toronto) LL.M. |
| Rebecca Brown (LL.B. Dalhousie) LL.M. | Julie Jai (LL.B. Osgoode) LL.M. |
| Harold Cardinal (LL.M. Harvard) Ph.D. | Dawn Mills (M.Sc. Purdue) Ph.D. |
| Darlene Sambo (M.A., American Univ.), Ph.D. | June McCue (LL.B. Ottawa) LL.M. |
| Emmett Duncan (LL.B. McGill) LL.M. | Sonia Harris-Short (B.A., Oxford), LL.M. |
| Doug Harris, (LL.B., Toronto) LL.M. | Sally McKelsey, (LL.B., N.S.W.) LL.M. |
| Annie Rochette, (LL.B., McGill) LL.M. | Jason Gudofsky (LL.B. Osgoode), M.E.S. York |
| Michael Posluns, Ph.D. (Env.Studies.) York | Desmond Sweeney, (LL.B., N.S.W.) LL.M. |
| Robert Joseph (LL.B. Waikato) Ph.D. | Shanaugh Dorset (LL.B. Tasmania) Ph.D. |
| Christopher Bracken, (M.A. Toronto) Ph.D. | Val Napoleon (LL.B. U.Vic.) Ph.D. cand. |
| Dawnis Kennedy (LL.B. Toronto) LL.M. cand. | Jennifer Sankey (LL.B. U.B.C.) LL.M. |
| Perry Shawana (LL.B. U.B.C.) LL.M. | Annette Fraser (BA Calgary), MA |
| Kinwa Bluesky (LL.B. U.Vic.) LL.M. | Lucy Bell (LL.B. U.Vic.) M.A.I.G. |
| Karen Mok (LL.B. UBC) LL.M. cand. | Raymond Lamont (LL.B. Sask.) PhD. cand. |
| Jacinta Ruru (LL.B. Otago) Ph.D. cand. | Kelly LaRocca (LL.B. Windsor) LL.M. cand. |
| Kerry Sloan (LL.B. Calgary) LL.M. cand. | Johnny Mack (LL.B. Victoria) LL.M. cand. |
| Maxine Matilip (LL.B. Victoria) LL.M. cand. | Sarah Morales (LL.B. Victoria), Ph.D. cand. |
| Brock Pitanawankwat (MAIG), Ph.D. cand. | Mike Carey (BA Trent) MAIG |
| Nancy Sandy (LL.B. UBC), LL.M. cand. | Danica Littlechild (J.D. Toronto), LL.M. cand. |
| Colin Desjarlais (LL.B. UBC), LL.M. cand. | Emily Little (B.A. UBC), MA cand. |

ADMINISTRATIVE COMMITTEES

- *Appointments Committee, National Chair in Aboriginal Justice (2006-2008)
- *Appointments Committee, Indigenous Affairs Officer (2006-2007)
- *Chair, Anti-Discrimination Committee UVic Law, Chair (2004-2005, 2006-2007, 2008-2009)
- *President's Committee on Indigenous Affairs (2006-2007)
- *BC Law Society, Working Group on Aboriginal Peoples (2006-2007)
- *Graduate Committee, UVic Law (2004-2005)
- *Chair, Dean's Advisory Committee, Academic & Cultural Support, (2002-2003)
- *Curriculum Committee, UVic Law (2002, 2006-2007)
- *Akitsiraq Law School Committee, Iqaluit, Nunavut Arctic College (2003)
- *Indian Legal Program Committee, ASU Law (2000-2001)
- *Speakers Committee, ASU Law (2000-2001)

- *Chair, Rotio'tak'kier, Law Society of Upper Canada Committee (1999-2000)
- *Native Student Advisor, U. of Toronto Law School (1998-2000)
- *Chair, Minority Outreach Committee, U. of Toronto Law School (1999-2000)
- *Graduate Committee, U. of Toronto Law School (1999-2000)
- *Curriculum Committee, U. of Toronto Law School (1998-1999)
- *Bar Admission Review, Law Society of Upper Canada (1998-1999)
- *External Reviewer, Dalhousie Law School (1997)
- *Director, First Nations Law Program, U.B.C. Law (1996-1998)
- *Chair, First Nations Legal Studies Committee, U.B.C. Law (1996-1998)
- *Admissions Committee U.B.C. Law (1996-1998)
- *Graduate Program Committee, U.B.C. Law School (1996-1998)
- *Provost's Advisory Committee on Multiculturalism, U.B.C. (1996-1998)
- *First Nations House of Learning, Board Member, U.B.C. (1996-1998)
- *Presidential Search for House of Learning Director, U.B.C. (1996-1997)
- *External Reviewer, U.B.C. Faculty of Education (1996-1997)
- *Director, Programme in Lands, Resources & Governance, Osgoode (1994-1996)
- *Chair, Equality Committee, Osgoode Hall (1995-1996)
- *Clinical Education Committee, Osgoode Hall (1994-1996)
- *Special Committee on African-Canadian Equality, Osgoode Hall (1995-1996)
- *Faculty Recruitment Advisory Committee, Osgoode Hall (1995-1996)
- *Academic Policy Committee, Osgoode Hall (1994-1995)
- *President's Committee on Employment Equity, York University (1994-1995)
- *Faculty Search Committee, Humanities/Atkinson College, York U., (1994-1995)

Vita

HERBERT M. KRITZER

September 2008

herbert.kritzer@wmitchell.edu
<http://www.wmitchell.edu/faculty/kritzer/>

Home Addresses:

1412 Como Blvd E.
Saint. Paul, Minnesota 55117
651-312-0264
cell: 651-895-5182

Office Address:

William Mitchell College of Law
875 Summit Avenue
Saint Paul, Minnesota 55104
651-290-6394
fax: 651-290-6414

CURRENT POSITIONS:

Professor of Law
William Mitchell College of Law

Adjunct Professor of Political Science
University of Minnesota

TEACHING INTERESTS:

Law and Politics
Empirical Legal Studies
Legal Profession
Research Methodology (Quantitative and Qualitative)

RESEARCH INTERESTS:

Law and Politics
Civil Justice
Legal Profession

EDUCATION AND PROFESSIONAL TRAINING:

<u>School</u>	<u>Dates</u>	<u>Degree</u>
Faculty Development Grants:		
University of Wisconsin	1999-2000	(Law)
Madison, Wisconsin	1983-84	(Statistics)
NDEA Title IV Fellow:		
University of North Carolina	1971-74	Ph.D.
Chapel Hill, North Carolina		Political Science
Haverford College	1965-69	BA, Magna Cum Laude
Haverford, Pennsylvania		Sociology (Honors)

PREVIOUS PROFESSIONAL EXPERIENCE (continued):

<u>Institution</u>	<u>Position</u>	<u>Dates</u>
Department of Political Science Indiana University	Visiting Assistant Professor	1974-75
Summer Institute, ICPSR University of Michigan	Instructor	1974-77

OTHER CURRENT AND RECENT PROFESSIONAL ACTIVITIES:

Associate Editor, *Journal of Empirical Legal Studies*

Reviewer for the *American Political Science Review*, *Journal of Politics*, *American Journal of Political Science*, *American Politics Research*, *Justice System Journal*, and *Judicature*.

PUBLICATIONS:

Books:

Risk, Reputations, and Rewards: Contingency Fee Legal Practice in the United States (Stanford University Press, 2004).

Legal Advocacy: Lawyers and Nonlawyers at Work (Ann Arbor: University of Michigan Press, 1998).

(Herbert Jacob, Erhard Blankenburg, Herbert M. Kritzer, Doris Marie Provine, and Joseph Sanders) *Courts, Law and Politics in Comparative Perspective* (New Haven: Yale University Press, 1996).

The Justice Broker: Lawyers and Ordinary Civil Litigation (New York: Oxford University Press, 1990).

Let's Make a Deal: Negotiation and Settlement in Ordinary Litigation (Madison: University of Wisconsin Press, 1991). [Co-winner of the 1993, C. Herman Pritchett Award]

Edited Works:

Peter Cane and Herbert M. Kritzer, *The Oxford Handbook of Empirical Legal Studies* (Oxford: Oxford University Press, 2009), in preparation.

Law & Society Review, Volumes 39-42.

Herbert M. Kritzer and Susan S. Silbey (eds.), *In Litigation: Do the Have's Still Come Out Ahead?* (Stanford: Stanford University Press, 2003).

"The American Public's Assessment of the Rehnquist Court," *Judicature* 89 (November-December 2005), 168-176 [<http://ssrn.com/abstract=906341>].

"'Loser Pays' Doesn't," *Legal Affairs* (November/December 2005), pp. 24-25.

(Herbert M. Kritzer and Mark J. Richards) "The Influence of Law in the Supreme Court's Search and Seizure Jurisprudence," *American Politics Research* 33 (January 2005), 33-55.

"Disappearing Trials? A Comparative Perspective," *Journal of Empirical Legal Studies* 1 (2004), 735-754.

"Advocacy and Rhetoric vs. Scholarship and Evidence in the Debate over Contingency Fees: A Reply to Professor Brickman," *Washington University Law Quarterly* 82 (2004), 477-507.

"American Adversarialism" [review essay focusing on Robert Kagan's *Adversarial Legalism*], *Law & Society Review* 38 (2004), 349-383.

"The Impact of Law: A View from North of the Border [A Review Essay focusing on *Consequences: The Impact of Law and its Complexity*, by W.A. Bogart]" *Judicature* 88 (September-October 2004), 38-41.

(Herbert M. Kritzer and Mark J. Richards) "Jurisprudential Regimes and Supreme Court Decision Making: The Lemon Regime and Establishment Clause Cases," *Law & Society Review* 37 (2003), 827-840.

(Mark J. Richards and Herbert M. Kritzer) "Jurisprudential Regimes in Supreme Court Decision Making," *American Political Science Review* 96 (June 2002), pp. 305-320.

"Lawyer Fees and Lawyer Behavior in Litigation: What Does the Empirical Literature Really Say?" *Texas Law Review* 80 (June 2002), pp. 1943-1983.

"The Future Role of 'Law Workers': Rethinking the Forms of Legal Practice and the Scope of Legal Education," *Arizona Law Review* 44 (2002), pp. 917-938.

"Seven Dogged Myths about Contingency Fees?" *Washington University Law Quarterly* 80 (2002), pp. 739-794.

"The Fracturing Legal Profession: The Case of Plaintiffs' Personal Injury Lawyers," *International Journal of the Legal Profession* 8 (2001), pp. 225-250.

"From Litigators of Ordinary Cases to Litigators of Extraordinary Cases: Stratification of the Plaintiffs' Bar in the Twenty-first Century," *DePaul Law Review* 51 (Winter 2001), 219-240.

"Public Perceptions of Civil Trial Verdicts," *Judicature* 85 (September-October 2001), 78-82.

"The Impact of *Bush v. Gore* on Public Perceptions and Knowledge of the Supreme Court," *Judicature* 85

No. 3 (Summer 1997), pp. 21-26.

"Data, Data, Drowning in Data!' Crafting *The Hollow Core*." *Law & Social Inquiry* 21 (Summer 1996), pp. 761-804.

"The Data Puzzle: The Nature of Interpretation in Quantitative Research." *American Journal of Political Science* 40 (February 1996), pp. 1-32

"Interpretation and Validity Assessment in Qualitative Research: The Case of H.W. Perry's *Deciding to Decide*." *Law & Social Inquiry* 19 (Summer 1994), pp. 687-724.

"Lawyers' Fees and the Holy Grail: Where Should Corporations Search Next?" *Judicature* 77 (January-February 1994), pp. 187-190.

(Herbert M. Kritzer, Helen Marks Dicks, and Betsy J. Abramson, "Guardianships in Wisconsin: How Is the System Working?" *Marquette Law Review* 76 (1993), pp. 549-575.

(Herbert M. Kritzer and Frances K. Zemans) "Local Legal Culture and the Control of Litigation." *Law & Society Review* 27 (1993), pp. 535-557.

"The English Rule." *ABA Journal* 78 (November 1992), pp. 54-58

(Lawrence C. Marshall, Herbert M. Kritzer, Frances K. Zemans) "The Use and Impact of Rule 11." *Northwestern Law Review* 86 (Spring, 1992), pp. 943-986.

(Herbert M. Kritzer, Lawrence C. Marshall, and Frances K. Zemans) "Rule 11: Moving Beyond the Cosmic Anecdote." *Judicature* 75 (February-March 1992), pp. 269-272.

(Herbert M. Kritzer, Neil Vidmar, and W.A. Bogart) "To Confront or Not to Confront: Measuring Claiming Rates in Discrimination Grievances." *Law & Society Review* 25 (1991), pp. 875-887.

(Herbert M. Kritzer, W.A. Bogart, and Neil Vidmar) "The Aftermath of Injury: Cultural Factors in Compensation Seeking in Canada and the United States." *Law & Society Review* 25 (1991), pp. 499-543.

"Propensity to Sue in England and the United States: Blaming and Claiming in Tort Cases." *Journal of Law and Society* 18 (1991), pp. 452-479.

"Abel and the Professional Project: The Institutional Analysis of the Legal Profession." *Law & Social Inquiry* 16 (1991), pp. 529-552.

"Substance and Method in the Use of Ratio Variables, or the Spurious Nature of Spurious Correlation?" *Journal of Politics* 52 (February 1990), pp. 243-254.

Processing Time, Disposition Mode, and Cost in the American Arbitration Association and the Courts." *Justice System Journal* 8 (Spring 1983), pp. 6-19.

(David M. Trubek, Austin Sarat, William L. F. Felstiner, Herbert M. Kritzer, and Joel B. Grossman) "The Costs of Ordinary Litigation." *UCLA Law Review* 31 (1983), pp. 72-127.

"The Judge's Role in Pretrial Case Processing: Assessing the Need for Change." *Judicature* 66 (June-July 1982), pp. 28-38.

"Court Reform Through Role Reform: The Role of the Judge as an Instrument of Reform." *Policy Studies Journal* 10 (June 1982), pp. 701-711.

(Joel B. Grossman, Herbert M. Kritzer, Kristin Bumiller, Austin Sarat, Stephen McDougal, and Richard E. Miller), "Dimensions of Institutional Participation: Who Uses the Courts and How?" *Journal of Politics* 44 (February 1982), pp. 86-114.

"Problems in Estimating the Optimal-Cost Prison Size: A Comment." *Law & Society Review* 16 (1981-82), pp. 139-142.

(Herbert M. Kritzer, Richard E. Miller, and William L. F. Felstiner), "Studying Disputes by Survey." *American Behavioral Scientist* 25 (September 1981), pp. 67-74.

"Methods for Studying Disputes: Learning from the CLRP Experience." *Law & Society Review* 15 (1980-81), pp. 503-524.

(Joel B. Grossman, Herbert M. Kritzer, Kristin Bumiller, and Stephen McDougal) "Measuring the Pace of Litigation in Federal and State Trial Courts." *Judicature* 65 (August 1981), pp. 86-113.

"Comparing Partial Rank Order Correlation Coefficients from Contingency Table Data." *Sociological Methods & Research* 8 (May 1980), pp. 420-433.

(Thomas M. Uhlman and Herbert M. Kritzer) "The Presidential Ambition of Democratic Senators: Its Timing and Impact." *Presidential Studies Quarterly* 9 (Summer 1979), pp. 316-328.

(Herbert M. Kritzer and Robert B. Eubank) "Presidential Coattails Revisited: Partisanship and Incumbency Effects." *American Journal of Political Science* 23 (August 1979), pp. 615-626.

"Federal Judges and Their Political Environments: The Influence of Public Opinion." *American Journal of Political Science* 23 (February, 1979), pp. 194-205.

"Approaches to the Analysis of Complex Contingency Tables: A Guide for the Perplexed." *Sociological Methods & Research* 7 (February 1979), pp. 305-329.

(A. Paul Hare, Herbert M. Kritzer, and Herbert H. Blumberg) "Functional Analysis of Persuasive Interaction in a Roleplaying Experiment." *Journal of Social Psychology* 107 (1979), pp. 77-88.

"Sanctions and Deviance: Another Look." *IUSTITA* 3 (1975), pp. 18-28.

(Herbert H. Blumberg, A. Paul Hare, Carolyn Fuller, Charles C. Walker, and Herbert M. Kritzer)
"Evaluation of Training for Nonviolent Direct Action." *Mental Health and Society* 1 (1974), pp. 364-375.

"After Prison: The Thoughts of Resisters." *WIN Magazine* (September 12, 1974), pp. 14-15.

"Nonviolent National Defense: Concepts and Implications." *Peace Research Reviews* 5 (April 1974), pp. 1-57.

(Herbert M. Kritzer, A. Paul Hare and Herbert H. Blumberg) "The General Survey: A Short Measure of Five Personality Dimensions." *Journal of Psychology* 86 (January 1974), pp. 165-172.

"The Military as a Target of Protest." *Gandhi Marg* 17 (January 1973), pp. 58-73.

"NONMET: A Program for the Analysis of Nonmetric Data by Linear Models." *Behavioral Science* 17 (January 1973), pp. 74-75.

"The JCCLIB Statistical Programs." *Behavioral Science* 16 (November 1971), p. 576.

Book Chapters, Encyclopedia Entries, and Published Conference Proceedings:

"Settlement of Claims," forthcoming in Peter Cane and Joanne Conaghan (eds.), *The New Oxford Companion to Law* (Oxford: Oxford University Press, 2008).

"Access to Justice for the Middle Class," pp. 257-268 in W.A. Bogart, Frederick Zemans, and Julia Bass (eds.), *Access to Justice for the New Century: The Way Forward* (Toronto: Law Society of Upper Canada, 2005).

"The Government Gorilla: Why Does Government Come Out Ahead in Appellate Courts?" pp. 342-370 in Herbert M. Kritzer and Susan S. Silbey (eds.), *In Litigation: Do the Have's Still Come Out Ahead?* (Stanford: Stanford University Press, 2003).

"Anticipating the New Institutionalism: The Pioneering Work of Martin Shapiro," pp. 387-417 in Nancy Maveety (ed.), *The Pioneers of Judicial Behavior* (Ann Arbor: University of Michigan Press, 2003).

"Stories from the Field: Collecting Data Outside Over There," pp. 143-159 in June Starr and Mark Goodale (eds.), *Practicing Ethnography in Law: New Dialogues, Enduring Practices* (New York: Palgrave/St. Martin's, 2002).

Adult Guardianships in Wisconsin: An Empirical Assessment. (Madison: Center for Public Representation, 1992).

NONMET II Plus: A Program for the Analysis of Contingency Tables and other Types of Nonmetric Data by Least Squares (Madison: WiscWare, 1988).

(David M. Trubek, Herbert M. Kritzer, Karen Holst, and William L.F. Felstiner) "Costs, Processes, and Outcomes: Lawyers' Attitudes Towards Courts and Other Dispute Processing Options," Report to the National Institute for Dispute Resolution (Madison, Wisconsin: Disputes Processing Research Program, University of Wisconsin Law School, 1984) [Available as a DPRP Working Paper 1984-9].

(David M. Trubek, Joel B. Grossman, William L.F. Felstiner, Herbert M. Kritzer, and Austin Sarat) *Civil Litigation Research Project Final Report* (Madison, Wisconsin: University of Wisconsin Law School, 1983)

NONMET II: A Program for the Analysis of Contingency Tables and other Types of Nonmetric Data by Least Squares (Houston: Social Science Program Library, Rice University, 1976).

"Judicial Response to Protest: The Sentencing of Draft Resisters and Its Impact" (unpublished Ph.D. Dissertation available from University Microfilms, 1974).

Recent Book Reviews:

Thomas Marshall, *Public Opinion and the Rehnquist Court*, review to be published in *Judicature* (2008)

Fred Prichard, *Experts in Civil Cases: An Inside View*, appearing in the *Law and Politics Book Review* (2005).

M.C. Mirow, *Latin American Law: A History of Private Law and Institutions in Spanish America*, review appearing in *The Latin Americanist* 48 (Spring 2005), pp. 133-136.

Jeffrey A. Segal and Harold J. Spaeth, *The Supreme Court and the Attitudinal Model Revisited*, part of a review symposium appearing in the *Law and Courts Newsletter* (Summer 2003), pp. 19-22 (available at <http://www.law.nyu.edu/lawcourts/pubs/newsletter/summer03.pdf>).

Jerry Van Hoy (ed.), *Legal Professions: Work, Structure and Organization*, review appearing in *Law and Politics Book Review* (2002).

