



[Robina Foundation](#)

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MONDAY, AUGUST 22

TUESDAY, AUGUST 23

WEDNESDAY, AUGUST 24

8:00 a.m.	Board Meeting Continued – see Agenda
Noon	Adjournment of Annual Meeting

Robina Foundation Board of Directors' Annual Meeting
Tuesday, August 23, 2011

Time	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.) (Continental Breakfast in Meeting Room available at 7:30 a.m.)	Tab#
8:00 a.m.	Welcome and Call to Order – Crosby	
8:05 a.m.	Guests: Jerry Anderson, Tim Towle, Joe Hinderer – USBank Mike Sullivan – Investment Consultant Robina Foundation Financial Management Discussion to include: • Revised Investment Policy • Implications of Policy • Flexibility of Policy • Reporting • Investment Authority Financial Projections: 10 & 15 Year Foundation Term Scenarios	1
	Guest: Mike Sullivan Investment Supervision Discussion to include: • Role of Mike Sullivan • Investment Committee	2
10:00 a.m.	"Unstructured" Board Discussion of Grantmaking , including • Grantmaking Philosophy • Foundation "legacy" • Impact of time scenarios on grantmaking • Foundation / Robina Grantee relationship ("long leash vs. short leash") • Grantee reporting / Foundation monitoring • Equality among Robina Grantees • Use of "discretionary" fund	3
12 Noon	Working Lunch (to be provided in meeting room) Systems Approach to Late Life Supportive Care: Abbott Northwestern Hospital / Allina Hospitals and Clinics • Review of proposal • Discussion of reports by outside reviewers • Discussion - Action	Proposal Notebook Tab 1
1:00 p.m.	The Robina Institute of Criminal Law and Justice at the U of M Law School • Review of proposal with Dean David Wippman and Mike Tonry • Discussion of reports by outside reviewers • Q & A	Proposal Notebook Tab 3
2:00 p.m.	Council on Foreign Relations • International Institutions: Global Governance • Technology Support • Diversity Scan • Discussion - Action	Proposal Notebook Tab 2
3:00 p.m.	Yale University • Yale Law School • Yale School of Drama • Discussion - Action	Proposal Notebook Tab 4 & 5
4:00 p.m.	Adjournment	
6:00 p.m.	Board Social Evening – Home of Kathleen Blatz and Wheelock Whitney	

ROBINA FOUNDATION
Annual Board Meeting

August 22-24, 2011
Minneapolis, Minnesota

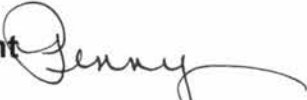
Robina Foundation Board of Directors Annual Meeting

Wednesday, August 24, 2011

Time	Faegre and Benson Office 2200 Wells Fargo Center, 90 South 7 th Street, Minneapolis, MN 55402, Phone: 612-766-8078 (Go to 22 nd floor and receptionist will direct you to the room.) (Continental Breakfast in Meeting Room available at 7:30 a.m.)	Tab#
8:00 a.m.	Welcome and Call to Order – Crosby	
8:05 a.m.	Minutes from May 18, 2011 Board Meeting – Schroeder – Action	4
8:15 a.m.	Governance – Crosby Discussion Robina Board of Directors • Size • Composition • Term • Compensation Lead Directors • Role • Rotation Officers • Term • Designation / rotation Meetings • Timing/location of Annual Meeting Action • Election of Board Members • Election of Officers • Board Compensation • Conflict of Interest Policy/Board Member Disclosure	5
9:30 a.m.	Executive Director's Report – Hunt	6
9:40 a.m.	Treasurer's Report – Crosby • Assets and Cumulative Grants • Foundation Assets Summary • USBank and JPMorgan Reports Legal Report – Crosby • IRS Refund Status • Final Estate Accounting	7
10:00 a.m.	Break	
10:15 a.m.	Annual Grant Reports – Hunt – Action • Abbott Northwestern Hospital • University of Minnesota Law School • Council on Foreign Relations • Yale School of Drama Update – Yale Law School	8
12 Noon	Adjournment	

ROBINA FOUNDATION

TO: Board of Directors

FROM: Penny Hunt 

RE: August 22-24 Board Meeting

DATE: August 8, 2011

Needless to say, the agenda for the Foundation's annual meeting is full -- so full that two notebooks were needed for the written material! One book contains the agenda and accompanying documents; the second is dedicated to proposals for new grants along with, in some cases, reviews provided by outside readers.

The volume of material and the packed agenda aren't surprising: the Foundation is at a crossroads. The Board will be approving the payment of the last installments of the multi-year grants to Robina Grantees originally approved in 2008, as well as considering proposals from each of the four Grantees for new multi-year grants ranging from three to ten years in duration. For the first time consideration of new grants will be made in the context of the Board's decision a year ago concerning the Foundation's sunset, as well as a clear understanding of the assets available to the Foundation and payout projections provided by financial consultants.

The flow of the agenda is as follows:

Tuesday, August 23

- A presentation and discussion of the financial framework for the management of the Foundation's assets followed by a discussion of supervision of investments;
- An "unstructured" discussion of grantmaking given the imperatives outlined in the Foundation's bylaws, the Board's grantmaking approach and the financial realities;
- Consideration of new proposals from Robina Grantees.