Richard Susskind, *Transforming the Law: Essays on Technology, Justice and the Legal Market Place*, review appearing in *Law and Politics Book Review* (2001).

J.A. Jolowicz, *On Civil Procedure* review appearing in *Law and Politics Book Review* (2000).

"Experiencing Litigation in the U.S.," paper presented at International Symposium on Dispute Resolution and Civil Justice in the Legalizing Society, Institute of Law and Social Sciences, Meiji University, Tokyo, Japan, March 1-2, 2008.

"Studying Negotiation by Observation," paper presented at Association of American Law Schools Annual Meeting, New York, January 3-6, 2008.

"To Lawyer, or Not to Lawyer: Is That the Question?" paper presented at W.G. Hart Workshop, Institute for Advanced Legal Studies, London, June 26-28, 2007, at Law and Society Association Annual Meeting, Berlin, Germany, July 25-28, 2007, and at Conference on Empirical Legal Studies, New York University, November 9-10, 2007.

"The Arts of Persuasion in Science and Law: Conflicting Norms in the Courtroom," paper prepared for the 2007 Coronado Conference of the Project on Scientific Knowledge and Public Policy, May 3-4, Bretton Woods, New Hampshire.

(with Darryn Beckstrom) "*Daubert* in the States," paper presented at Empirical Legal Studies Conference, Austin, Texas, October 27-28, 2006.

"Defending Torts: What Should We Know?" paper presented at conference on Tort Law and the Modern State, Columbia Law School, September 15-16, 2006.

"*Daubert* in the Law Office: Routinizing Procedural Change," paper presented at Annual Meeting of Law and Society Association, Baltimore, Maryland, July 6-9, 2006.

"Law Is the Mere Continuation of Politics by Different Means': American Judicial Selection in the 21st Century," paper presented at the Clifford Symposium, DePaul Law School, April 20-21, 2006.

"The Commodification of Insurance Defense Practice," revised paper presented at Empirical Legal Studies Symposium, Vanderbilt Law School, February 17, 2006. Portions also presented at conference on The Plaintiffs' Bar, New York Law School, March 31-April 1, 2006.

"The Commodification of Insurance Defense Practice," paper presented at the annual meeting of the Law & Society Association, Las Vegas, Nevada, June 2-5, 2005, and at the W G Hart Workshop, Institute for Advanced Legal Studies, London, England, June 28-29, 2005.

"Disappearing Trials? A Comparative Perspective," paper presented at the Symposium on the Vanishing Trial, San Francisco, California, December 12-14, 2003.

"Access to Justice for the Middle Class," paper presented at Symposium on Access to Justice for the New Century, Toronto, Ontario, May 28-29, 2003.

"A Good Reputation *Is* Money for the Contingency Fee Practitioner," Paper presented at the annual meeting of the Law & Society Association, Pittsburgh, Pennsylvania, June 5-8, 2003.

CONSULTANCIES

Consultant to the American Association for Justice, preparation of a critique of *Jackpot Justice*, November 2007-February 2008.

Consultant to the State Bar of Wisconsin's Access to Justice Study Committee, 2005-06.

Expert witness retained by Wiener & Gould, P.C. (Rochester, Michigan), in connection with a lawsuit concerning fees for consulting services regarding Medicare reimbursement, 2004-05.

Association of Trial Lawyers of America, survey of plaintiffs' practitioners, 2003-05.

World Bank, quality assessment of docket profiling study, Dominican Republic, 2001.

Herbert Smith (London solicitors), consultant on possible cross-national study of commercial litigation, 2001

World Bank, docket profiling study, Argentina, 2000.

Dinsmore and Shohl (law firm), Cincinnati, Ohio, in connection with health monitoring law suit in West Virginia (propensity to sue), 2000-01.

Colorado Trial Lawyers Association (litigation patterns related to challenges to damage cap litigation), 1999-2000.

World Bank, use of public opinion surveys for institutional evaluation, 1999-2000.

Consultant in connection of attorney fee arbitrations in tobacco litigation settlements, 1998.

Consultant to a group of Wisconsin lawyers regarding proposed 30-day restriction on direct mail solicitation of potential clients, 1997.

Wisconsin Education Association Council (legal fees in class action settlement of pension case), 1997.

Wisconsin Supreme Court (State Justice Institute funded study of "consumer satisfaction" with Wisconsin courts), 1995-97.

Dow Chemical Company (propensity to sue issues in Dow Corning bankruptcy proceedings), 1996

American Judicature Society (punitive damages study), 1995-6

Consumer Lawyers of California (contingent fee issues regarding ballot referendum), 1995-96

JENNIFER M. GREEN

Center for Constitutional Rights
666 Broadway, 7th floor
New York, NY 10012
(212) 614-6431

273 East Seventh Street #1A
New York, NY 10009
tel: (917) 697-8233
email: jennie.green@mail.law.cuny.edu

EDUCATION

HARVARD LAW SCHOOL, J.D., June 1991.

Awards: Yale Law School Orville Schell Center for International Human Rights Fellowship, Mark DeWolfe Howe Fellowship.

Journal: Editor, *Harvard Human Rights Journal*.

UNIVERSITY OF WISCONSIN-MADISON, B.A. in Political Science, International Relations, and Women's Studies with honors, May 1984. *Awards:* Elected to Phi Kappa Phi, Mortar Board, Sigma Delta Pi, Phi Eta Sigma honor societies for leadership, public service and academic achievement, and to the Dean's list for five semesters.

POST LAW-SCHOOL EMPLOYMENT

INTERNATIONAL WOMEN'S HUMAN RIGHTS LAW CLINIC,
CITY UNIVERSITY OF NEW YORK SCHOOL OF LAW

January - May 2008
August 2008 - present

Adjunct Professor and Staff Attorney. Taught clinical seminar on international law, international human rights enforcement, human rights litigation and advocacy before U.S. courts and international bodies, and supervised clinical projects on advocacy before United Nations treaty bodies and the Inter-American Commission on Human Rights; assisted with U.S. cases under the Alien Tort Statute and related statutes.

CENTER FOR CONSTITUTIONAL RIGHTS
New York, NY

September 1991 - present

Senior Attorney (2003-present); Staff Attorney (July 1995 - 2003), Cooperating Attorney (September 1992 - June 1995), International Human Rights Fellow (September 1991 - August 1992). Responsible for international law docket: litigate international human rights claims before the United States courts and intergovernmental bodies; make public presentations, write and edit CCR publications, and do media work and fundraising.

CLINICAL PROJECT SUPERVISOR, HUMAN RIGHTS PROGRAM,
HARVARD LAW SCHOOL
Cambridge, MA

September - December 2006

Supervised team of three students on research and draft of *amicus curiae* brief for appeal to the U.S. Court of Appeals for the Second Circuit in *Kiobel v. Royal Dutch*. Subjects were the justiciability of the norms prohibiting freedom of association and the right to life, forced exile, and arbitrary arrest and detention.

UNITED STATES CATHOLIC CONFERENCE and the CARNEGIE ENDOWMENT FOR INTERNATIONAL PEACE

Washington, D.C.

November 1987 - January 1988

Researched and edited reports on United States refugee asylum policy and legalization program for undocumented non-citizens.

UNITED STATES CATHOLIC CONFERENCE MIGRATION AND REFUGEE SERVICES

Washington, D.C.

October 1985 - January 1987

Wrote advocacy papers for local offices to change United States refugee and immigration policy. Organized public education campaigns on refugee and immigration issues. Drafted presentations and wrote articles for monthly newsletter.

INTERGOVERNMENTAL COMMITTEE FOR MIGRATION

Manila, Philippines

January - August 1987

Promoted economic development program with nongovernmental organizations and government officials. Wrote analyses of international refugee and migration issues. Assisted refugees in their movement to the United States for resettlement.

UNITED STATES REPRESENTATIVE HOWARD WOLPE

Washington, D.C.

Summer 1985

Conducted legislative research on foreign and domestic policy issues. Drafted legislative correspondence and assisted constituents with problems.

AMNESTY INTERNATIONAL USA

Washington, D.C.

September 1984 - June 1985

Drafted supporting documents for political asylum applicants to the United States. Lobbied Congress, the Executive branch and foreign embassies on human rights issues.

MAJOR LITIGATION AND OTHER HUMAN RIGHTS ADVOCACY (Selected)

Wiwa, et al v. Royal Dutch Petroleum, Civ. No. 96-8386 (KBW) (S.D.N.Y., filed November 8, 1996); **Wiwa et al v. Anderson**, Civ. No. 01-1909 (filed March 7, 2001); **Wiwa v. Shell Petroleum Development Company** (filed 2004): Counsel for Nigerian activists executed in Nigeria in November 1995, as well as activists shot while peacefully protesting Shell bulldozing of her land. On September 14, 2000, Second Circuit decided that it had personal jurisdiction over Royal Dutch and reversed dismissal of claims on forum non conveniens grounds. In 2001, plaintiffs served a complaint on Brian Anderson, the former head of the Nigerian subsidiary Shell Petroleum Development Company (SPDC), for his role in the human rights violations against plaintiffs. Defended client depositions. In 2003 amended in additional plaintiffs. Case against parent corporation and Brian Anderson set for trial to begin February 9, 2009. In 2004, plaintiffs filed a complaint against SPDC after learning, through discovery, of business activities in the United States. Briefed opposition to SPDC motion to dismiss and appeal to U.S. Court of Appeals for the Second Circuit. Argument expected in the Spring of 2009. Also worked on *amicus curiae* briefs in appeal in related case, *Kiobel v. Royal Dutch*, scheduled for argument on January 12, 2009.

Advocacy with Nicaraguan women's groups to the United Nations Human Rights Committee and Committee on Economic, Social and Cultural Rights. Supervisor of International Women's Human Rights Clinic project, Spring 2008, Fall 2008; traveled to Nicaragua with IWHR student to meet with partners in Nicaragua, worked with students to develop successful advocacy strategies in UN committees; currently working on other strategies for advocacy. (UN work featured in New York Law Journal, December 12, 2008)

Abebe-Jiri, et al., v. Negewo, 90-2010, slip op. (N.D. Ga. Aug. 20, 1993), **affirmed on appeal**, 72 F.3d 844 (11th Cir. 1996), **cert. den.** 117 S. Ct. 96 (1996): Counsel for three Ethiopian women tortured by regional police official in Ethiopia. After trial, won \$1.5 million judgment. Upheld on appeal.

Todd v. Panjaitan, No. 92-12255 1994 WL 827111 (D. Mass., Oct. 26, 1994): Counsel. Assisted with research and drafting of complaint for mother of a young man killed in a massacre in East Timor: suit was against one of the Indonesian generals responsible. Court awarded default judgment of \$14 million.

Trajano v. Marcos (In re Estate of Ferdinand E. Marcos Human Rights Litigation), 978 F.2d 493 (9th Cir. 1992), **cert. denied**, 113 S. Ct. 2960 (1993) (Estate I): Researched and drafted *amicus curiae* brief in lawsuit for human rights abuses against daughter of former Philippine dictator.

Xuncax v. Gramajo, 886 F. Supp. 162 (D. Mass. 1995): Researched and drafted motions for default judgment in lawsuits against Guatemalan general responsible for massive human rights abuses. Plaintiffs' motions for default judgments granted in both cases for a total of \$47 million.

Filipina "Comfort Women" v. Japan, United Nations action, filed Oct. 26, 1993: Researched and drafted 1503 petition on behalf of Filipina survivors of the Japanese military's sexual enslavement of women during World War II.

McNary, et al., v. Haitian Centers Council, Inc., et al., U.S. Supreme Court, October term 1992: Drafted and edited *amicus curiae* brief for U.S. Supreme Court case challenging U.S. policy interdicting Haitian refugees at sea and returning them to Haiti without hearing asylum claims. Brief prepared for the Association of the Bar of the City of New York.

Khader v. U.S., United Nations actions: Advocate for man whose wife and four daughters were killed in a civilian bomb shelter in Baghdad during the 1991 Gulf War. Researched and drafted 1503 Petition, accompanied Professor Khader to 1992 United Nations Commission on Human Rights, assisted with claim to the United Nations Compensation Commission.

PUBLICATIONS

INTERNATIONAL LITIGATION IN UNITED STATES COURTS (2d Ed.) (with Beth Stephens, Judith Chomsky, Paul Hoffman, and Michael Ratner) (2008)

Litigating International Human Rights Claims of Sexual Violence in the United States Courts: A Brief Overview of Cases Brought Under the Alien Tort Statute and Torture Victim Protection Act, in VIOLENCE AND GENDER IN THE GLOBALIZED WORLD (2008)

Essay, Holding Human Rights Violators Accountable by Using International Law in U.S. Courts: Advocacy Efforts and Complementary Strategies, 19 EMORY INT'L L. REV. 169 (2005) (with Sandra Coliver and Paul Hoffman)

Against the War in Iraq (with Michael Ratner) (2002)

Litigation Update (with Paul Hoffman), ACLU INT'L CIVIL LIBERTIES REP. (annual: 1998-2003)

PRESENTATIONS (Selected)

- University of Wisconsin - Milwaukee, Prosecuting International Human Rights Abuses
December 2, 2008
- Cornell University School of Law, Labor Rights and International Human Rights Violations
Webinar, October 2008
- Harvard Law School Public Interest Reunion Plenary speaker
Cambridge, MA Spring 2008
- Northwestern University School of Law Alien Tort Statute Continuing Education class
Chicago, IL, February 2008
- Harvard Law School, Litigation as a Human Rights Strategy: The Case of Doe v. Unocal
Cambridge, MA, November 5, 2007
- Fordham Law School, Business and Human Rights: The Alien Tort Statute
New York, NY October 2007
- World Conference on Japanese Military Sexual Slavery, Legal Symposium on Possible Strategies
Los Angeles, CA, October 6, 2007
- Columbia Law School, Business and Human Rights: Current Questions Under the Alien Tort Statute
New York, NY, March 2007
- Hastings Law School, ATS Continuing Legal Education Course (Organizer, Moderator and Lecturer)
San Francisco, CA, December 2006
- Columbia Law School, The Alien Tort Statute, Continuing Legal Education Course (Organizer, Lecturer),
New York, NY February 10, 2006
- Columbia Law School, Commemoration of the Tenth Anniversary of the Execution of the Ogoni Nine in Nigeria
New York, NY November 9, 2005
- Northeastern University Law School, International Human Rights and the War on Terror
Boston, MA October 2005
- Cardozo Law School, Guest Lecturer on Alien Tort Statute Practice
New York, NY 2004-2008
- Congressional Briefing, The Alien Tort Statute: The Implications of Sosa v. Alvarez-Machain
Washington, D.C. July 2004
- Columbia Law School Human Rights Institute, Lectures on Human Rights Litigation in U.S. Courts and
Security Issues for Clients, New York, NY, January 1999, January, 2000, October, 2000, and March 2001
- American Society of International Law, Five Years After Beijing: A Report Card on Women's Rights
Washington, D.C., April, 8, 2000
- Harvard Law School, Fifteenth Anniversary of Human Rights Program at Harvard Law School,
Cambridge, MA, September, 1999
- Yale Law School Orville Schell Center for International Human Rights, Human Rights and Democracy
in Burma, New Haven, CT, December 3, 1998
- American Branch of the International Law Association, International Law Weekend '98,
New York, NY, November 14, 1998 ("Stripped of Immunity: The Latest News on Sovereign,
Diplomatic, and Head of State Immunity")
- University of Toronto Faculty of Law, Linking the Domestic and the International: Human
Rights into the 21st Century, Toronto, Canada, October 3, 1998 ("Advocacy Across Borders: Transnational
Litigation and Human Rights")
- Northeastern University School of Law, Bringing International Human Rights Home, Boston, MA,
July 10, 1998
- InterRights (Senegal) and Foundation for Human Rights Initiative (Kampala, Uganda), Regional
Workshop on Constitutional and Public Interest Law in East Africa, Entebbe, Uganda, June 16-18, 1998
("Litigation-based strategies, expectations and outcomes")

REFERENCES

Rhonda Copelon, Director, International Women's Human Rights Law Clinic and Professor of Law
City University of New York School of Law, 718-340-4329

Tiffany McKinney Gardner, Legal and Katrina Program Director, National Economic and Social Rights Initiative
New York, NY, 212-253-1771
(former intern at the Center for Constitutional Rights)

Tyler Giannini, Clinical Director, Human Rights Program, Harvard Law School
Cambridge, MA, 617-496-7368

Paul Hoffman, Schonbrun, De Simone, Seplow, Harris & Hoffman,
Venice, CA, 310-396-0731

Professor Beth Stephens, Esq., Cooperating Attorney, Center for Constitutional Rights
Professor of Law, Rutgers School of Law, Camden, NJ, 856-225-6384

Additional references available upon request.

UNIVERSITY OF MINNESOTA

Twin Cities Campus

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July 20, 2009

Gordy Aamoth
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Gordy,

On behalf of the University of Minnesota Law School, I would like to offer once again my deepest gratitude for the Robina Foundation's generous support. One of the many excellent programs made possible by your gift is the Robina Fellowship Program, which provides living expenses and a stipend for University of Minnesota law students engaging in public policy-focused internships. This year, nineteen law students were awarded Robina Public Policy and Human Rights Fellowships. There is no more effective way to inspire law students to undertake a career or avocation in public service than to give them a taste of public policy and/or human rights work. Also, such practical experiences give students the contacts and first-hand knowledge so important for career and public service opportunities. The recipients of these awards are as grateful to you as we are, and their thank you letters, enclosed with this note, give a sense of the impressive diversity of their summer internship experiences.

Our Robina Public Policy Fellows are undertaking a variety of exciting projects focusing on the legal aspects of public policy. I have listed below our Policy Fellows and their organizations of placement.

Jessica Arck

American Civil Liberties Union – Minnesota
St. Paul, Minnesota

Peter Christian

Minnesota Disability Law Center
Minneapolis, Minnesota

Mollie Gurian

American Association of Retired Persons (AARP) Foundation Litigation
Washington, DC

Mia Hunt

Minnesota Coalition Against Sexual Assault
Saint Paul, Minnesota

Catherine London

Children's Law Center of Minnesota
St. Paul, Minnesota

Crystal Shaw

Minnesota Center for Environmental Advocacy (MCEA)
St. Paul, Minnesota

Lindsay Smith

Farmer's Legal Action Group (FLAG)
Saint Paul, Minnesota

The Robina Human Rights Fellowship awards go to law students working on public policy issues related to human rights in both the domestic and international context. The Robina Human Rights Fellows are:

Zainab Akbar

Neighborhood Defenders Service of Harlem
New York, New York

Mike Brehm

Midwest Coalition for Human Rights
Minneapolis, Minnesota

Sean Burke

Homeless Advocacy Project/UNITY Homeless Coalition
New Orleans, Louisiana

Alisha Hilde

Empowerment Society International
Duayee, Liberia

Nick Manthey

DECIDE Corporación de Estudios
Quito, Ecuador

Timothy Meyer

Center for Victims of Torture
Minneapolis, Minnesota

Monica Miller

International Criminal Tribunal for the Former Yugoslavia (ICTY)
The Hague, Netherlands

Graham Ojala-Barbour

Immigrant Law Center of Minnesota
Minneapolis, Minnesota

Taylor Pierce

Center for Public Interest Law (CEPIL)
Accra, Ghana

Jordan Shepherd

Refugee Advocacy and Support Program (RASP)
Istanbul, Turkey

Tyler Simmons

Malawi Human Rights Commission
Lilongwe, Malawi

Elizabeth Super

Transitional Justice Institute
Belfast, Northern Ireland

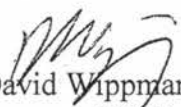
Jennifer Swedberg

United Nations Voluntary Trust Fund for Victims of Contemporary Forms of Slavery
Minneapolis, Minnesota, and Geneva, Switzerland

I hope the enclosed thank you letters make clear the transformative impact that the Robina Foundation's generosity is having, not only in building the careers of future lawyers and policymakers, but also through the meaningful work they carry out during their Internships and Fellowships.

If you have any further questions about the fellowship program, please do not hesitate to contact me.

Sincerely,


David Wippman
Dean and William S. Pattee Professor of Law

Enclosures

jj

cc: David Weissbrodt
Regents Professor and Fredrikson & Byron Professor of Law
Co-Director, Human Rights Center

Erin Keyes
Assistant Dean of Students

ROBINA REPORT
July 2009

	BUDGET FY 2010	Actual Expenditure to Date (6/30/2009)	Research Topic
CHAIRS			
John Borrows: Robina Funded Chair on Law and Public Policy	300,000	0	
Bert Kritzer: Research Chair in Law, Public Policy and Society	291,000	0	Expenditures planned during Academic year 8/17/2009-5/16/2010
Jenny Green: Robina Funded Clinical Chair in Law, Public Policy and Society	145,000	0	Expenditures planned during Academic year 8/17/2009-5/16/2010
SUBTOTAL	736,000	0	
RESEARCH FUND			
Susan Wolf	88,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
			Cutting Edge Issues in Reprogonomics Empirical Studies of International Law: Challenges that Developing Countries Face in Using the World Trade Organization (WTO)
Greg Shaffer	17,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
			Legal System
Michael Tonry (Richard Frase, Kevin Reitz, Barry Feld, Fionnuala NiAolain)	75,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
Fionnuala NiAolain (David Weissbrodt, Oren Gross)	100,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
			Comparative Studies of Judicial and Prosecution Systems
			Transitional Justice
			Effects of Neighborhood and School
			Characteristics on Incarceration Rates in Minneapolis, Especially People of Color
			Applying International Human Rights Law to Asylum Cases in the United States
M Orfield (Kevin Rietz)	100,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
Steve Meili	17,000	0	Anticipate expenses in FY 2010 which began 7/1/2009
SUBTOTAL	397,000	0	
CAPSTONE COURSES	92,000	0	Expenditures planned during Academic year 8/17/2009-5/16/2010
PUBLIC POLICY INTERNSHIPS			
Erin Keyes	35,000	34,000	See attached sheet for detail information
David Weissbrodt	35,000	34,649	See attached sheet for detail information
SUBTOTAL	70,000	68,649	Anticipate all \$70,000 will be used
CONFERENCES			
Susan Wolf (Law and Science 10th Anniversary)	29,000	29,000	See attached sheet for detail information (Conference held March 5-6, 2009)
Michele Goodwin (Human Trafficking)	25,000	0	Conference is scheduled for Spring 2010
Michael Tonry (Comparative Study of Prosecution Systems)	25,000	0	Conference is scheduled for October 2009
SUBTOTAL	79,000	29,000	
OTHER INITIATIVES			
Post JD Fellowships	125,000	0	This activity will begin in late Fall 2009
SUBTOTAL	125,000	0	
ANNUAL TOTAL	1,499,000	97,649	
ANNUAL TARGET			
Annual Commitment Unspent/Overspent	1,400,000		
	-99,000		

Celebrating the Tenth Anniversary of the Consortium on Law and Values in Health, Environment and the Life Sciences
1701-10811-20116 Fin EEID 2110928

Budget \$29,000

The Anniversary event was held March 5-6, 2009

Expenditures	Supported by the Robina Award	Supported by Other Sources ¹
Professional Services		
<i>Design Services</i>		818
<i>Honoraria</i>		35,000
<i>Photography Services/Video Services</i>		1,326
General Supplies		
<i>Food and Provisions</i>		11,139
<i>Office Supplies</i>	60	100
<i>Parking</i>		1,752
General Services		
<i>AV/Photo/Art Services</i>	3,156	2,655
<i>Fees</i>		1,560
Printing/Duplicating		
<i>Printing/Duplicating</i>		9,413
Courier and Mailing		
<i>Addressing & Mailing</i>		3,431
Fed. Nonreim. Exp.		
<i>Entertainment</i>		720
Lecture/Speaker Fees	25,000	
Travel--Non Employee	784	17,514
Short Term Rents/Leases		1,510
St-Term Rts/Leases-Bldg/Facilities		640
SUBTOTAL EXPENSES	29,000	87,578

1

President's Initiative	22,465
Provostial Funds	29,000
Consortium Operating Funds	28,940
Conference Fee	7,173
	87,578

Agency	Robina Support	Other/Additional Support ¹	TOTAL
Association for the Advancement of Retired People, Washington DC	5,000		5,000
Disability Law Center (DLC)	5,000		5,000
Children's Law Center (CLC)	5,000		5,000
MN Coalition for Environmental Advocacy	5,000		5,000
Farmers Legal Action Group (FLAG)	5,000		5,000
American Civil Liberties Union	5,000		5,000
MN Coalition Against Sexual Assault (MN CASA)	4,000		4,000
Neighborhood Defenders Service of Harlem (U.S. - New York)	1,000	3,250	4,250
ACLU (LGBT & AIDS Project) (U.S. - Washington, D.C.)		3,800	3,800
ADHA (Senegal)		2,750	2,750
Advocates for Human Rights (U.S. - Minnesota)		3,000	3,000
Alaska Public Defender Agency (U.S. - Alaska)		2,040	2,040
Alliance for Children's Rights (U.S. - California)		4,350	4,350
Bridges Across Borders (Thailand)		4,160	4,160
Center for Public Interest Law (Ghana)	2,500	2,000	4,500
Center for Victims of Torture (U.S. - Minnesota)	2,500	500	3,000
Center for Victims of Torture (U.S. - Minnesota)		3,000	3,000
Committee on the Administration of Justice (Northern Ireland)		4,325	4,325
Decide Studies Corporation (Ecuador)	3,189	0	3,189
Empowerment Society International (Liberia)	4,500	0	4,500
Friends Committee on National Legislation (U.S. - Washington, D.C.)		3,140	3,140
Friends of Ngong Road (Kenya)		4,100	4,100
Great River Interfaith Partner (U.S. - Minnesota)		1,035	1,035
Horn Relief (Kenya)		4,000	4,000
Immigrant Law Center of Minnesota (U.S. - Minnesota)	2,300	700	3,000
International Criminal Tribunal for the Fmr Yugoslavia (The Netherlands)	1,390	3,110	4,500
International Federation for Spina Bifida & Hydrocephalus (Belgium)		4,500	4,500
IOM Mission to Tajikistan (Tajikistan)		4,000	4,000
John Perkins Foundation for Reconciliation (U.S. - Mississippi)		1,500	1,500
Kallari Association (Ecuador)		3,650	3,650
Karenni Development Research Group (Thailand)		2,046	2,046
Karenni Development Research Group (Thailand)		809	809
Malawi Human Rights Commission (Malawi)	1,000	2,300	3,300
Mexican Health Organization (Mexico)		3,500	3,500
Mexico City Human Rights Commission (Mexico)		3,000	3,000
Midwest Coalition for Human Rights (U.S. - Minnesota)	3,000	0	3,000
National Immigrant Justice Center (U.S. - Illinois)		2,500	2,500
OutFront Minnesota (U.S. - Minnesota)		3,150	3,150
Pax Christi International (Belgium)		3,950	3,950
Refugee Advocacy and Support Program (Turkey)	4,320	0	4,320
Salitan (The Philippines)		3,000	3,000
Southeast Louisiana Legal Services (U.S. - Louisiana)	3,450	100	3,550
Southern MN Regional Legal Service (U.S. - Minnesota)		600	600
Transitional Justice Institute (Northern Ireland)	2,500	2,084	4,584
UMN Human Rights Center (U.S. - Minnesota)		400	400
UN Anti-Slavery Trust Fund (U.S. - Minnesota)	3,000	0	3,000
Womankind Kenya (Kenya)		4,500	4,500
TOTAL	68,649	94,849	163,498

¹ Other support from the Bremer Foundation, and from Human Rights Fellowship funds at University of Minnesota Foundation

Nancy Gilberg

From: H. Peter Karoff [pkaroff@TPI.ORG]
Sent: Saturday, August 08, 2009 12:50 PM
To: Thomas Crosby; schroeder@medicine.ucsf.edu; gaamoth@msn.com; lois.quam@tysvar.com
Cc: ngilberg@robinafoundation.org
Subject: FW: NEA & Rocco Landesman

From: H. Peter Karoff
Sent: Saturday, August 08, 2009 10:29 AM
To: 'ngilberg@robinafoundation.org'
Subject: NEA & Rocco

Nancy - please distribute to the board

Wonderful NYT piece today - 8/8 - on Rocco's plans for the NEA - an organization that over the years I have had lots of contact with - and I would like to propose that Robina make an unrestricted gift to the NEA to enable Rocco to seed some of his creative and entrepreneurial ideas, many of which I think Jim Binger would be enthused about. Perhaps \$250,000 would be a good number.

See you all in a couple of weeks -

Peter

The New York Times

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A story
about two
strangers.



August 8, 2009

New Endowment Chairman Sees Arts as Economic Engine

By ROBIN POGREBIN

Now that the Broadway producer Rocco Landesman is officially chairman of the National Endowment for the Arts — he was confirmed on Friday — his straight-talking style, Missouri roots and affinity for baseball and country music are expected to give him a leg up with many legislators.

But in his first sit-down interview since his nomination by President Obama, Mr. Landesman's comments suggested that he may nevertheless raise hackles on Capitol Hill after he is sworn in in the next few days. Speaking recently in his office above the St. James Theater on West 44th Street, where Tony Awards abut baseball trophies — testament to his prowess as a producer and as a pitcher in the Broadway Show League — Mr. Landesman, 62, made clear that he has little patience for the disdain with which some politicians still seem to view the endowment, more than a decade after the culture wars that nearly destroyed it.

He was particularly angered, he said, by parts of the debate over whether to include \$50 million for the agency in the federal stimulus bill, citing the comment by Mitt Romney, former governor of Massachusetts, on CNBC's "Squawk Box" in February, that arts money did not belong in the bill. That kind of thinking suggests that "artists don't have kids to send to college," Mr. Landesman said, "or food to put on the table, or medical bills to pay."

In American politics generally, he added: "The arts are a little bit of a target. The subtext is that it is elitist, left wing, maybe even a little gay."

And while he praised the way recent endowment chairmen have carefully rebuilt the agency's political standing, Mr. Landesman — who is known more as an independent entrepreneur than as a diplomatic company man — said he was not planning to follow too closely in their footsteps. While Dana Gioia, his immediate predecessor, made a point of



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FUTURE BOARD MEETING DATES
2009

DATE	TIME
February 16-17, 2009 (Monday and Tuesday) Winter Board Meeting (Human Rights Discussion)	La Jolla, CA – La Valencia Hotel
May 18, 2009 (Monday) Conference Call	9:00 a.m. to 11 a.m. (Central Daylight Savings Time)
August 24-26, 2009 (Monday, Tuesday, Wednesday) Annual Meeting	Minneapolis, MN
November 16, 2009 (Monday) Conference Call	9:00 a.m. to 11 a.m. (Central Standard Time)

2010

DATE	PLACE/TIME
February 22-24, 2010 (Mon, Tues, Wed)	Yale University – Lodge at The Study

Nancy Gilberg

From: Gordon Aamoth [gaamoth@robinafoundation.org]
Sent: Tuesday, May 26, 2009 2:03 PM
To: tcrosby@tcrosbylaw.com; pkaroff@tpi.org; steve.schroeder@ucsf.edu;
lois.quam@tysvar.com
Cc: ngilberg@robinafoundation.org
Subject: Robina winter meeting

BOD:

I have confirmed dates for our winter meeting at Yale. The Robina new play, "Compulsion", we will see on Tues., Feb.23,2010. This means we will arrive in time for a business dinner on Mon., Feb.22, have a full day of meetings on Tues. followed by dinner and the play, and have a half day of meetings Wed. morning and adjourn at noon on Wed., Feb.25, 2010.

Gordon

Calendar for year 2010 (United States)

January

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May

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July

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August

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October

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December

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Holidays and Observances:

Jan 1 New Year's Day
 Jan 18 Martin Luther King Day
 Feb 14 Valentine's Day
 Feb 15 Washington's Birthday
 Apr 4 Easter Sunday
 May 15 Armed Forces Day
 May 31 Memorial Day

Jul 4 Independence Day
 Jul 5 'Independence Day' observed
 Sep 6 Labor Day
 Oct 11 Columbus Day (Most regions)
 Oct 31 Halloween
 Nov 2 Election Day
 Nov 11 Veterans Day

Nov 25 Thanksgiving Day
 Dec 24 'Christmas Day' observed
 Dec 24 Christmas Eve
 Dec 25 Christmas Day
 Dec 31 'New Year's Day' observed

YALE UNIVERSITY
P.O. BOX 208365
NEW HAVEN CONNECTICUT 06520-8365
(203) 432-4444

THE PROVOST

July 6, 2009

Mr. Gordon Aamoth, President and CEO
The Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402-2226

Dear Gordon,

Many thanks for making the time to meet with me at the Minneapolis Club during my recent visit to the Twin Cities. It was a great pleasure to have the opportunity to speak with you and Tom Crosby at length about Yale's current successes and challenges, and to provide an update on the progress that has been enabled by the Robina Foundation's generosity. Both the Center for New Theatre at the School of Drama and the Human Rights Fellowship Initiative at the Law School are seminal projects to advance Yale's mission of excellence, and we are most fortunate to have the foundation's leadership support.

I was particularly grateful to have the benefit of your advice on enhancing the already strong partnership between Robina and Yale. I was pleased to hear of the foundation's continued strong interest in human rights, and I found the discussion regarding collaboration between Robina's beneficiary institutions enlightening. We will most certainly look forward to your further guidance on the subject of future partnership opportunities and how best to bring new initiatives to your attention.

I very much look forward to your visit to New Haven next February; it will be a pleasure to personally welcome you to campus, and I know I speak for my colleagues around the University in saying what a privilege it will be for us to offer our gratitude in person to the members of the Robina Foundation board. Until then, I send my thanks once again for a wonderful visit, and my very best wishes for a pleasant summer.

With warmest regards,



Peter Salovey

Provost

Chris Argyris Professor of Psychology



YALE UNIVERSITY

P.O. BOX 2038, NEW HAVEN, CT 06521-2038 PHONE 203.432.2206 FAX 203.432.4648
contribution.processing@yale.edu www.yale.edu/give

YALE >> tomorrow

Robina Foundation
4900 IDS Center
80 S 8th St
Minneapolis, MN 55402-2226

Thank you for your payment on your gift intention. Your support is critical to sustaining excellence at Yale. For your convenience, we have confirmed the status of your gift intention below. Please retain this receipt for income tax purposes.

Sincerely,

Inge Reichenbach
Vice President for Development

GIFT INTENTION PAYMENT ACKNOWLEDGEMENT

DATE: 06/11/09

TOTAL AMOUNT OF GIFT INTENTION: \$3,000,000.00

DESIGNATION: Robina Foundation Human Rights Fellowship Initiative

CONTRIBUTION SCHEDULE:

12/31/10	\$1,000,000.00
12/31/09	\$1,000,000.00
12/31/08	\$1,000,000.00

CURRENT CONTRIBUTION:

06/11/09	\$1,000,000.00
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PREVIOUS CONTRIBUTIONS FOR THIS GIFT INTENTION:

06/02/08	\$1,000,000.00
----------	----------------

DONOR ID: C215301

Please let us know if the details differ from your intention by contacting:

Yale University Contribution Processing

Call: 203.432.2206 E-mail: contribution.processing@yale.edu

No goods or services were provided in consideration of this gift. Please retain this receipt for income tax purposes.

COUNCIL *on* FOREIGN RELATIONS

58 East 68th Street, New York, New York 10065
tel 212.434.9400 fax 212.434.9800 www.cfr.org

*Annual
Report 2009*
*April 2008 -
June 2009*

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July 30, 2009

Dr. Gordon Aamoth

President

Robina Foundation

80 South 8th Street

Suite 4900

Minneapolis, MN 55402

Dear Gordon:

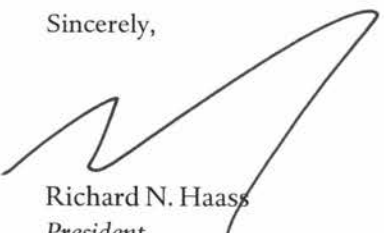
I am pleased to submit the annual progress report to the Robina Foundation, which supports the Council on Foreign Relations (CFR) International Institutions and Global Governance program. The reporting period for this grant is April 30, 2008–June 30, 2009. During the reporting period, the grant supported meetings, publications, and outreach as outlined in CFR's January 14, 2008, proposal. The work is under the direction of CFR Senior Fellow Stewart Patrick.

CFR's International Institutions and Global Governance (IIGG) program aims to discern the institutional requirements for effective multilateral cooperation in the twenty-first century, by focusing both on frameworks to address specific global challenges and on reforms needed to major international organizations. In fulfilling this mandate, the program draws on multiple CFR fellows, engages influential U.S. government officials, and consults with other interested parties both at home and abroad.

The IIGG program gives CFR a unique niche within the foreign policy community—making it a focal point for creative thinking about the state of today's multilateral institutions, and a source of sensible recommendations for better managing globalization's downside. One of the program's centerpiece projects this year was the launch of the Global Governance Monitor, a multimedia initiative designed to map and evaluate multilateral efforts on pressing global challenges.

We are grateful for the support of the Robina Foundation for this program. Please contact me or Stewart if you have any questions or if you need additional information about this project report. Stewart can be reached at 202-509-8482, or spatrick@cfr.org

Sincerely,



Richard N. Haass
President

tel 212.434.9540 fax 212.434.9880
president@cfr.org

COUNCIL ON FOREIGN RELATIONS

Financial Statement

Robina Foundation

April 30, 2008 - June 30, 2009

Year one award	\$2,000,000
Balance as of June 30, 2009 to be applied to year two activities	\$230,077

	<u>Year One Budget</u>	<u>Actual Expenses (4.30.08-6.30.09)</u>
Core Staff	\$535,600	\$409,465
Senior Fellows/Studies Staff	\$558,600	\$438,126
Meetings	\$87,900	\$156,560
Research Travel	\$60,000	\$71,900
Publications	\$17,500	\$52,057
Multi-media	\$40,000	\$35,209
Professional Services	\$19,000	\$28,911
Research Materials	\$6,900	\$1,922
Administrative	\$63,000	\$56,676
Outreach	\$210,000	\$255,997
Project Management	\$258,300	\$263,100
Total	<u>\$1,856,800</u>	<u>\$1,769,923</u>

International Institutions and Global Governance Program

Annual Report to the Robina Foundation

Project Director: **Stewart Patrick**, *Senior Fellow and Director of the International Institutions and Global Governance program*

Reporting Period: April 30, 2008-June 30, 2009

Report Due: July 31, 2009

Overview

The Council on Foreign Relations (CFR) is pleased to submit this first annual report of the International Institutions and Global Governance (IIGG) program. Over the past year, the IIGG program has made impressive strides in advancing its core aims: shedding light on the requirements for effective multilateral cooperation in the twenty-first century, assessing the effectiveness of existing international institutions, and proposing concrete policy recommendations for more successful global responses to today's transnational threats and opportunities.

We established the IIGG program because we recognize that globalization is remaking the world as we know it, generating complex challenges like terrorism, climate change, nuclear proliferation, financial instability, and pandemic disease. Mitigating globalization's downside—and drawing upon its benefits—will require unprecedented levels of multilateral cooperation. Unfortunately, the leading international institutions have not kept pace with these tremendous changes. For the United States, a critical foreign policy challenge is thus forging international agreement on new cooperative responses to today's threats and opportunities. We believe that the United States has a critical window to exercise such leadership. But fulfilling this potential will require U.S. policymakers, as well as their foreign counterparts, to have access to new ideas. The Obama administration, Congress, and international officials urgently need creative but sensible proposals

about how to update organizations like the United Nations (UN), the World Bank, and the North Atlantic Treaty Organization (NATO) to respond to today's problems; how to adjust such multilateral frameworks to accommodate emerging powers like China and India; and how to adapt global institutions to the rise of nonstate actors, whether terrorist groups or multinational corporations.

This is where CFR's IIGG program comes in. Drawing on multiple CFR fellows, we provide rigorous, independent analysis and generate new ideas about current structures of international cooperation, gaps and shortcomings in existing arrangements, and promises and pitfalls of alternative arrangements. Thanks to generous Robina funding, the IIGG program has quickly become the largest single initiative within the David Rockefeller Studies Program, CFR's internal think tank. To complement this research agenda, we regularly convene influential U.S. and international policymakers, scholars, CFR members, and other interested parties to discuss the world's most pressing challenges and to debate the merits of proposed reforms to existing international regimes. Finally, we disseminate our findings—including concrete and practical policy recommendations—through a rich variety of media, including books, special reports, our state-of-the-art website, and new multimedia packages that provide a valuable resource for policymakers, scholars, educators, and the informed public.

In what follows, we first outline our aspirations and objectives in establishing the IIGG program. We next summarize our progress in advancing these goals during the program's first year. We then identify some lessons that have begun to emerge from our efforts, including insights that will require some mid-course corrections in our future research agenda. We subsequently outline the IIGG program's strategy for sharing our results and recommendations with multiple audiences. Finally, we underline the critical role of the Robina grant in enabling CFR to launch this entirely new initiative.

To accompany this narrative, we attach an income and expense statement for the current grant period. In addition, we include two annexes. The first summarizes the multiple research projects and initiatives on global governance that CFR has undertaken with Robina Funding in FY09. The second outlines our anticipated activities for FY10. We also include several representative publications produced under this grant.

1. Briefly outline your original goals and objectives as stated in your proposal.

We launched the IIGG program to identify the political and institutional requirements for effective multilateral cooperation in the twenty-first century. Our rationale was simple: Everywhere we looked, global institutions seemed to be lagging behind fundamental shifts in world politics. These changes included the rise of a new global and transnational agenda, from terrorism to global warming to cybercrime; the emergence of new centers of regional power and influence, particularly the Asian giants China and India; and the growing influence of nonstate actors as competitors to (and sometimes partners with) the nation-state. Our research design flowed from this perception. We decided to begin a multiyear effort to document and evaluate existing international arrangements to manage global problems across a dozen major issue areas (grouped into four main categories, as described below). At the same time, we committed to analyze the health of specific "bedrock" institutions of world order—ranging from the UN to the

International Monetary Fund (IMF) to NATO—that were charged with advancing both U.S. national and broader global interests.

In conducting this work, we would first seek to identify strengths and weaknesses in current frameworks for multilateral cooperation. We would then propose specific reforms we believed would respond more appropriately to new circumstances, advance U.S. national interests, and win broad international support from other critical governments—as well as important private sector and civil-society constituencies.

CFR identified four categories of global challenges where existing frameworks for cooperation were weak or outdated, and thus ripe for intensive research, analysis, and policy engagement. These were: (i) Countering Transnational Threats (including terrorism, the proliferation of weapons of mass destruction, and infectious disease); (ii) Protecting the Environment and Promoting Energy Security; (iii) Managing the Global Economy (including international finance, trade, and development); and (iv) Preventing and Responding to Violent Conflict.¹ Simultaneously, we intended to examine a number of bedrock institutions of world order and a variety of regional organizations—from the Organization of American States (OAS) to the African Union (AU)—that seemed to be operating under increasing strain.

To implement this ambitious agenda, the IIGG program planned to draw on many of the more than fifty full-time and adjunct fellows in the CFR's Studies Program with relevant issue-area and regional expertise. We anticipated advancing this research agenda, distilling any policy lessons, and disseminating our findings through a diverse array of consultative fora, networks, partnerships, and publications. These would include roundtables, which are informal discussion groups composed of CFR members and other outside experts that meet semi-regularly, and symposia, which are large events bringing leading experts together to examine the causes and consequences of—and policy responses to—foreign policy challenges. These also include ground-breaking publications, including journal articles, Council Special Reports, books, op-eds, and multimedia and web-based products; and outreach events both in the United States and abroad, including public meetings, Congressional testimony, and international conferences.

The ultimate goal of this initiative was to help policymakers in the United States and abroad think more clearly about what sorts of cooperative frameworks are needed to better address today's global agenda, and to promote constructive U.S. leadership in building up the capacities of existing international organizations and helping create more effective global and regional institutions and partnerships.

2. Please summarize your progress in meeting these goals and objectives, and describe how your activities relate to achieving the ultimate goal and purpose of the program.

The IIGG program has made impressive strides during the reporting period in advancing this ambitious agenda. Through a combination of research, consultations, meetings, and publications, we have generated new knowledge about pressing global challenges on topics ranging from the ongoing international financial crisis to the melting polar ice packs. We have also contributed to

¹ Since the original grant application, and in response to recommendations from the Council's International Advisory Board, we have added a fifth general category: Strengthening International Law, Advancing Human Rights, and Promoting Democracy.

new understandings about the strengths and weaknesses of existing institutions, from the Nuclear Nonproliferation Treaty (NPT) to NATO, and have identified concrete steps to reform and reinvigorate such bodies. We include a full list and description of the program's outputs and activities in Annex I. Highlights of the program's first twelve months include:

- *Completion of three Council Special Reports* on the topics of global currency imbalances, financial regulation, and strategic ocean governance. We launched three others (scheduled for completion in fall 2009), on the future of the nuclear nonproliferation regime, on options for reinvigorating the NATO alliance on its sixtieth anniversary, and on the need for new legal norms governing armed humanitarian intervention in situations of mass atrocities.
- *Launch of the IIGG website* (www.cfr.org/thinktank/iigg), which showcases the work CFR fellows are doing under the Robina grant, serves as a major clearinghouse for detailed information and analysis on multilateral efforts to address global challenges.
- *Launch of the Global Governance Monitor*, an innovative online multimedia tool that examines pressing global challenges and maps and evaluates ongoing multilateral efforts to address them. The initial installment focused on the challenge of nuclear nonproliferation. Subsequent installments now in development will address the challenges of cooperation on global financial matters and on global public health.
- *Successful Meetings and Annual Conference*: To inform its research efforts and disseminate its findings, the IIGG program sponsored eight roundtable series in New York and Washington, DC, and held its first annual symposium on "The United States and the Future of Global Governance."

CFR evaluates the success of its projects through the quality of its publications, the impact of CFR activities on public debate and government action, the extent to which foreign governments, international institutions, and nongovernment actions have picked up policy recommendations, and the traffic to CFR's website. Judged on these measures, the IIGG program has enjoyed significant success in its first year.

Already, the program has helped policymakers and the public better understand the gaps and strengths of today's multilateral system. The president of CFR, the IIGG director, and CFR fellows routinely engage senior executive branch officials, as well as members of Congress and their staffs, on the priorities for global institutional reform. Stewart Patrick, in particular, has ongoing consultations with the director of the State Department Policy Planning staff, as well as senior directors at the National Security Council.

The publications produced by the IIGG program have also had a significant impact at high levels of the U.S. government. To cite one example, Senator John Kerry (D-MA), the chairman of the Senate Foreign Relations Committee, praised the IIGG-sponsored Council Special Report, *The National Interest and Law of the Sea*, recommending that it be the "first reading for those seeking to understand the arguments surrounding the treaty and how finally acceding to the convention is in our national security, economic, and environmental interests." Indeed, Senator Kerry personally delivered a copy of the report to President Obama. The report has also been read by White House

staff, senior State Department officials, the commandant of the Coast Guard, admirals in the U.S. Navy, and members and staff of the Senate Foreign Relations Committee.

The Global Governance Monitor has similarly won high praise from both policymakers and educators, helping to drive traffic to the IIGG website. Several academics have indicated they plan to use the Monitor as a classroom tool. We are working with CFR's National Program on ways to engage university professors and high-school teachers in a more systematic manner.

The IIGG program generated great interest from those attending its first annual conference on "The United States and the Future of Global Governance." This symposium examined major gaps and weaknesses in current multilateral efforts to stem nuclear proliferation, advance global public health, arrest climate change, and ensure global financial stability. The gathering included leading U.S. experts and policymakers, including former Undersecretary of State for Political Affairs Nicholas Burns, former Undersecretary of State for Democracy and Global Affairs Paula Dobriansky, and former State Department Legal Advisor John Bellinger. This event, combined with the many work streams and products outlined in Annex I, has helped us distill a number of general and issue-specific lessons about the challenges of global governance and opportunities for the United States to help build a more effective multilateral order. These emerging insights, which we outline in Section 3 below, will shape next year's research agenda and planned activities.

Finally, our roundtable series on "The United States and the Future of Global Governance" has been extremely well-attended and has contributed to ongoing discussions with members and policymakers on evolving critical global challenges, such as the evolving norm of the "responsibility to protect" (victims of mass atrocities), and strategies for U.S. leadership in an age of rising economic and political powers. Speakers have included the former head of the UN Development Program, the former president of the International Crisis Group, a past secretary of the U.S. Department of Homeland Security, and a current White House deputy chief of staff for policy.

We decided to postpone until year two of the grant a few projects that proved too ambitious to complete in FY09. These include planned Council Special Reports on the United States and African Peace and Security Institutions, and on U.S. Policy toward the International Criminal Court. We anticipate completing these projects in FY10. In addition, we had to delay the release of our IIGG-sponsored special report on NATO at 60, because the original author left CFR to join the National Security Council. The report will now appear in fall 2009.

3. What have you learned? Will you make any changes based on these results? Were there any unanticipated results, either positive or negative?

By the end of its first full year, the IIGG program had begun to identify some critical lessons about the institutional requirements for effective international cooperation and the prospects for reforming today's multilateral institutions. In the following sections, we first summarize what we have learned about the general challenge of global governance reform and about the opportunities and constraints confronting U.S. efforts to advance this agenda. We then describe priorities for institutional reform we have identified in critical issue areas (including nonproliferation, international finance, the global environment, and international law) as well as in specific multilateral organizations (like the UN). As we note in the final section, our investigations have also produced some unanticipated results; for instance, by highlighting the importance of

emerging powers and regional organizations in global governance. In response, we have chosen to make some changes to our research and policy agenda, which will affect our work in FY10 and future years.

What We've Learned about Global Governance

First, notwithstanding a relative decline in U.S. power, U.S. leadership remains vital for progress on virtually any global challenge. The advent of a more multilaterally inclined U.S. administration, combined with a global economic crisis, has given the United States a rare window of opportunity to spearhead institutional change.

Second, progress on virtually any global issue, from climate change to global finance, will require buy-in from powerful emerging players whose influence is not always reflected in today's institutions. If those global decision-making bodies are to have the capacity and legitimacy they need, Western countries must make room for rising powers like China, Brazil, Russia, and India.

Third, global challenges are too complicated to be left to standing, formal institutions and organizations, and thus it is a mistake to think of global governance simply in terms of a UN-centered world order. Whether the agenda is dealing with nuclear proliferation or addressing global warming, the United States will need to rely on a mixture of multilateral instruments, including *both* treaty-based institutions like the UN *and* "à la carte" coalitions such as the Proliferation Security Initiative (PSI), an innovative partnership of like-minded countries designed to intercept illicit maritime, air, and land shipments of nuclear, chemical, and biological weapons, ballistic missiles, and their related technologies.

Fourth, the global governance agenda is no longer limited to policy coordination among sovereign governments. Increasingly, international rulemaking emerges from patterns of practical cooperation and standard-setting by private-sector actors, in ways that can bind and channel government behavior. For U.S. and international policymakers, the challenge is to ensure that the private provision of global governance advances the public good.

Fifth, sustained and effective multilateral engagement will require U.S. leaders to play a delicate "two-level" game, promoting frameworks of international cooperation that simultaneously reflect the shifting distribution of international power and interest and meet the domestic political requirements of protecting U.S. national sovereignty and freedom of action. Reconciling these imperatives will require President Obama and his successors to pay constant attention to executive-legislative dynamics, invest in bipartisanship, and educate the U.S. public about the country's stakes in global engagement.

Constraints on Global Governance Reform:

We launched this program believing that the time was ripe for a "moment of creation," resembling the flurry of global institution-building the United States led during the 1940s. We now recognize that things are not so simple. Our investigations have revealed several major constraints to any sweeping overhaul of world order.²

² These are summarized in an article by Stewart Patrick in the forthcoming issue of *The Washington Quarterly*.

First, the relative decline in U.S. global power means that the United States, while still a global leader, lacks the diplomatic leverage it once enjoyed to determine the contours of international order. Global institutional reform will thus require the United States to accept a more collective form of global leadership.

Second, there is little intellectual consensus among today's established and emerging powers on basic principles and rules of world order. Rising states are challenging Western assumptions about global governance across numerous spheres, from international trade to humanitarian intervention.

Third, unlike in 1945, the international system is no longer a "clean slate." Rather, it is a bewildering collage of multilateral institutions, formal and informal, global and regional, with often overlapping and competing mandates. Would-be reformers will need to reallocate power and influence within existing bodies, like the UN Security Council and IMF, where vested interests will fight dilution of their prerogatives.

Fourth, the ongoing global financial crisis, while severe, pales in comparison to the twin catastrophes of the Great Depression and World War II, which wiped the international slate clean. At the same time, the downturn has led cash-strapped governments to shift their attention inward, distracting them from the important, long-term work of global institutional reform.

Fifth, it is difficult to make international institutions more globally representative, by incorporating new voices, and at the same time more efficient and effective. Balancing the tensions between legitimacy and effectiveness is a recurrent dilemma in global governance reform, whether we are discussing the shift from the Group of Eight (G8) to the Group of 20 (G20) or the expansion of the UN Security Council, both hot topics on which the program has been focused.

Finally, the challenges of global governance are rarely self-contained. They transcend traditional bureaucratic and disciplinary (as well as national) boundaries. Global warming is a case in point: any effective response to climate change will impinge on broader questions of energy security, trade policy, pandemic disease, mass migration, and the global nonproliferation regime. The design of new international regimes must reflect and balance these multiple interests while also understanding the potential trade-offs at stake.

U.S. Priorities for the International Agenda:

Beyond these general insights about the opportunities and constraints for global governance reform, the IIGG program has gained better understanding of the requirements and prospects for improved multilateral cooperation on specific challenges and within particular institutions and regions. Below, we summarize the tentative findings emerging from these investigations.

- **Nuclear Nonproliferation:** The existing global framework to prevent the spread of nuclear weapons is at a crisis, as states take advantage of loopholes in the NPT regime—the foundation of the nonproliferation system—to pursue weapons programs, and as states and nonstate actors alike seek to exploit illicit networks to gain access to the world's most destructive technologies. The IIGG program and its affiliated CFR fellows have identified major weaknesses in the current NPT regime, including: incomplete coverage of nonstate actors; inadequate monitoring and enforcement mechanisms; insufficient regulation of

dual-use technologies; and failure of nuclear weapons states to meet their disarmament commitments. Pivotal choices for the United States include whether (and how) to make progress toward total nuclear disarmament; whether to ratify the Comprehensive Test Ban Treaty (CTBT); how to strengthen the International Atomic Energy Agency (IAEA); whether (and how) to “institutionalize” ad hoc bodies like the PSI and the Global Initiative to Combat Nuclear Terrorism; whether to sponsor a global nuclear “fuel bank”; how to proceed with any plans for missile defense; and whether to introduce new, modern weapons components into its nuclear arsenal.

- **Global Finance:** With the dramatic deepening of the global financial crisis in September 2008, the IIGG program shifted attention to assess the causes of the economic meltdown and the institutional reform options that could foster both short-term recovery and long-term stability in the international financial regime. Several sets of insights have emerged from our work:

- *Reforming the Global Financial Architecture:* While much of the international crisis response has focused on urgent steps to stabilize markets and facilitate recovery, policymakers are only beginning to grapple with longer-term steps to strengthen global financial governance. Reform priorities include agreeing on the details of new regulations for systemically important financial entities and on steps to update the international financial institutions to reflect today’s distribution of global economic power.
- *Global Financial Imbalances.* A permissive cause of the global financial crisis was a structural imbalance between savings and investment in the world’s major economies. Any effective policy response to the downturn must include not only economic stimulus and financial-market regulation but also long-term steps to ensure that the United States and other deficit countries increase their aggregate savings rates, while chronic surplus countries—including China and other East Asian emerging market economies, as well as Japan and some European countries—increase their levels of consumption.
- *Sovereign Wealth Funds (SWFs):* The accumulation of large capital reserves in nationally controlled investment vehicles presents the United States with both economic and geopolitical challenges. While SWFs can present an important source of international liquidity, the enormous rise in government-driven investment flows, and the heavy U.S. reliance on these to meet its capital account needs, creates vulnerabilities. The United States can mitigate these by reducing its reliance on foreign holdings and insisting on greater transparency in the activities of SWFs.

- **Global Warming:** Prospects for a climate change agreement at the Copenhagen summit in December 2009, as well as tangible progress in reducing and mitigating the impact of greenhouse gases in future years, will depend on progress in parallel multilateral forums. Although any treaty-based commitments will be ratified within the guiding international treaty on climate change, the UN Framework Convention on Climate Change, the main engine driving the global agenda will likely be the Major Economies Forum (MEF), where seventeen of the largest emitters of greenhouse gases will try to hammer out basic agreements on realistic targets for emissions reductions, including commitments from

emerging market countries, as well as the broad outlines of provisions for technology transfer and foreign assistance

- **Ocean Governance:** Covering nearly three-quarters of the Earth's surface, the world's oceans are destined to play an increasingly critical role in the pursuit of U.S. national security, the advancement of economic prosperity, and the protection of the global environment. A more strategic U.S. approach to the world's oceans will begin with U.S. accession to the UN Convention on the Law of the Sea, which will provide the United States with a sound legal foundation for: confronting maritime threats from the proliferation of weapons of mass destruction (WMD) to piracy; asserting its sovereign rights over the continental shelf and its natural extensions; exploiting multiple economic opportunities, including those presented by the melting Arctic ice sheet; and working with others to arrest the dramatic ecological degradation of the marine world being wrought by over-fishing, pollution, and other unsustainable practices.
- **International Law and Justice:** The IIGG program has documented several gaps in global legal regimes, including those governing the use of force. It has also shed light on the increasingly ambiguous position of the United States with respect to the development of international law.
 - *The Use of Force:* Existing international rules governing the use of armed force are struggling to address emerging global threats like terrorism, the use of weapons of mass destruction, and the commission of mass-atrocity crimes. Most observers recognize the need to adjust the rules to address these challenges, but the international community remains deeply divided over the notion of contingent sovereignty—and over the criteria and circumstances that would warrant the “preemptive” use of military force to forestall imminent threats or armed action to protect populations at risk of genocide.
 - *The Development of International Law:* The IIGG program has also documented the waning influence of the United States in the development of international law. Once the main engine of new international legal norms, the United States is increasingly an outlier in its attitude toward international law, and courts in other nations increasingly cite rulings in other nations as a source of jurisprudence. The time is thus ripe for a productive discussion of the place of the United States under international law, and of the preconditions for U.S. acceptance of binding international legal constraints. Among the most critical questions on the horizon is whether the United States will eventually accede to the International Criminal Court (ICC).

Improving Bedrock and Regional Institutions

- **Reforming and Strengthening the United Nations:** The UN is both an indispensable foundation of world order and a glaringly dysfunctional organization. Three sets of reform priorities stand out. The first is management and budgetary reform. The second is reform of the pernicious regional-bloc dynamics that continue to dominate the General Assembly, Human Rights Council, and other large membership bodies. The third and knottiest is reform of the Security Council, so that it looks more like the world of 2009

than the world of 1945. The IIGG program is exploring realistic strategies to unblock movement along all three lines.

- **Reinvigorating the North Atlantic Treaty Organization (NATO):** As it celebrates its sixtieth year, NATO faces a crisis over its purpose and future. The primary problem is lack of consensus about the scope of the alliance's collective defense provisions. Allies disagree about whether its primary mission is defending Europeans against Russian aggression or instability in southeast Europe; addressing new security threats like terrorism, WMD, and cyber-war; or conducting "out-of-area" operations requiring expeditionary forces, as in Afghanistan. Combined with domestic political constraints in NATO countries, this lack of consensus on a unified strategic concept may make a two-tier alliance inevitable.
- **Considering Alternative Futures for the G8/G20:** The world is still groping to make a transition between a Group of Eight (G8) that is widely viewed as ineffective and obsolete and a Group of Twenty (G20) that is only just coming into being and may not be capable of shouldering the burdens and expectations that many have placed upon it. The IIGG program has identified several options for reform, including: elevating the G20 to become the main global steering body; maintaining the G8 and G20 along parallel tracks; and creating multiple groupings of varying size and membership depending on the specific issue area.
- **Building Security Architecture in Northeast Asia:** Over the past year, the IIGG program has explored long-term prospects for a new multilateral regional security framework, the Six-Party Talks. Although such a grouping may await regime change in Pyongyang, over the long term it could provide: a useful structure in which to undertake eventual unification of the Korean peninsula; a confidence-building institution in which to explore mutual adjustments of security policies by China, the Republic of Korea, and Japan; and a vehicle to ensure the continued engagement of the United States in this volatile region as states adjust to (and hedge against) the ongoing rise of China.

Putting Lessons into Action: New Directions and Mid-Course Corrections

Perhaps the biggest lesson we have learned over the past year is that the IIGG program needs to do more to bring its diverse work streams together, to ensure that the knowledge being generated in one arena informs research and analysis in others. By encouraging such interchange and cross-pollination, we will be better equipped to compare and contrast the various challenges of global governance and to gain insights about which approaches to multilateral cooperation and institutional reform are likely to be most effective in particular circumstances.

To inject greater coherence into our efforts during the upcoming year, the IIGG program will hold two workshops (of four to five sessions apiece) explicitly designed to draw comparative lessons across the multiple issues of global governance identified in the grant application, and to distill policy recommendations for more effective design of international institutions. The first workshop will convene scholars and officials working on conflict-related subjects, including terrorism, nuclear proliferation, the use of force, peacekeeping, and international crime. The second workshop will address global cooperation on a range of economic, social, and political issues, including finance, trade, the environment, development, and human rights. To ensure comparability across cases, the IIGG program will commission short background memos from

noted experts before each workshop, asking them to respond to a similar set of general questions regarding the status of and weaknesses in the relevant regime. IIGG staff will subsequently draft issue briefs and working papers to be posted on the IIGG website. These meetings and papers will also feed into a single-author volume on the United States and the future of global governance, which Stewart Patrick intends to write by the spring of 2011. These workshops will also inform future installments of the Global Governance Monitor.

In addition, our investigations over the past year have revealed the profound importance of (a) emerging powers and (b) deepening regionalism as new factors in global governance. In recognition of these trends, we will adjust our research and policy agenda in FY10 by launching two new initiatives, in collaboration with relevant experts from the CFR's Studies Program.

- *Emerging Powers Meeting Series*: Global governance in the twenty-first century will depend on the distinctive world-order visions not only of the United States and other established Western powers, but also of emerging regional powers, including the so-called BRICs (Brazil, Russia, India, and China), as well as other important players like South Africa, Mexico, and Indonesia. This meeting series, to be held in Beijing, New Delhi, Rio de Janeiro, and Moscow over the next year and a half, will engage foreign leaders and experts in a conversation about the priorities of emerging powers for reform of international institutions.
- *Regionalism Project and Workshop Series*: An unheralded trend in recent years has been the emergence of regional and sub-regional organizations as complements to, and sometimes replacements for, universal multilateral organizations and other global arrangements. This research project and meeting series will seek to map and evaluate recent trends in regionalism, appropriate U.S. responses to these trends, and the potential of such regional bodies to complement—or compete with—global organizations. The meetings, which will occur in Washington, DC, and New York, will include eminent U.S. and foreign scholars and experts on regional dynamics in Africa, the Americas, Europe, the Middle East, and South, East and Central Asia.

For further reference, please see Annex II, which contains a full FY10 anticipated work plan.

4. What are your plans to share your results or findings?

CFR 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, and civic and religious leaders. In fulfilling this mandate, the IIGG program works strategically with CFR's Meetings Program, National Program, and Communications and Marketing staff to disseminate its work and findings to a wide array of audiences and interested parties.

Already, we are finding that we are changing the conversation in the United States and abroad, by getting our ideas into policy and public discussions through outreach efforts aimed at policymakers, opinion leaders, and educators. During its first year, the IIGG program has been successful in circulating and publicizing our major efforts, including three Council Special Reports, eight roundtable meeting series, and dozens of public meetings, as well as a dedicated and

well-received website at CFR.org on international institutions and global governance, and a new multimedia Global Governance Monitor.

In disseminating the program's activities and findings, CFR fellows have targeted multiple audiences through numerous channels, including senior U.S. policymakers, foreign officials, media, educators, and students. For instance, Stewart Patrick has been in continual contact with senior U.S. policymakers, including the director of policy planning at the U.S. Department of State, members of the executive office of the president, including the coordinator for the prevention of WMD proliferation and terrorism at the National Security Council, and senior Department of Defense and USAID officials. CFR President Richard Haass regularly raises the need for global institutional reform—citing the IIGG program's work and recommendations as a reference—with senior officials at home and abroad. The Global Governance Monitor is anticipated to be particularly useful to the next generation of policymakers and educators, as an excellent educational tool for university and high-school students to better understand today's complex global issues and the need for effective international cooperation. In addition to reaching out to policymakers and educators, CFR fellows participating in the IIGG program have shared their findings by publishing editorials in leading newspapers (such as the *New York Times* and the *Washington Post*), contributing articles to foreign policy journals (such as *Foreign Affairs* and the *Washington Quarterly*), testifying before members of the U.S. Congress, and making media appearances in a wide range of television, radio, web-based, and print forums.

The IIGG program worked closely with CFR's Communications and Marketing department to ensure that our findings and policy recommendations reached the widest and most influential audiences. The Communications and Marketing department liaised with thousands of members of the media and the concerned public, facilitating media interviews, exchanging information, and promoting CFR products and scholars. It enhanced traffic to the CFR website (the IIGG subsite included) by running online advertisements, promoting CFR products in social media tools, and through its eNewsletters. At a more personal level, the Communications and Marketing department directly interacted with reporters at its on-the-record meetings, facilitating their attendance and following up on any questions they may have had. At the inaugural IIGG Annual Conference in May 2009, for instance, the Communications and Marketing department ensured that this marquee IIGG event attracted members of the press, including James Traub of the *New York Times*.

In disseminating Council Special Report (CSR) findings from IIGG-sponsored publications on the Law of the Sea, the Financial Crisis, and Global Imbalances, CFR sent hard copies to approximately 500 major policymakers and opinion leaders in the United States and abroad. A short description of the CSR, along with a link to the electronic copy, was included in a weekly email sent to journalists (35,000), every CFR member (4,000), and members of the interested public who have signed up to receive CFR email alerts. The report was also posted on CFR's website, which typically receives more than one million hits per month and appears as a link on the websites of top news organizations, universities, libraries, embassies, and think tanks.

5. Please attach an income and expense statement for this grant period. Also, include your original budget. A narrative explanation should be included for any line item differences between the original budget and actual expenses.

At the completion of year one, the IIGG program had a balance of \$230,077, which will be applied to year two activities. The line item difference in year one is due to a number of factors. Essentially, CFR has been able to deliver on an ambitious research agenda at a lower cost than originally budgeted. In particular, we have operated through the first year with a streamlined IIGG core staff, while still delivering the products and activities called for in our initial plan. In addition to launching the IIGG webpage on CFR's website, cfr.org, the program has created an on-line multimedia Global Governance Monitor, hosted a roundtable series on proposed frameworks for world order and U.S. policy responses, published a book on the origins and evolution of American multilateralism, and hosted the first in a series of annual conferences. The program has also sponsored three Council Special Reports (on oceans governance, global financial imbalances, and the global economic crisis), and a number of successful ongoing roundtable events and other meetings on issues relating directly to the mandate of the IIGG program. The program has put considerable effort into disseminating research findings through its outreach and communications strategy. For these reasons, activities were above budget in meetings, research travel, publications, professional services, and outreach.

Cost saving measures undertaken both by CFR and the Program Director in response to the global economic downturn also resulted in lower than anticipated expenses for the program. In particular, the program has realized cost savings in the areas of multi-media and research outlays, while continuing to save money on staff salaries and benefits. Finally, the year one financial balance reflects an inevitable time lag in the completion of program activities that have begun in year one. Many of the costs of such activities will be realized in year two of the program, and will result in significant research and reports on topics including U.S. policy toward the international criminal court, U.S.-African peace and security initiatives and institutions, NATO at 60, and the future of the non-proliferation regime. The application of savings realized in the first year to second year programs and related expenses should result in the program coming in at budget over the two year period as a whole.

6. Please distinguish the work funded by the Robina Grant from your broader, ongoing work on the subject. Also include a list of additional funders (if any), including amounts received, for this program.

The generous grant from the Robina Foundation has permitted CFR to launch an entirely new initiative that seeks to answer one of the most pressing questions facing the United States: How can we build the international institutions that are necessary to more effectively manage the problems of globalization and take advantage of its opportunities? The Robina grant currently covers 100 percent of the IIGG program's budget. We have used these resources to:

- ***Launch a new agenda of research and policy engagement*** on the political and institutional requirements for effective multilateral cooperation. This includes work streams on more than a dozen specific initiatives, the vast majority of which were envisioned in the original grant proposal—and would not be occurring in the absence of the grant;

- ***Hire several new full-time, adjunct, and visiting fellows to support the program***, including Stewart Patrick, Micah Zenko, Matthew Waxman, John Bellinger, Scott Borgerson, and Paul Lettow, as well as several support staff;
- ***Engage existing staff in new research and policy agenda under the IIGG mandate***, including Laurie Garrett, Charles Kupchan, James Goldgeier, Shannon O'Neil, Michael Levi, Steve Flynn, Brad Setser, Sheila Smith, and Paul Stares;
- ***Create an entirely new product line***, namely the Global Governance Monitor, intended to become the world's major resource for information, analysis, and evaluation of multilateral efforts to address critical global challenges.

In some cases, the IIGG program forges partnerships with CFR centers, programs, and scholars previously engaged on issues of international institutions and multilateral cooperation. For instance, the IIGG program collaborated with CFR's Center for Geoeconomic Studies on the issues of global currency imbalances and regulatory options for international finance. Similarly, the IIGG program works closely with the Center for Preventive Action in a number of areas, including the co-sponsored U.S.-UN Roundtable Series. Likewise, the IIGG program is collaborating with Laurie Garrett and her colleagues in the Global Health Program on the health component of the Global Governance Monitor. In every case, our collaboration with CFR fellows is consistent with our IIGG mandate and agreed upon by CFR's president, director of Studies, and the IIGG program director.

International Institutions and Global Governance Program

Annex I: FY09 Activities and Outputs

Project Director: **Stewart Patrick**, *Senior Fellow and Director of the Program on International Institutions and Global Governance*

Reporting Period: April 30, 2008 – June 30, 2009

Report Due: July 31, 2009

A. Major bedrock institutions, regional efforts, and cross-cutting initiatives

1) **United States and the Future of Global Governance Roundtable Series** **Project Director: Stewart Patrick, Senior Fellow and IIGG Director**

The United States and the Future of Global Governance roundtable series focuses on core global governance challenges and proposals for fundamental institutional reform. During the past year, Stewart Patrick, director of the IIGG program, presided at fifteen sessions of this roundtable series in New York and Washington, DC, on issues ranging from the future of the G8/G20 to prospects for a global counterterrorism organization, evolving norms of humanitarian intervention, and the lessons of the Proliferation Security Initiative (PSI). Meetings included:

- “The U.S. National Interest and the Law of the Sea,” with Scott Borgerson, CFR, and Ambassador Thomas R. Pickering, Hills & Company, June 24, 2009
- “Tomorrow’s Institution Today: The Proliferation Security Initiative,” with Amitai Etzioni, George Washington University, April 21, 2009
- “The Autonomy Rule,” with Charles Kupchan, CFR, and Adam Mount, Georgetown University, April 13, 2009
- “The Responsibility to Contain,” with Michael Chertoff, former secretary of the Department of Homeland Security, March 11, 2009

- "Managing Global Insecurity: International Order in an Era of Transnational Threats," with Bruce Jones, New York University, Carlos Pascual, Brookings, Steve Stedman, Stanford University, and with comments by Les Gelb, CFR president emeritus, March 3, 2009
- "America: Ready to Lead?" with Robin Niblett, Chatham House (UK), March 2, 2009
- "A New Approach to Global Governance," with Vijaya Ramachandran, Center for Global Development and Georgetown University, and Enrique Cruz, Cisco, February 20, 2009
- "The Responsibility to Protect: Ending Mass Atrocity Crimes," with Gareth Evans, International Crisis Group, February 19, 2009
- "The G20 and the Future of Global Economic Cooperation and Governance," with Kemal Dervis, United Nations Development Program, February 3, 2009
- "The Rise of American Multilateralism and Lessons for Today," with Stewart Patrick (discussing his book), and comments by James Traub, *New York Times Magazine*, January 8, 2009
- "The Responsibility to Protect: Moving from Principle to Practice," with Edward C. Luck, United Nations, and Victoria K. Holt, The Henry L. Stimson Center, November 6, 2008
- "The Next American Century: How the United States Can Thrive as Other Powers Rise," with Mona K. Sutphen, Stonebridge International, and Nina Hachigian, Center for American Progress, October 22, 2008
- "Prospects and Scenarios for G8 Reform," with Bruce Jones, Center on International Cooperation, New York University, October 20, 2008
- "Prospects for a Concert of Democracies," with Ivo Daalder, Brookings, and Charles Kupchan, CFR, October 16, 2008
- "Do We Need a Global Counterterrorism Organization?" with Alistair Millar and Eric Rosand, Center on Global Counterterrorism Cooperation, September 15, 2008

Other Relevant Meetings and Presentations by Stewart Patrick:

- "American Leadership and Global Governance in an Age of Nonpolarity," chair of opening session of the first annual symposium on "The United States and the Future of Global Governance," May 7-8, 2009
- "Global Governance... New Approaches," presentation at conference cosponsored by the OECD and Center for Global Studies, University of Victoria, Paris, April 29-30, 2009
- "Overcoming Obstacles to Security Council Reform," presentation to Conference on Strengthening and Reforming the United Nations, cosponsored by IIGG and United Nations Association, Woodrow Wilson Center for Scholars, April 23, 2009
- "NATO and Afghanistan," chair of session of the IIGG-sponsored symposium on NATO at 60, February 26, 2009
- "The Best Laid Plans: The Origins of American Multilateralism and the Dawn of the Cold War," Council meeting/book party moderated by Warren Bass of the *Washington Post*, February 4, 2009. (In addition to this event, Stewart Patrick presented his book at seven similar launch events in New York, Washington, Los Angeles, San Francisco, and London)
- "U.S. Policy toward Fragile States," lecture at the University of California, Berkeley, April 2, 2009

- “Weak States and Global Threats: What are the Connections?” public lecture at the University of California, Berkeley, April 2, 2009
- “The Impact of the Growing Role of the Department of Defense on Humanitarian Assistance,” keynote at Humanitarian Action Summit, Harvard University, March 28, 2009
- “Strategies of U.S. Multilateralism,” presentation of paper at annual meetings of International Studies Association, New York, February 15, 2009
- “The Responsibility to Protect: From Principle to Practice,” presentation to Woodrow Wilson School-sponsored conference on the Future of Collective Security, New York, October 14, 2008
- “Integrated Approaches to State-Building,” address to International Peace Institute annual conference for UN missions, Tarrytown, New York, May 6, 2008
- Symposium on International Law and Justice: Evolving Norms and Policy Responses, October 17, 2008 (sponsored by Jolie-Pitt Foundation but organized by Stewart Patrick in IIGG capacity)

Publications by Stewart Patrick:

- *The Best Laid Plans: The Origins of American Multilateralism and the Dawn of the Cold War* (Rowman and Littlefield, 2009). This book examines the pivotal decade of the 1940s, when the United States cast off a tradition of isolationism and unilateralism to embrace international institutions as a foundation for world order and a basis for U.S. global leadership. The book asks two main questions: Why did the United States choose multilateralism at the height of its power? And how did it adapt this “open world” vision to the unanticipated eruption of the Cold War with the Soviet Union? The book includes chapters on the origins of the United Nations, the Bretton Woods institutions, the postwar trading system, the North Atlantic Treaty Organization (NATO), and European integration, among other topics
- “Out of Area, Out of Business?” (on the future of NATO), *National Interest Online*, March 25, 2009
- “Stopping Bashir: Obama’s ‘Never Again’ Moment of Truth,” CFR Expert Brief, March 23, 2009
- “Too Poor for Peace? Global Poverty, Conflict and Security in the 21st Century,” (book review), *Environmental Change and Security Project Report* 13, 2009
- “Fight the Fire, then Redesign the Firehouse,” *CFR Expert Brief*, March 13, 2009
- “Protecting Free Trade,” *National Interest Online*, March 13, 2009
- “Bretton Woods Redux,” *National Interest Online*, November 13, 2008
- “Bush at the UN: Right Message, Wrong Messenger,” *McClatchy-Tribune Syndicate*, September 25, 2008
- “U.S. Policy Towards Fragile States: An Integrated Approach toward Security and Development,” in *The White House and the World: A Development Agenda for the New U.S. President*, Center for Global Development, September 17, 2008
- “The Dilemma of International Justice,” CFR.org interview with Bernard W. Gwertzman on implications of Karadjic arrest, July 28, 2008
- “Extreme Makeover, International Edition,” *McClatchy-Tribune Syndicate*, July 11, 2008
- “Should the U.S. support the UN’s Responsibility to Protect Doctrine?” CFR.org online debate, May 27, 2008
- “Open the Door to Aid,” *Baltimore Sun*, May 15, 2008

Testimony by Stewart Patrick:

- “International Disaster Assistance: Policy Options,” prepared testimony before the Senate Subcommittee on International Development, International Assistance, and International Environmental Protection, June 17, 2008
- In addition to the formal testimony, Stewart Patrick has provided informal, off-the-record briefings for CFR members and their staffs on several occasions during the past year on issues related to global institutional reform and foreign assistance modernization

Media Interviews

- Over the past year, Stewart Patrick has been interviewed by numerous print, radio, television, and web outlets for his opinions on international institutions and global governance challenges. This has included interviews and appearances in the following outlets: *Los Angeles Times*, *New York Times*, *Baltimore Sun*, Voice of America, NHK, CNN, and CBC

2) Annual Conference

May 7-8, 2009. New York. The conference agenda, audio and video transcripts, and meeting summary report can be found on the CFR website at:

http://www.cfr.org/project/1424/united_states_and_the_future_of_global_governance_symposium.html

From the worst economic crisis since the Great Depression to the dangers of nuclear proliferation, from the specter of global warming to the threat of mass atrocities, the United States and the world community confront an array of global challenges requiring robust cooperation. Yet many multilateral frameworks have failed to keep pace with tremendous changes in world politics. Shifts in the global distribution of power, the emergence of influential nonstate actors, and the rise of new transnational issues to the top of the global agenda now cloud the utility and effectiveness of international institutions and structures that in some cases date back to World War II. On May 7 and 8, 2009, the IIGG program hosted its first annual conference. Over the course of six sessions, the symposium explored the efficacy and structure of international institutions and their role in helping U.S. policymakers confront the challenges of the day.

The first session, “American Leadership and Global Governance in an Age of Nonpolarity,” discussed whether U.S. interests are best served through greater involvement in multilateral forums; where the United States should take a leadership role in working to address global challenges through international institutions; and where it should cede such a role to others. It brought together panelists R. Nicholas Burns, professor of the Practice of Diplomacy and International Politics, Kennedy School of Government, Harvard University; Ellen Laipson, president and chief executive officer, Henry L. Stimson Center; and David Gordon, head of research, Eurasia Group.

The second session, “Strengthening the Nuclear Nonproliferation Regime,” addressed the stakes the United States has in the global nonproliferation regime as it currently exists, the risks and rewards of bilateral arrangements with countries such as India, and how loopholes in the NPT can be closed. This panel featured Charles D. Ferguson II, Philip D.

Reed senior fellow for science and technology, CFR; Christopher A. Ford, director, Center for Technology and Global Security, Hudson Institute; and Paul Vorbeck Lettow, adjunct senior fellow, CFR.

The third session, "The Financial Crisis and Global Financial and Monetary Cooperation," focused on new forms of international financial and monetary coordination and regulation, potential reform of the Bretton Woods institutions, as well as the BRICs' and other developing countries' role at the IMF and World Bank. This session featured Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies and deputy director of Studies, CFR; Steven Dunaway, adjunct senior fellow for international economics, CFR; and Daniel W. Drezner, professor of International Politics, The Fletcher School of Law and Diplomacy, Tufts University.

The fourth session, "Tackling Climate Change," focused on the most effective forums for international cooperation and the leadership role the United States should play. The panel consisted of William Antholis, managing director, Brookings; Paula Dobriansky, senior international affairs and trade advisor, Baker & Hostetler LLP; and Michael A. Levi, David M. Rubenstein senior fellow for energy and the environment, CFR.

The fifth session, "The Use of Force and Accountability in International Law: A U.S. Perspective," addressed whether current trends in international law threaten U.S. sovereignty, what international legal or normative restraints on the use of force the United States should accept and promote, what role international law should play in U.S. jurisprudence, and what attitude the United States should take toward the International Criminal Court. Speakers on this panel were Matthew C. Waxman, adjunct senior fellow for law and foreign policy, CFR, and associate professor, Columbia University School of Law; John B. Bellinger III, adjunct senior fellow for international and national security law, CFR; and David J. Scheffer, professor of law, Northwestern University.

3) Global Governance Monitor

June 2009. The Global Governance Monitor can be found on CFR's website at: www.cfr.org/ggmonitor

The Global Governance Monitor is a web-based application designed to map and evaluate multilateral efforts to address the world's most pressing global challenges. The Monitor is a coproduction of the IIGG program and the firm MediaStorm—with invaluable assistance from the Council's web development team and CFR.org.

The Monitor's first and newly released chapter tracks the status and effectiveness of international cooperation on nuclear nonproliferation, and demonstrates that multilateral instruments for combating proliferation are often weak and unable to meet current challenges. In particular it shows how international organizations have—with only a few exceptions—taken a backseat to ad hoc forums of interested parties, such as the Six-Party Talks on North Korea and the P5+1 grouping on Iran. New chapters will be added to the monitor periodically, to encompass ten global issue areas, including global finance, global health, oceans, terrorism, climate change/energy, trade, human rights, and use of force,

international law, and transnational crime. Each chapter will include:

- a cinematic overview;
- an interactive timeline tracing the history of international efforts to strengthen the regime;
- an issue brief summarizing the current status of the regime;
- a matrix cataloging relevant international treaties, organizations, initiatives, and Security Council resolutions;
- an interactive map detailing critical countries and institutions; and
- a resource guide for further information on the topic.

In launching the Monitor, we hope to make the Council a leading portal for detailed information and analysis on multilateral efforts to address global challenges. Beyond updating the Monitor on a regular basis, we may institute an annual "year in review" assessing progress in each regime over the preceding twelve months. We have already gotten excellent feedback on this product from members of the foreign policy community.

4) Conference and Publication: Energy in the Western Hemisphere: Sustainability, Partnerships, and Inclusiveness
Project Director: Shannon O'Neil, Douglas Dillon Fellow for Latin American Studies

December 3-4, 2008. The report can be accessed on the CFR website at:
http://www.cfr.org/publication/19093/blueprint_for_a_sustainable_energy_partnership_of_the_americas.html

On December 3 and 4, 2008, CFR's Latin America Studies program held a whole-day conference attended by thirty experts on energy issues in the Americas in order to identify and discuss the major challenges and opportunities in terms of energy issues in the region. The conference was attended by individuals from various think tanks (including the Center for Strategic & International Studies, the Centre for International Governance Innovation, and the Brazilian Centre for International Relations); energy companies such as Petrobras, ExxonMobil, and General Electric; and private equity firms such as Conduit Capital Partners LLC and Global Energy Capital LLC, among others.

The conference started the night of December 3, 2008, with a session titled "Potential for Energy Alliances in the Hemisphere," in which participants were asked to identify unfulfilled opportunities for partnership in the Americas. Specific initiatives to take advantage of these opportunities were then identified at a breakfast session the next day titled "Defining Concrete Partnership Initiatives." These two sessions were followed by two breakout sessions. Half of the participants attended the session titled "Transnational Governance: Environment and Innovation," in which participants discussed challenges related to the Amazon. The other half of the participants attended a session titled "Energy Development: Investment and Infrastructure," which focused on investment bottlenecks. The participants reconvened for an afternoon session titled "The Blueprint: Key Initiatives." During this last session, participants identified three fields in which governments could benefit from recommendations from an independent group: energy and environmental research on a hemispheric level, coordination on managing a

sustainable Amazon, and energy integration and cooperation in the Caribbean and Central America.

Following the three conferences on energy issues, of which the first one was sponsored by the Robina Foundation, Dr. O'Neil collaborated with fellows from the regional partner institutions in order to write the "Blueprint for a Sustainable Energy Partnership for the Americas." This report, published by The Centre for International Governance Innovation, consists of concrete policy recommendations on creating energy and environment hemispheric research initiative, an agenda for a sustainable Amazon, and a new approach to the electricity sector in Central America and the Caribbean. The report was released at the Summit of the Americas, and was delivered to all of the region's presidents and their staff. The Centre for International Governance Innovation handled the distribution and outreach strategy in relation to this report.

Outreach

In addition to the three conferences and the report published by the initiative, Dr. O'Neil reached out to policymakers and diplomatic representatives in the region in order to discuss the report's findings and recommendations. Throughout the reporting period, Dr. O'Neil met separately with U.S. Ambassador to the OAS Hector Morales, Canadian Ambassador to the OAS Graeme Clark, representatives from the Brazilian Mission to the OAS, OAS Assistant Secretary General Albert Ramdin, and U.S. State Department Chief of the Division of Energy Producer Country Affairs Matthew McManus.

5) Symposium: NATO at 60

Project Director: Charles Kupchan, Senior Fellow for Europe Studies

February 25-26, 2009. The symposium agenda, transcripts, and meeting report can be found on the CFR website at:

http://www.cfr.org/project/1406/cfr_symposium_on_nato_at_60.html

Under the direction of Charles Kupchan, senior fellow for Europe Studies, the CFR hosted a two-day symposium (February 25-26, 2009) on the sixtieth anniversary of the North Atlantic Treaty Organization (NATO). CFR's symposium offered a unique opportunity for policymakers, academics, and others to consider the future of NATO in light of its evolution since the end of the Cold War. In particular the panels assessed the success of the expansion of NATO, relations with Russia and the European Union, and the troubles arising from NATO's mission in Afghanistan. Many of the participants agreed that these problems have combined to create what Secretary of Defense Robert Gates has termed a "two-tiered" alliance.

Panelists at the symposium included academics such as Professors Stephen Walt of Harvard University, Barnett Rubin of New York University, and Ole Waever of the University of Copenhagen. They were joined by former NATO Secretary-General Lord Robertson, Deputy Supreme Allied Commander General Sir John McColl, and Polish Foreign Minister Radoslaw Sikorski. All participants agreed that NATO faces significant challenges in the coming years, but few believed that this meant the demise of the NATO alliance. Some suggested that there was a need to view the NATO alliance differently. As Dr. Kupchan noted, "If we see NATO as more of a political community and a security

community, we may arrive at a more upbeat set of conclusions about the stickiness of the alliance and its ability to function reasonably well moving forward.”

6) Council Special Report: *The Future of NATO*

Author: Jim Goldgeier, Whitney Shepardson Senior Fellow for Transatlantic Relations

Jim Goldgeier is currently writing a Council Special Report on the future of NATO. The report is scheduled to be published in November 2009.

The purpose of this report is to assess the current state of NATO and provide recommendations for practical steps the alliance should take to ensure its relevance in the twenty-first century. At Strasbourg-Kehl, NATO announced that it would develop a new strategic concept by its next summit, to be held in Portugal in late 2010. As it does so, it will be deciding core issues of structure, purpose, and capabilities.

The report will respond to numerous questions facing the alliance: Is NATO well positioned to defend its members from the threat of terrorism and WMD proliferation? How can the United States and its NATO allies better cooperate with Russia? How can NATO member states better work with the EU to combat non-traditional security threats, such as cyber attacks, disruptions in energy supplies, and piracy? What does collective defense mean in the twenty-first century? How should NATO develop its relationships with non-European democratic partners?

Advisory Committee Meeting

- June 16, 2009. NATO Advisory Committee Meeting. Author: James Goldgeier, Whitney Shepardson senior fellow for transatlantic relations, CFR. Chair: Stewart Patrick, director, Program on International Institutions and Global Governance, CFR

Meetings and Briefings

- May 15-31, 2009. CSR author had meetings with Assistant Secretary of Defense Alexander Vershbow and other Pentagon officials working on NATO
- June 8-10 2009. CSR author traveled to Brussels to meet with NATO and the Supreme Headquarters Allied Powers Europe (SHAPE) officials, including Jamie Shea, head of policy planning at NATO; the U.S., French and German Ambassadors to NATO, and General John McColl, deputy supreme allied commander Europe (SACEUR)

7) Roundtable: *The North Korean Missile Launch and Its Aftermath: Is a Regional Approach Still Viable?*

Project Director: Sheila Smith, Senior Fellow for Japan Studies

May 5, 2009. Washington, DC. The meeting was off the record.

North Korea's recent missile launch and subsequent threat to walk away from the Six-Party Talks calls into question the future of regional cooperation in dealing with nuclear proliferation and brings with it the attendant risk of greater instability on the Korean peninsula. On May 5, 2009, Dr. Smith presided over a panel of leading regional experts

from Japan, South Korea, and the United States to discuss the impact of North Korea's behavior and their perspectives on the difficult diplomatic road ahead.

8) Workshop: *Prospects for Northeast Asia Security Cooperation: Agendas and Architectures*

Project Director: Sheila Smith, Senior Fellow for Japan Studies

May 4, 2009. Washington, DC. The meeting was off the record. A project description is available at:

http://www.cfr.org/project/1352/northeast_asia_security_architecture_project.html

Analysis surrounding the topic and written by Dr. Smith can be found on the CFR website at: http://www.cfr.org/content/thinktank/Coping_with_Pyongyang.pdf

Dr. Smith convened a group of leading regional experts to discuss the prospects for cooperation on the Northeast Asia Regional Security Architecture project. The all-day workshop, held in Washington, DC, on May 4, 2009, focused on the impact of domestic political change on the regional diplomatic agenda and the place accorded to multilateralism in each nation's foreign policy.

In the first session, "Domestic Politics and Regionalism: What are the Domestic Influences that Drive or Inhibit Multilateral Security Cooperation in Northeast Asia?," working papers were presented by Geun Lee, associate professor of international studies at Seoul National University; Yoshihide Soeya, professor of political science and international relations at Keio University; Suisheng Zhao, professor and executive director of the Center for China-U.S. Cooperation at the University of Denver; and Scott Snyder, senior associate of international relations and director for the Center for U.S.-Korea Policy at the Asia Foundation. The afternoon session, "Northeast Asian Regionalism: A High Priority? Or a Means to an End?," focused on a broader discussion of multilateralism with working papers presented by Hitoshi Tanaka, senior fellow at the Japan Center for International Exchange; Dr. Smith on behalf of Yinhong Shi, professor of international relations and director of the Center on American Studies at Renmin University of China; Sung-han Kim, professor of international studies at Korea University; and Ralph Cossa, president of Pacific Forum CSIS.

Dr. Smith invited as discussants Victor Cha, director of Asian Studies at Georgetown University; Mike Mochizuki, director of the Sigur Center for Asian Studies at the George Washington University; Frank Jannuzi, professional staff member of the U.S. Senate Committee on Foreign Relations; and Paul Stares, director of the Center for Preventive Action at the CFR.

The workshop also provided the opportunity for Gary Samore, White House coordinator for arms control and WMD terrorism at the National Security Council, to have an off-the-record discussion on North Korea from the perspective of the Obama administration. As a special guest for the concluding dinner, Ambassador Stephen Bosworth, U.S. State Department special representative for North Korea Policy, joined to discuss regional approaches to resolving the North Korean nuclear issue.

Publications

- "The Future of Northeast Asia Security," final drafts of the working papers commissioned from participants are expected to be posted on IIGG's webpage in the fall of 2009
- "Coping with Pyongyang," where Dr. Smith analyzes the future of regional framework in light of North Korea's recent nuclear and missile tests and refusal to return to the Six-Party Talks

Outreach

Dr. Smith worked to actively promote the project by extending invitations to the workshop to top administration officials Dr. Samore and Ambassador Bosworth, leading regional experts Drs. Cha and Mochizuki of Georgetown University and George Washington University, respectively, Council Senior Fellow Dr. Stares, and Mr. Jannuzi, the East Asia specialist for the Senate Foreign Relations Committee. Furthermore, in keeping with our goal of bringing regional expertise to the U.S. foreign policy debate, CFR members, leading regional experts, and government representatives were invited to the roundtable on North Korea. Additionally, Dr. Smith promoted the project during her participation in a national conference call on "The North Korea Nuclear Crisis" for CFR members.

Meetings and Briefings

- June 3, 2009. Dr. Smith participated in a national conference call for CFR member on "The North Korean Nuclear Crisis." Links for related materials directed members to the CFR.org website

Interviews

- "How big a threat is North Korea?" *The Christian Science Monitor*, May 28, 2009
<http://www.csmonitor.com/2009/0528/p06s01-wosc.html>
- "North Korean nuclear crisis," 1150AM WDEL Delaware News at Noon, May 27, 2009
<http://www.wdel.com/features/0527smith.mp3>
- "Obama must respond, but options are limited," *The Globe and Mail*, May 26, 2009
<http://www.theglobeandmail.com/news/world/obama-must-respond-but-options-limited/article1154475/>
- "North Korea pushes further toward global confrontation," *PBS World Focus*, May 26, 2009
<http://worldfocus.org/blog/2009/05/26/north-korea-pushes-further-toward-global-confrontation/5527/>
- "A U.S., China Partnership on North Korea?" *NPR World*, May 26, 2009
<http://www.npr.org/templates/story/story.php?storyId=104546519>
- "A Nuclear Test for the Obama Administration," CFR.org, May 25, 2009
http://www.cfr.org/publication/19480/nuclear_test_for_the_white_house.html
- "After Latest Brinksmanship, Engaging North Korea," CFR.org, April 6, 2009
http://www.cfr.org/publication/19044/after_latest_brinksmanship_engaging_north_korea.html

B. Countering Transnational Threats (Proliferation of Weapons of Mass Destruction, Terrorism, and Infectious Disease)

1) Council Special Report: *Strengthening the Nonproliferation Regime*
Author: Dr. Paul Lettow, Adjunct Senior Fellow

This Council Special Report, written by Adjunct Senior Fellow Dr. Paul Lettow, will propose a U.S. strategy for strengthening the international nuclear nonproliferation regime. It will place the regime's major gaps and flaws in historical and current political context and assess ongoing U.S. attempts to bolster the regime. The CSR will focus on measures that the United States can pursue in the short term—the next year or two—to advance the nonproliferation regime's effectiveness in addressing proliferation challenges that threaten U.S. security. The proposed strategy will integrate efforts to fill gaps, such as the Proliferation Security Initiative (PSI) and UN Security Council Resolution 1540, with a way forward on the contested issue of enrichment and reprocessing. The CSR will emphasize priorities such as disincentivizing potentially dangerous activities, coordination among nuclear suppliers, and enforcement. It is anticipated that the report will be ready for release early Fall 2009.

Advisory Committee Meetings

- May 6, 2009. Washington, DC, Meeting of the Strengthening the Nonproliferation Regime CSR Advisory Committee
- June 9, 2009. Washington, DC, Meeting of the Strengthening the Nonproliferation Regime CSR Advisory Committee

Other Relevant Meetings

Dr. Lettow spoke on a panel on "U.S. Politics and the Electorate" at a CFR conference on Capitol Hill for congressional staff on March 23, 2009. Dr. Lettow has also met with a number of Congressional staff, from both the Senate and House and on both sides of the aisle, to discuss his upcoming Council Special Report on strengthening the nuclear nonproliferation regime.

2) Roundtable Series on Nuclear Nonproliferation
Project Director: Paul Lettow, Adjunct Senior Fellow

The Nuclear Nonproliferation Roundtable Series examines the major challenges and opportunities available to strengthen the nonproliferation regime. During the reporting period, Dr. Lettow held one meeting under the series. Dr. Samore, the White House Coordinator for WMD Terrorism and Arms Control, spoke at the first session of Dr. Lettow's Nuclear Nonproliferation Roundtable Series. He discussed the Obama administration's nonproliferation strategy and engaged in a robust discussion with the thirty-two attendees from government, academia, and the private sector. Dr. Lettow is working to secure Congressman Brad Sherman, who chairs the House Foreign Affairs Subcommittee on Terrorism, Nonproliferation, and Trade, to speak at the second session of the roundtable series later in the summer of 2009.

- "A Conversation with Gary Samore," Gary Samore, White House coordinator for WMD, terrorism, and arms control, about North Korea, Iran, Pakistan and the future

3) Nuclear Security and Nonproliferation Roundtable Series

Project Director: Charles Ferguson, Philip D. Reed Senior Fellow for Science and Technology

The Nuclear Security and Nonproliferation Roundtable Series examines urgent nuclear energy and nuclear security issues. Dr. Charles Ferguson's meetings considered strategies to manage the international nuclear fuel cycle, the future of the International Atomic Energy Agency (IAEA) and the global nonproliferation regime, new recommendations on how to reduce the risks of radiological terrorism, and track II diplomatic initiatives toward Iran. During the reporting period, Dr. Ferguson held four meetings under the Nuclear Security and Nonproliferation Roundtable series. One roundtable was in New York, while the other three were held in Washington, DC.

- "Improving Relations with Iran," Paolo Cotta-Ramusino, secretary-general of the Pugwash Conferences on Science and World Affairs, about track II diplomatic initiatives toward Iran, especially those on nonproliferation issues, Washington, DC, February 17, 2009
- "Responding to the Prospects of Radioactive Dirty Dust—Improving International Security against Radiological Terrorism," Dr. Richard Garwin, IBM emeritus fellow, Washington, DC, November 6, 2008
- "The Future of the International Atomic Energy and the Nonproliferation Regime—The Agenda for Director General Mohamed ElBaradei's Last Year," Joseph Cirincione, president, Ploughshares Fund, and Andrew Semmel, former deputy assistant secretary of state for nonproliferation, New York, October 28, 2008 "Strategies to Manage the International Fuel Cycle—Framing the Next Administration's Agenda," Congresswoman Jane Harman; on-the-record meeting held in Washington, DC, October 10, 2008

4) Workshop on Evaluating and Strengthening the Nonproliferation Regime

Project Director: Charles Ferguson, Philip D. Reed Senior Fellow for Science and Technology

May 18-19, 2009. Washington, DC. The workshop agenda and summary report are available on CFR's website at:

http://www.cfr.org/project/1432/cfr_workshop_on_evaluating_and_strengthening_the_nonproliferation_regime.html

In his April 2009 speech in Prague, President Barack Obama reaffirmed U.S. commitment to a world free of nuclear weapons. But the challenges posed by proliferation remain high, leading to questions about the ability of existing international institutions and treaties to address them. On May 18 and 19, 2009, policymakers and analysts gathered in Washington, DC, for the IIGG Workshop on Evaluating and Strengthening the Nonproliferation Regime. Over the course of three sessions, workshop participants tackled questions about the overall health of the nonproliferation regime, and how to improve it over the near and long terms. The event coincided with the end of the final

meeting of the preparatory commission for the 2010 Nonproliferation Treaty Review Conference.

The workshop included experts from government, academia, and the nonprofit sector, and consisted of three panel sessions. The first sessions examined the overall health of the nonproliferation regime and featured Joseph Cirincione, president of the Ploughshares Fund, and Scott Sagan, codirector of Stanford University's Center for International Security and Cooperation. The second session concentrated on what the Obama administration should do in the near term to strengthen the nonproliferation regime. It brought together panelists Dennis Gormley, senior fellow at the James Martin Center for Nonproliferation Studies; Paul Lettow, CFR adjunct senior fellow; Lawrence Scheinman, distinguished professor at the James Martin Center for Nonproliferation Studies; and Henry Sokolski, executive director of the Nonproliferation Policy Education Center. Jonathan Granoff, president of the Global Security Institute; Jan Lodal, chairman of Lodal & Company; and Jonathan Schell, the Harold Willens peace fellow at the Nation Institute, discussed what will be needed to ensure the long-term survival of the regime, with a specific emphasis on the "zero" option, during the third and final session. The transcript and rapporteur report for this workshop are posted on the IIGG program's website.

Outreach

In addition to his meetings series and publications, Dr. Ferguson worked to promote a vigorous exchange of views on ways to prevent the misuse of nuclear technology and nuclear materials, and to solidify and improve the international nonproliferation regime. In late November 2008, Dr. Ferguson traveled to the United Arab Emirates to present a paper and attend a conference on the global expansion of nuclear energy. (This activity was paid for by the Emirates Center for Strategic Security Research). On December 9, 2008, Dr. Ferguson met with Ambassador Tibor Tóth of Hungary, who is the executive secretary of the Preparatory Commission for the Comprehensive Nuclear Test Ban Treaty (CTBTO). They discussed U.S. prospects for CTBT ratification. They met on the margins of a nuclear energy and nonproliferation workshop sponsored by the Italian Embassy, where Dr. Ferguson gave a presentation on climate change and nuclear energy. The workshop was designed to inform the Italian government in its preparations for the G8 meeting in 2009, during which time Italy will hold the presidency. On January 8, 2009, Dr. Ferguson participated in a proliferation workshop at the National Defense University. In March 2009, he served on a distinguished global security advisory panel at Sandia National Laboratories. (This activity was paid for by Sandia National Laboratories.) In May 2009, Dr. Ferguson traveled to a NATO workshop on nuclear energy and energy security in Yerevan, Armenia, where he presented a paper on the responsibilities of states seeking to develop new nuclear energy programs.

Publications

Task Force Report

- *U.S. Nuclear Weapons Policy: The Report of an Independent Task Force* (New York: CFR Press, 2009)

Chapters in Books

- Charles D. Ferguson, "Seven Principles of Highly Effective Nuclear Energy Programs," chapter for forthcoming conference proceedings book, Nuclear Energy and Energy Security 4th Conference, NATO, 2009
- Charles D. Ferguson, "Security Infrastructure and Nonproliferation Standards," chapter for forthcoming conference proceedings book, Conference on Nuclear Energy in the UAE, Emirates Center for Strategic Studies Research, 2009
- "Nuclear Safety and Security," chapter (written anonymously with Warren Stern) for forthcoming 2009 IISS dossier on Southeast Asian nuclear developments

Articles

- Charles D. Ferguson and Michelle M. Smith, "Prime Numbers: The Nuclear Option," *Foreign Policy*, journal article, January/February 2009
- Charles D. Ferguson, "U.S. Views on Climate Change and Nuclear Energy," in *Climate Change and Nuclear Power 2008*, International Atomic Energy Agency, Vienna, Austria, 2008

Opinion Pieces

- William J. Perry, Brent Scowcroft, and Charles D. Ferguson, "How to Reduce the Nuclear Threat," *Wall Street Journal*, op-ed, May 27, 2009
- Charles D. Ferguson, "Electing the Nuclear Pope," *Foreign Policy* online, op-ed, May 2009
- Dinshaw Mistry and Charles D. Ferguson, "Iran's Missiles: Don't Go Ballistic," *International Herald Tribune*, op-ed, February 4, 2009
- Charles D. Ferguson, "A Vital Nuclear Step towards the World after Oil," *The National* (Abu Dhabi, United Arab Emirates), op-ed, January 18, 2009
- Charles D. Ferguson, "A New Approach to Iran's Nukes," *Christian Science Monitor*, op-ed, September 8, 2008

5) Event and Publication: *Creating Coherence in the Health Component of U.S. Foreign Aid: A Guidance for the 2009 Congress and President: Part II* **Project Director: Laurie Garrett, Senior Fellow for Global Health**

November 24, 2008. New York. The report is available on CFR's website at:
http://www.cfr.org/content/publications/attachments/Garrett_GlobalHealth_ActionPlan.pdf

On November 24, 2008, the Global Health Program brought together sixty-five top experts in foreign aid and global health, including government officials, members of the military and Department of Defense, academics, and leaders of corporations, NGOs, and faith-based organizations. The gathering built upon topics discussed at the first meeting in the series convened on September 8, 2008 entitled, *Creating Coherence in the Health Component of U.S. Foreign Aid: A Guidance for the 2009 Congress and President (Part One)*. During the second meeting, Ms. Garrett moderated discussions on a new vision for the organization and execution of U.S. foreign assistance, the role of the Department of Defense in foreign assistance, and the role of faith-based groups, corporate partners, and the foundations under the Obama administration. Close to twenty experts spoke during

the day-long meeting and each of the five sessions was followed by discussions between panelists and participants.

The final product of the roundtable series was a succinct Action Plan authored by Senior Fellow Laurie Garrett: *The Future of Foreign Assistance Amid Global Economic and Financial Crisis: Advancing Global Health in the U.S. Development Agenda*. The report addressed how foreign aid could be used more efficiently to strengthen health systems, discussed the growing role of the military in the development of these budgets, justified increases to the foreign aid budget despite, or because of, the global economic crisis, and provided concrete suggestions for engagement of corporations, NGOs, and FBOs in the delivery of foreign aid.

Outreach

The Action Plan was unveiled on January 22, 2009, with top experts in U.S. foreign assistance efforts at a meeting in CFR's Washington, DC, office. Representative Nita Lowey was the keynote speaker at the event and was followed by a distinguished panel of leaders in the NGO, government, and scientific sectors. Following the meeting, the report was widely distributed to offices on Capitol Hill, the U.S. Agency for International Development (USAID), the U.S. President's Emergency Plan for AIDS Relief (PEPFAR), the Department of Defense (DOD), the Office of Management and Budget (OMB), and the State Department. The launch of the report was also picked up by multiple media sources.

C. Protecting the Environment and Promoting Energy Security

1) Workshop: U.S.-Europe-Japan Cooperation on Climate Strategy Toward Developing Countries

Project Director: Michael Levi, David. M. Rubenstein Senior Fellow for Energy and the Environment

April 20-21, 2009. Washington, D.C. This was an off-the-record event.

On April 20 and 21, 2008, Michael Levi convened a workshop to discuss opportunities for cooperation and potential areas of conflict between the United States, Europe, and Japan, as they all attempt to deal with climate change. Participants from all three regions, including senior individuals from academia, NGOs, and governments, engaged in intensive discussion on a wide range of issues, including specific challenges in developing countries (including China, India, and Brazil), tools (such as technology cooperation, carbon trading, and trade sanctions), and institutions and forums for developing future policy (including the United Nations, Bretton Woods institutions, G8, G20, and the Major Economies Forum on Energy and Climate). Dr. Levi is currently completing a *Foreign Affairs* essay based heavily on the workshop's findings. It will focus on approaches to engaging developing countries and strategies for the upcoming climate negotiations in Copenhagen. He is also preparing a more technical working paper focused specifically on U.S.-Europe-Japan coordination.

Outreach

Dr. Levi shared findings from the workshop in meetings with, among others, Lead U.S. Climate Negotiator Todd Stern, Deputy Assistant Secretary of Treasury for Energy and Environment Billy Pizer, Associate Director of the Council on Environmental Quality Jason Bordoff, and Assistant Director of the Office of Science and Technology Policy Steve Fetter, as well as congressional staff. He also included findings from the workshop in a congressional staff briefing at which he spoke in May. He expects to conduct further outreach once the above-noted written products are completed.

Publications

Articles (to come)

- Michael A. Levi, "TBA," *Foreign Affairs*, 2009
- Michael A. Levi, "TBA," Working Paper, 2009

2) Council Special Report: *The National Interest and Law of the Sea* Author: Scott Borgerson, Visiting Fellow for Ocean Governance

May 2009. The final publication of this CSR is available on CFR's website at <http://www.cfr.org/publication/19156>

In this report, CFR Visiting Fellow for Ocean Governance Scott G. Borgerson outlined how an upswing in piracy attacks off the coast of Somalia, the rise of new naval powers such as China and India, and a rapidly melting polar ice cap that is opening the Arctic to international shipping and resource extraction are but a few of the pressing issues that give mounting urgency for the United States to finally join the Law of the Sea Convention. Senator John Kerry (D-MA), chairman of the Senate Foreign Relations Committee, said that this report: "Succinctly outlines the costs of remaining outside and the benefits of joining the 1982 United Nations on the Convention on the Law of the Sea. This report should be the first reading for those seeking to understand the arguments surrounding the treaty and how finally acceding to the convention is in our national security, economic, and environmental interests."

Outreach

In addition to his meetings series and publications, Dr. Borgerson has become the foremost U.S. expert on shipping policy and the geostrategic implications of the melting Arctic. Senator Kerry handed his Law of the Sea report personally to President Obama. Dr. Borgerson had a private working breakfast with the Canadian foreign minister and ambassador to the United States to discuss his ideas about a new U.S.-Canadian treaty in the Arctic and frequently advises senior U.S. and Canadian officials.

Dr. Borgerson was also involved in the presidential transition process, helping to craft an ocean policy agenda for the new administration. He twice testified before Congress, first before the House Foreign Affairs Committee and then before the Senate Foreign Relations Committee. Dr. Borgerson is frequently sought by senior government officials and personally advised Vice President Biden, senators, congressmen, and various senior government officials including Ambassador Negroponte and the coast guard commandant. He has given numerous talks to national and international audiences and, over the past year, was also a regular guest on major television and radio programs

speaking on a wide range of foreign policy, homeland security, and maritime topics.

Publications

- "Addressing the Ocean Crisis," CFR Expert Brief, available at CFR.org, April 7, 2009
- "Changing Oceans, Changing World," Joint Oceans Commission Initiative oceans policy agenda for the Obama administration and the new Congress, April 7, 2009
- "An Arctic Circle of Friends," op-ed with Caitlyn Antrim, *The New York Times*, March 28, 2009
- "The Great Game Moves North," *Foreign Affairs*, March 2009
- "2009 Transportation Challenges," *The Journal of Commerce Annual Review and Outlook*, January 2009
- "Sea Change," *The Atlantic Monthly*, Vol. 302 No. 4, November, 2008
- *America's Deep Blue Highway—How Coastal Shipping Could Reduce Traffic Congestion, Lower Pollution, and Bolster National Security*, coauthored report with the Institute for Global Maritime Studies, available from www.igms.org, September 24, 2008
- "Palin's Alaska Makes Case on Climate Change," op-ed with Michael Levi, *USA Today*, September 24, 2008
- "Russia's Other Front," op-ed, *The Huffington Post*, August 19, 2008
- "Climate Challenges that are also Extraordinary Opportunities," *The European Voice*, available from <http://www.euronews.net/>, August 11, 2008
- Regular contributor to *Security Debrief*, <http://securitydebrief.adfero.com/>, a prominent blog dedicated to homeland security, counter-terrorism, intelligence and law enforcement policy debates

3) **Roundtable Series on Strategic Oceans Governance**

Project Director: Scott Borgerson, Visiting Fellow for Ocean Governance

This Roundtable Series examines ocean governance issues of strategic importance to the United States. Dr. Borgerson's events are interdisciplinary in focus and covered such ocean governance challenges as the melting Arctic, the rise of China's navy and fisheries collapse. Six roundtables were held in all including discussions with Senator Kerry (D-MA); two events with Senator Murkowski (R-AK); ADM Walsh, Vice Chief of Naval Operations; John Bellinger III, former legal advisor to the Secretary of State and National Security Advisor; John Burnett, world renowned piracy expert and author of *Dangerous Waters*; and Diane Regas, executive vice president of the Environmental Defense Fund.

- "A Polar Park?" with John Bellinger III, adjunct senior fellow, CFR, and former legal adviser for the U.S. Department of State and National Security Council, May 4, 2009
- "The National Interest and the Law of the Sea," with Senator Kerry, Senator Murkowski, and senior U.S. stakeholders, April 28, 2009
- "Pirates in the 21st Century: Exotic Threat or Global Risk," with John Burnett, author of *Dangerous Waters*, and Michael Mitchell, esq., international maritime piracy expert, December 18, 2008
- "Creative Approaches to Ocean Governance," with David Rockefeller, Jr., and Diane Regas, Environmental Defense Fund executive, November 20, 2008
- "A Cooperative Strategy for 21st Century Seapower," with Admiral Patrick Walsh, vice chief of naval operations, October 29, 2008

- “Is the US Prepared for the Melting Arctic?” with Senator Lisa Murkowski, September 15, 2008

D. Managing the Global Economy

1) Council Special Report: *Lessons of the Financial Crisis*

Author: Benn Steil, Senior Fellow and Director of International Economics

March 2009. The final publication of this CSR is available on CFR's website at http://www.cfr.org/financial_crisis_report/

In March 2009, CFR released *Lessons of the Financial Crisis*. In this report, CFR Senior Fellow and Director of International Economics Benn Steil argues that the crisis is a classic bust of a credit boom created by policies whose combined effects were to increase the demand for debt to unsustainable levels. U.S. monetary policy, taxation policy, and home-ownership-promotion policy were so conducive to credit expansion that the idea, understandably popular in Washington and Brussels, that preventing future such crises can be accomplished simply by waking up regulators “asleep at the switch” is dangerously simplistic. The United States in particular, given that it effectively sets monetary and credit conditions for a significant portion of the global economy, needs to put in place policies that can better recognize and curtail an incipient credit boom, and ensure that systemically important financial institutions can withstand its unwinding.

Advisory Committee Meetings

- November 24, 2008. New York. Meeting of the Financial Crisis CSR Advisory Committee. Author: Benn Steil, senior fellow and director of international economics, CFR. Chairs: Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies, and Paul A. Volcker, former chairman of the board of governors, Federal Reserve System
- December 9, 2008. Washington, DC. Meeting of the Financial Crisis CSR Advisory Committee. Author: Benn Steil, senior fellow and director of international economics, CFR. Chairs: Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies and Paul A. Volcker, former chairman of the board of governors, Federal Reserve System

Council Meetings with Benn Steil relevant to the Report

- “Fixing Finance: Reactions and Over-Reactions.” Other featured speakers: Peter R. Fisher, managing director, BlackRock, and David S. Scharfstein, Edmund Cogswell Converse professor of finance and banking, Harvard Business School. Presider: Alan S. Murray, deputy managing editor and executive editor, online, *Wall Street Journal*. New York, May 12, 2009
- “The G20 London Summit.” Other featured speaker: Richard Clarida, C. Lowell Harriss professor of economics and international affairs. Presider: Merit E. Janow, Law School and School of International and Public Affairs, Columbia University, April 2, 2009
- “Higher Education Working Group: The Global Financial Crisis.” Other featured speakers: Amity Shlaes, senior fellow for economic history, CFR, and Martin Wolf,

associate editor and chief economics commentator, *Financial Times*. Presider: Richard Haass, president, CFR, March 31, 2009

2) Council Special Report: *Global Imbalances and the Financial Crisis*

Author: Steven Dunaway, Adjunct Senior Fellow for International Economics

March 2009. The final publication of this CSR is available on CFR's website at <http://www.cfr.org/publication/18690>

In March 2009, CFR released *Global Imbalances and the Financial Crisis*, sponsored by the Maurice R. Greenberg Center for Geoeconomic Studies and the Program on International Institutions and Global Governance. In this report, CFR Adjunct Senior Fellow for International Economics Steven Dunaway argues that policymakers must go beyond bailouts and stimulus packages and tackle one of the root causes of today's crisis: imbalances between savings and investment in major countries. The report analyzes the nature of these imbalances, which occur when some countries, such as the United States, run large current account (essentially trade) deficits while others, such as China, maintain large surpluses. Dunaway identifies three features of the international financial system that have allowed the imbalances to persist, features that involve both floating and managed exchange rates as well as the issuance of reserve assets. In particular, he notes that the United States' status as an issuer of such assets has enabled it to finance a current account deficit. The report then prescribes a variety of steps to address global imbalances. Beyond stimulus packages around the world, it urges measures to raise savings (principally government savings) in the United States, reform labor and product markets in Europe and Japan to increase competition and flexibility, and boost domestic consumption in China. Finally, the report advocates improving International Monetary Fund (IMF) surveillance of member states' economic policies by reducing the role of the Fund's executive board and depoliticizing the selection of its senior management.

Advisory Committee Meeting

- January 27, 2009 in New York; January 30, 2009 in Washington, DC. Global Imbalances Advisory Committee Meeting. Author: Steven Dunaway, adjunct senior fellow for international economics. Presider: Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies

Meetings and Briefings

- March 19, 2009. Rollout Meeting in Washington, DC
- March 20, 2009. Capitol Hill Briefing
- March 24, 2009. Media Conference Call: The G20 Summit
- May 6, 2009. State and Local Officials Conference Call: Global Imbalances and the Financial Crisis

E. Preventing and Responding to Violent Conflict

1) Roundtable Series on the United Nations

Project Directors: Stewart Patrick, Senior Fellow and IIGG Director; Micah Zenko, Fellow for Conflict Prevention, and Kara McDonald, International Affairs Fellow in Residence

The off-the-record UN Roundtable Series seeks to organize high-level discussions with senior UN officials, including officials from member states and regional organizations, on timely issues related to conflict prevention, peacekeeping, and international security. A core group of selected invitees from member state governments, the private sector, and nongovernmental communities will participate in these discussions. The goal of these not-for-attribution Roundtable meetings is to raise awareness of the role of the UN in addressing critical issues of peace and security.

Roundtables

- "Conflict Prevention at the United Nations," Bob Orr, UN assistant secretary-general for policy coordination and strategic planning, May 10, 2009
- "The UN Mission in Iraq: A Conversation with Stefan de Mistura," Stefan de Mistura, special representative of the secretary-general in Iraq, United Nations, June 22, 2009
- "The UN Mission in Sudan: A Conversation with Ambassador Ashraf Qazi," Ambassador Qazi, special representative of the secretary-general in Sudan, United Nations, June 22, 2009

Publications by Micah Zenko

- "Say No to a Darfur No-Fly Zone," *Guardian* (online), March 12, 2009
- "Pakistan Strikes are Not the Answer," *Guardian* (online), March 19, 2009
- "To Protect Noncombatants, Seek a Ceasefire," *nytimes.com* (online), March 19, 2009
- "For Obama and Medvedev, Bombs Away," *Guardian* (online), April 1, 2009
- "Bombing Somalia is a Dud," *Los Angeles Times*, April 23, 2009
- "Are U.S. Missile Strikes in Pakistan a Dud Policy," *Christian Science Monitor*, May 4, 2009
- "Controlling America's Deadly Drones," *Guardian* (online), May 15, 2009

Publications by Kara McDonald

- "Sanctioning North Korea," CFR Podcast, June 19, 2009
- "Righting the Wrongs of the UN's Top Human Rights Body," CFR Expert Brief, May 13, 2009

F. Strengthening International Law, Advancing Human Rights, and Promoting Democracy

1) Roundtable Series on the United States, the Rule of Law and the Use of Force Project Director: Davis Robinson, Adjunct Senior Fellow

This off-the-record roundtable series served as a venue for policymakers, scholars, legal professionals, and journalists to exchange ideas and reach conclusions on issues at the

intersection of international law and U.S. foreign policy. During the reporting period, Davis Robinson's series focused on the history, practice, and theory surrounding use-of-force issues. Five meetings were held under this series:

- "The Use of Force in International Law and Two Mistaken Models – Anything Goes or Nothing Goes;" with John Norton Moore, professor and director of the Center for National Security Law at the University of Virginia's School of Law, in Washington, DC, December 4, 2008
- "The Practice of States Since the Adoption of the U.N. Charter;" with Thomas Franck, professor emeritus from New York University's School of Law, and Michael Glennon, professor of international Law at the Fletcher School at Tufts University in New York, January 16, 2009
- "The Impact of Decisions of the World Court - Nicaragua, Oil Platforms and the Wall" with Ruth Wedgwood, professor of International Law and Diplomacy at SAIS, and Judge Stephen Schwebel, former president of the International Court of Justice, in Washington, DC, February 12, 2009
- "Humanitarian Intervention and International Law;" with Morton Halperin of the Open Society Institute and Professor Sean Murphy of the George Washington University Law School, in Washington, DC, March 3, 2009
- "'Preemptive' and 'Preventative' Self-Defense," with David Abramowitz, chief counsel, U.S. House of Representatives Committee on Foreign Affairs; John Bellinger, former legal adviser, U.S. Department of State; and Michael Matheson, professor at the George Washington University Law School, in Washington, DC, April 15, 2009

2) Roundtable Series on the Rule of Law and U.S. Foreign Policy

Project Director: Matthew Waxman, Adjunct Senior Fellow in Law and Foreign Policy

This is a complementary off-the-record roundtable series to the one listed above, acting as a venue for policymakers, scholars, legal professionals, and journalists to exchange ideas and reach conclusions on issues at the intersection of law and U.S. foreign policy. During the reporting period, Matthew Waxman's series focused on U.S. counterterrorism law and policy in transition, human rights in twenty-first century international relations, and other international law challenges facing the Obama administration. Five meetings were held under this series:

- "U.S. Foreign Policy and the Rule of Law," Benjamin Wittes, fellow and research director in public law, Brookings, in New York, October 21, 2008
- "Engaging from Strength: International Institutions and the Iran Question," Nader Mousavizadeh, former Special Assistant to UN Secretary-General Kofi Annan, cohosted with Noah Feldman, CFR adjunct senior fellow, New York, November 5, 2008
- "International Law Challenges for the Obama Administration," John Bellinger, former legal adviser, U.S. Department of State, New York, February 5, 2009
- "Democracy, Rule of Law, and Human Rights in 21st-Century International Relations," Rosalie Abella, justice of the Supreme Court of Canada, New York, February 23, 2009

- “U.S. Counterterrorism Law and Policy in Transition,” Ashley Deeks, assistant legal adviser for political-military affairs, U.S. Department of State, New York, May 15, 2009

G. Additional Events

The Robina grant supported the following events, which all fell under the mandate and scope of the IIIGG program.

National Program Events

The National Program, which supports CFR members who reside outside of New York and Washington, DC, (over one-third of CFR’s membership), is centered around small foreign policy seminars and roundtables that give CFR members and other leaders the opportunity to engage in CFR’s work and expose CFR fellows to perspectives.

- CFR Senior Fellow Sheila Smith led a National Program Roundtable in Tokyo on U.S. policy toward Asia, August 8, 2008
- CFR Senior Fellow Charles Ferguson led National Program Seminars in Boston (October 27, 2008), Chicago (October 16, 2008), and Atlanta (October 15, 2008) on a draft version of the CFR-sponsored Independent Task Force on U.S. Nuclear Weapons Policy
- CFR Senior Fellow Charles A. Kupchan led a National Program Roundtable in London entitled *Minor League, Major Problems: The Case Against a League of Democracies*, January 15, 2009
- CFR Fellow Brad Setser led a National Program Roundtable in London on strategic threats related to the global financial crisis, February 23, 2009
- CFR Senior Fellow Laurie Garrett led a conference call with religious and congregational leaders and scholars on her paper *The Future of Foreign Assistance Amid Global Economic and Financial Crisis*, March 5, 2009
- CFR Senior Fellow Benn Steil discussed the global economic crisis and his Council Special Report, *Lessons of the Financial Crisis*, with the Higher Education Working Group on Global Issues. This meeting focused on the global financial crisis and institutional strategies for responding to it, March 31, 2009
- CFR Senior Fellow Stewart Patrick led National Program Roundtable sessions in Los Angeles (March 31, 2009) and San Francisco (April 1, 2009) on *The Rise of American Multilateralism: Historical Lessons for the Global Financial Crisis and World Order*
- CFR Adjunct Senior Fellow Steven Dunaway led a conference call with state and local leaders on his Council Special Report on *Global Imbalances and the Financial Crisis*, May 6, 2009

General Meetings

The General Meetings provides a forum to engage CFR members in New York and Washington with prominent leaders and experts from government, international institutions, and academia to discuss current affairs and global issues.

- “G8 Summit Preview,” featuring Ambassadors Ichiro Fujisaki of Japan, Sergey I. Kislyak of Russia, and Nigel Sheinwald of the United Kingdom in a discussion of their

countries' respective economic interests and goals heading into this historic summit, June 17, 2009

- "A Conversation with OECD Secretary-General Angel Gurría," on what the global financial crisis means for the Organization for Economic Cooperation and Development's (OECD) efforts to promote sustainable economic growth, June 2, 2009
- "The G20 London Summit," featuring speakers Richard Clarida, C. Lowell Harris professor of economics and international affairs, Columbia University, and Benn Steil, senior fellow and director of international economics, CFR. Merit Janow, from Columbia University Law School and School of International and Public Affairs, presided over the discussion, April 2, 2009
- "Global Economic Trends: Lessons of the Financial Crisis," featuring *Financial Times* Columnist Martin Wolf on the lessons learned of the financial crisis, their implications, and prescriptions for the Summit and beyond, March 27, 2009
- "A Conversation with Tony Blair," to discuss the Middle East and prospects for peace, December 3, 2008
- "Dominance or Decline: The U.S. in the World of 2025," to highlight the release of the National Intelligence Council report, "Global Trends 2025," which forecasts the future of international developments, including globalization, America's influence in the world, the role of international institutions, and the effects of climate change, October 20, 2008
- "Global Economic Trends: The Trading System," featuring Professor Bhagwati and President Zedillo for a discussion of global trade and the consequences of PTAs, September 23, 2008
- "Global Economic Trends: A Conversation with Robert Zoellick," speaking about the World Bank's efforts to foster development and reduce poverty in the context of rising commodity prices and a shaky American economy, September 10, 2008

Congressional Senior Staff Roundtables, Expert Bank Briefings, and House Chiefs of Staff Luncheons

These events engage members of Congress and their staffs on both sides of the aisle in conversation about and analysis of critical international issues, the Congress and U.S. Foreign Policy Program's activities bring valuable perspectives to policymakers on issues that matter to them and their constituents.

Some of these efforts include:

- "Defense, Development and Diplomacy: A Balanced Approach," featuring IIGG director and senior fellow Stewart Patrick, who argued that serious consideration needs to be given to strengthening nonmilitary programs that support the U.S. national security agenda. Dr. Patrick offered his recommendations for a balanced approach to U.S. foreign assistance, and suggestions on how to allocate to and align U.S. defense, development, and diplomatic instruments, June 15, 2009
- "U.S. Strategy in Iraq, Afghanistan, and Pakistan," where CFR Senior Fellows Daniel Markey and Stephen Biddle briefed Senator Mark Warner in preparation for a CODEL to the region. May 14, 2009
- *May 4, 2009: Energy and Climate Change: Linking Domestic and Foreign Policy*

- “Energy and Climate Change: Linking Domestic and Foreign Policy,” featuring CFR Senior Fellow Michael Levi, who shared his recommendations for the climate change and energy policy debate, and offered his analysis of recent policy proposals on the Hill, with a special emphasis on how they will affect U.S. foreign policy and national security, May 4, 2009
- “Global Imbalances and the Financial Crisis,” featuring CFR Adjunct Senior Fellow Steven Dunaway, who made the sobering case that without action to remedy global imbalances, they could balloon again and imperil future economic growth, March 20, 2009
- “NATO, Russia, and the Near Abroad,” featuring CFR Senior Fellow Charles Kupchan and Ambassador Pifer, who analyzed the NATO-Russia relationship, and discussed what prospects existed for improving the United States’ relationships with Russia and the European Union at NATO’s 60th birthday summit, March 6, 2009
- “Piracy, Ocean Governance, and U.S. Strategic Interests at Sea,” featuring CFR Visiting Fellow Scott Borgerson, who shared his thoughts on mitigating piracy and other maritime security threats through better ocean governance, and improving the United States’ strategic interests at sea, February 27, 2009
- “Sovereign Wealth and Sovereign Power,” featuring CFR Fellow Brad Setser, who provided an intriguing perspective on America’s political and economic position in an age of globalization, and offered insight into the role of sovereign wealth funds in the midst of troubled economic times, October 24, 2008

International Institutions and Global Governance Program

Annex II: FY10 Anticipated Activities

Project Director: **Stewart Patrick**, *Senior Fellow and Director of the Program on International Institutions and Global Governance*

Reporting Period: April 30, 2008 – June 30, 2009

Report Due: July 31, 2009

A) IIGG Core Staff

During FY 10, IIGG core staff will launch three major new initiatives: (1) a set of focused workshops designed to build coherence, draw lessons, and distill policy recommendations across multiple issue areas of global governance; (2) a series of meetings, to be hosted in the United States and abroad, on emerging-power attitudes toward the main challenges of global governance and priorities for global institutional reform; and (3) a series of workshops in Washington, DC, and New York examining the growing role of regional arrangements in global governance. In addition, during FY10 the IIGG program will produce five to six more installments of the Global Governance Monitor; create a more dynamic IIGG webpage; host two separate roundtable series in Washington, DC, and New York; sponsor an annual conference in Washington, DC, and co-sponsor another at Princeton University; and launch several significant publications, including an analysis of U.S. and international public attitudes toward global governance and multilateral cooperation. Finally, Stewart Patrick anticipates publishing one book and beginning work on another during FY10.

1. Illuminating Priorities for Global Governance Reform

As outlined in the original Concept Document (and grant proposal), the IIGG program was established to identify the institutional requirements for effective multilateral cooperation in addressing today's most pressing global challenges. To glean insights on the challenge of global governance across different issue areas, and to build program coherence, the IIGG program will host three workshops (consisting of three to four sessions each) focused on specific thematic areas of global governance, including

terrorism, nonproliferation, the environment, peacekeeping, global finance, human rights, etc. The IIGG program intends to commission background papers from noted experts prior to each workshop, which will subsequently be turned into issue briefs and working papers that will be posted on the IIGG website. The experts' meetings and papers will also feed into an eventual single-author volume on the United States and the future of global governance, which Stewart Patrick intends to write in FY10-FY11.

2. Emerging-Power Attitudes toward International Institutions: Meeting and Paper Series

Prospects for sustained and effective multilateral cooperation on major global questions will depend, as they have historically, on the distinctive world order visions and national interests of the great powers. In a series of international meetings, the IIGG program intends to explore the views of the main emerging global players—particularly China, Russia, India, and Brazil—on critical issues of multilateral cooperation, including their respective priorities for global institutional reform. Separate gatherings will be held in Beijing, Moscow, New Delhi, and Rio de Janeiro and will involve eminent scholars and prominent policymakers from each nation. The IIGG program will organize these meetings in close collaboration with relevant CFR fellows. Given anticipated logistical requirements of multiple international meetings, this initiative may carry over into FY11. The research effort will culminate in a series conference reports and working papers identifying dominant strains in strategic thinking in each country and outlining potential U.S. policy responses for integrating these rising players into the current, Western-dominated framework of international rules and institutions.

3. Regionalism and Global Governance: Workshop and Working Paper Series

Regional and subregional organizations are playing an increasingly prominent role as complements and often alternatives to universal membership organizations. During FY10, the IIGG program will work closely with relevant CFR senior fellows to map and evaluate this trend, commissioning background papers and holding a series of workshops in New York and Washington, DC. The meetings will include eminent U.S. and foreign scholars and experts on regional dynamics in Africa, the Americas, Europe, the Middle East, and South, East and Central Asia. This effort will culminate in a set of issue briefs and working papers describing evolving regionalism and assessing its implications for the United States. These findings, along with the emerging powers initiative described above, will feed into the agenda of the FY10 IIGG annual conference.

4. Global Governance Monitor and Webpage

a. Adding New Issues to the Monitor

IIGG launched the first installment of the Global Governance Monitor (on Nuclear Nonproliferation) in June 2009. During FY10, the IIGG program will launch five to six additional installments, beginning with Global Finance, notionally followed by Terrorism, Global Health, Energy and the Environment, Oceans, and International Crime. When complete, the Global Governance Monitor will represent the first detailed mapping and evaluation of the current framework of global governance. Each component will include (a) a cinematic overview, akin to CFR.org Crisis Guides; (b) a multimedia timeline; (c) an issue brief or primer describing the history and nature of challenge, outlining recent developments, and anticipating issues on the horizon; (d)

an interactive global map; (e) a matrix of major relevant treaties and multilateral initiatives, including gaps in coverage and implementation; and (f) references for further reading.

By rolling out a new installment every two months or so, we will keep the website fresh and drive traffic to it. We are working closely with David Kellogg and his colleagues in CFR.org to produce the Monitor, which is being undertaken at relatively modest expense per issue area by the firm Media Storm. We will continue to use our own IIGG research associates (RAs), other Studies RAs (as available), and part-time consultants to do relevant background work, under the supervision of relevant Studies fellows. Our new "Web RA" will have responsibility for regular updates of the Monitor components.

b. Creating a More Dynamic IIGG Webpage

The recent arrival of our second "Web RA" will permit us to make the IIGG site more dynamic and compelling, through more frequent updates, including tracking and providing analysis of the fast-changing global and multilateral agenda across a wide range of issue areas. We are working with the CFR's web development team to create subpages devoted to specific global issues, and to better showcase work of CFR fellows who are contributing to the IIGG program, including with Robina funding.

5. Roundtable Series

a. The United States and the Future of Global Governance

This core series will continue to provide Members with an opportunity to discuss priority challenges and U.S. policy options for global institutional reform. Stewart Patrick hosted fifteen separate, well-attended events in this series in New York and Washington, DC, in FY09. He anticipates holding seven to eight more sessions in FY10 on various topics, such as: alternative futures for the G20; improving global health governance; prospects for a World Energy Organization; and U.S. policy toward the ICC (etc.).

b. United Nations Roundtable (co-hosted with Micah Zenko of CPA)

In collaboration with International Affairs Fellow Kara McDonald, Stewart Patrick will co-host periodic Washington, DC,-based events of this roundtable, jointly organized with Micah Zenko of CFR's Center for Preventive Action (CPA). The series will focus primarily on the UN's role in peace and security (including role of Security Council, UN Department of Political Affairs and Department of Peacekeeping Operations, the Peacebuilding Commission, the Counter-Terrorism Committee, and related topics) as well as the ongoing UN reform agenda, including in such entities as the Human Rights Council. The series will serve as a vehicle to engage nonpermanent UN Security Council members in New York, and members of Congress and their staffs in Washington, DC. We anticipate four to five meetings in Washington, DC, during FY10.

6. Events

a. Second Annual IIGG Conference (Washington, in April or May 2010)

The focus of this event will be "Regionalism, Regional Powers, and Global Governance." Building on the Emerging Powers meetings and the Regionalism workshops, the conference will address two distinct but related trends with implications for global governance: (1) the rise of regional and subregional organizations, both as a complement and an alternative to globalism; and (2) the distinctive approaches of major rising powers toward global institutional reform and multilateral cooperation.

b. Princeton University Conference on "New Directions in Global Governance" (co-sponsor)

CFR's IIGG program is partnering with Professor John Ikenberry of the Woodrow Wilson School at Princeton University, the Center for International Governance Innovation (a Canadian think tank), and the Stanley Foundation to sponsor this one-and-a-half day conference in early January 2010. Conference sessions will address: (a) the shifting geopolitical foundations of global governance; (b) the future of security institutions; (c) Bretton Woods institutions and the "GX" groupings; (d) implications of the rise of China; and (e) the new transnational agenda (health, climate, etc.) The conference will include both prominent academic thinkers and current/past policymakers.

c. International Studies Association annual meetings

Stewart Patrick will chair a roundtable on "Global Governance in Theory and Practice: Conceptual Breakthroughs and Real-World Innovations," featuring several prominent scholars from think tanks and universities (New Orleans, February 2009).

7. Anticipated Publications

In addition to the Working Papers outlined above, and periodic op-ed commentary, during FY10 IIGG staff anticipates producing at a minimum the following publications:

a. Public Attitudes Toward Global Governance and Multilateral Cooperation

We have contracted with Steven Kull and his colleagues at WorldPublicOpinion.org to conduct an analysis of recent polling data on public perceptions and attitudes toward global governance, both in the United States and in other major countries. The document will include analysis of extensive data on attitudes toward specific international institutions and particular global challenges. Public opinion is critical in shaping the political context and constraints for efforts to reform existing international institutions. The report should be ready for posting on IIGG web-site by September 2009.

b. Book on Weak States/Global Threats

The draft manuscript of Stewart Patrick's single-author volume, *Weak Links: Fragile States, Global Threats, and International Security*, has been completed and submitted to a major university press for consideration. This manuscript constitutes the first rigorous analysis of the conventional wisdom that weak and failing states are disproportionately responsible for today's main global and transnational security threats. After an overview chapter on state weakness and its causes, five chapters address specific global threats (transnational terrorism, WMD proliferation, transnational crime, infectious disease, and energy insecurity).

c. Article on Trade-offs between Forms of Multilateral Cooperation

During the summer, Stewart Patrick will complete an article a forthcoming issue of *The Washington Quarterly* on the challenges of reforming global governance and the trade-offs of U.S. reliance on ad hoc coalitions of the willing versus standing international institutions.

d. Beginning work on single-author volume, *The United States and the Future of Global Governance*

This book will examine the requirements for effective global governance in the twenty-first century, focusing particularly on the interests and role of the United States in forging multilateral cooperation on today's most pressing global problems. Several of the book's chapters will address the changing context of global governance and the need for institutional reform. These sections will touch upon the shifting global agenda, the impact of emerging powers, the rise of regional organizations, and the growing role of non-state actors. Other chapters will concentrate on the opportunities for—and constraints on—U.S. leadership in promoting effective multilateral responses to these trends. These chapters will address issues including the changing nature of U.S. sovereignty and the future of U.S. "exceptionalism;" the role of the U.S. Congress and the public in shaping the content and contours of U.S. global engagement; the trade-offs between alternative frameworks of multilateral cooperation from a U.S. perspective; and the promise and limitations of international institutions and law as foundations for U.S. power and global leadership.

ANTICIPATED PROJECTS OF OTHER CFR FELLOWS WITHIN CFR STUDIES DEPARTMENT

During FY10, the IIGG program hopes to sponsor several issue-specific and regional initiatives by other members of CFR's Studies Department. In most cases, these individual components were anticipated in the original grant application to the Robina Foundation. If implemented in full, the ambitious agenda outlined below could result in ten or more Council Special Reports produced by the IIGG program during FY10, far exceeding the annual number projected in the Council's grant application. (The majority of these CSRs have not yet been formally proposed to the director of Studies or the Executive Office, but we intend to do so shortly). These initiatives also include three distinct Roundtable series.

Possible research projects are listed on the following page:

Possible Council-wide IIGG Initiatives for FY10

Issue or Region	Topic
Nuclear Nonproliferation	• IAEA: Meetings and CSR on reforms to International Atomic Energy Agency • PSI: CSR on Proliferation Security Initiative • Strengthening the Nuclear Nonproliferation Regime: CSR slated for publication in early FY09
Energy and Environment	• Energy Security: Meetings and CSR or working paper on multilateral architecture for global energy security • Climate Change: Meeting and CSR or working paper on post-Copenhagen architecture required for international cooperation on climate change
Global Health	• Strengthening the Who's International Health Regulations: Meetings and CSR • Assessing the Global Health Architecture: workshop or conference, on bringing coherence to global health architecture
International Law	• The International Criminal Court: CSR on U.S. Engagement with the ICC • U.S. Foreign Policy and the Rule of Law: Roundtable Series in New York and Washington
Security and Conflict	• Securing Critical Infrastructure: Meetings and CSR on multilateral efforts to protect infrastructure of global commerce, including civil aviation, maritime components • Improving Targeted Sanctions: Meetings and CSR on identifying gaps and strengthening UN sanctions regimes, based on experience of Resolutions 1267, 1373, etc
Global Economy	• Global Financial Architecture: Envisioned set of meetings and CSR will examine needed changes to framework of global financial cooperation in the wake of the ongoing economic crisis
<i>Regional Initiatives*</i>	
Asia	• Security Architecture in Northeast Asia: Robina funding will permit hosting of workshop in Asia in autumn 2009 and publication of conference papers on CFR website
Western Hemisphere	• Multilateral Cooperation on Transnational Crime in the Americas: Meetings and publication will address Inter-American responses to combat narcotics trafficking and organized crime in Mexico, Central America, Caribbean, and Andean region
Africa	• Africa's Emerging Peace and Security Institutions: CSR will assess recent developments in AU and sub-regional advances in African peace and security architecture and potential steps United States can take to support these developments
Europe	• NATO at 60: CSR on the crisis facing the alliance as it enters middle age, already under way and scheduled for completion in Fall 2009
United Nations	• Reforming the United Nations: CSR will propose options to strengthen and reform the United Nations

**The regional initiatives identified here are in addition to the Regional Workshops described above under IIGG Core Staff Activities, which will be organized by IIGG core staff (in collaboration with relevant fellows).*

Roundtable Series

In addition to the above initiatives, IIGG will support three Roundtable series led by non-IIGG fellows in the upcoming year:

- **Roundtable on the United States and the International Rule of Law (two parallel series)**

The IIGG program will continue to sponsor this roundtable series both in New York and Washington, DC. Matthew Waxman will host through FY10 this series in New York, examining the place of the United States in the global legal architecture. John Bellinger will assume leadership of the Washington, DC, series in FY10.

- **Roundtable on Strategic Ocean Governance**

Scott Borgerson will lead this ongoing roundtable series through FY10 on U.S. policy toward global oceans governance, addressing issues ranging from Proliferation Security Initiative, to piracy, environmental issues, protection of sea lanes, energy security, global commerce, naval posture, etc.

- **UN Roundtable** (Micah Zenko, Kara McDonald, with Stewart Patrick)

The IIGG program will cosponsor this series on U.S.-UN relations and role of the United Nations in international peace and security, as well as in broader multilateral agenda. Topics for roundtable will include role of Security Council, UN DPKO, UN DPA, Counter-Terrorism Committee, Human Rights Council, etc. This roundtable will be held both in Washington, DC, and in New York.