(Tuesday's agenda is very full. Discussion could be concluded on Wednesday.)

Wednesday, August 24

- Discussion of governance of the Foundation designed to lead the Foundation to fulfill the grantmaking and financial goals previously discussed.
- Routine business of the Board, including consideration of final payments to Grantees triggered by the receipt of annual grant reports.

I have alerted Robina Grantees that the Board may not be able to make a final decision on all of the grant requests due to the number of items under consideration at the meeting. Please get in touch with me if you have questions or concerns before the meeting. I look forward to seeing all of you!

ROBINA FOUNDATION BOARD OF DIRECTORS' ANNUAL MEETING
August 22-24, 2011

MONDAY, AUGUST 22

6:00 p.m. Dinner at Mission (Wine Room) in the IDS Crystal Court

Lodging: Marquette Hotel, 7th Street and Marquette, 612-333-4545
Board Members: Susan Berresford, Peter Karoff, Steve Schroeder

TUESDAY, AUGUST 23

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

5:30 p.m. Berresford, Karoff, Schroeder picked up for ride to Blatz/Whitney home

6:00 p.m. Board Social at the Blatz/Whitney home

9:00 p.m. Berresford, Karoff, Schroeder back to hotel

Lodging: Berresford, Karoff, Schroeder at the Marquette Hotel

WEDNESDAY, AUGUST 24

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

Noon Adjournment of Annual Meeting

1	FINANCIAL MANAGEMENT
2	INVESTMENT SUPERVISION
3	"UNSTRUCTURED" BOARD DISCUSSION OF GRANTMAKING
4	MINUTES MAY 18, 2011
5	GOVERNANCE
6	EXECUTIVE DIRECTOR'S REPORT
7	TREASURER'S REPORT AND LEGAL REPORT
8	ANNUAL GRANT REPORTS

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Jerry Anderson
Senior Vice President



As a wealth management advisor with The Private Client Reserve, Jerry Anderson helps his clients develop and implement a comprehensive wealth management strategy tailored to their specific needs and objectives. In doing so, Jerry coordinates the private banking, personal trust, investment and planning expertise offered by his clients' Private Client Reserve team members.

Since 1997, Jerry has strived to simplify the financial lives of his clients. Taking a proactive team approach, he often assists his clients with the financial implications of their major life transitions, including closely-held business transactions, retirement, marriage, divorce and litigation. In doing so, Jerry works in close partnership with his clients' accountants and attorneys to ensure that he identifies the optimal solutions and strategies from a tax and legal perspective.

Prior to joining U.S. Bank, Jerry was in private law practice for seven years during which he handled a broad spectrum of corporate, tax and trust matters. He also spent four years in public accounting, with both audit and tax experience at an international CPA firm. His diverse work experience includes managing his college recycling operation and serving as an adjunct professor at Hamline Law School.

Jerry graduated from the University of Colorado with bachelor's degrees in business administration and political science. He is also a graduate of the University of Minnesota Law School, where he was a member of the Law Review. He was formerly licensed as a Certified Public Accountant.

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Joseph R. Hinderer, CFA
Senior Vice President, Managing Director
Head of Alternative Investments and Strategies



Joe Hinderer is a senior portfolio strategist for Wealth Management and has been with U.S. Bank since 1991. His primary responsibilities include managing the investment research, product development and manager due diligence functions for the private equity, hedge fund and commodity programs. Joe is also responsible for derivative strategy development and implementation. These strategies are utilized in structured investments and in solutions developed for clients that own single security wealth concentrations. Joe is a member of the firm's Asset Allocation Committee and supports investment policy development and implementation in ultra-high net worth relationships.

Prior to joining Wealth Management, Joe served as a senior analyst for U.S. Bancorp's Corporate Finance department. During that time, he was responsible for the capital budgeting and financial statement planning and forecasting of U.S. Bancorp's Trust and Investment Group.

Joe is a Chartered Financial Analyst Charterholder and member of the Twin Cities Society of Securities Analysts in conjunction with the Association of Investment Management and Research. Joe earned his bachelor's degree in business administration, with an emphasis in finance, from the Carlson School of Management at the University of Minnesota.

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Timothy S. Towle
Vice President
Personal Trust Relationship Manager



Tim Towle is a trust relationship manager with The Private Client Reserve, and specializes in working with ultra high net worth families. Tim brings his tax and accounting expertise to ensure that their personal trust, estate planning and investment management goals are met. Tim coordinates financial, tax, investment and legal solutions for his clients to ensure that their asset accumulation or wealth transfer strategies are able to meet their immediate and long term goals.

Tim joined U.S. Bank's wealth management group in 1993 with Trust Tax Services. He rose through the ranks to manage the fiduciary tax process for U.S. Bank trust company, which included all estates over \$100 million. In his management role for U.S. Bank's Trust Tax Services, Tim oversaw the completion of fiduciary, charitable and personal income tax returns. In 2002, Tim was promoted to senior trust officer. Over the last six years, Tim has managed some of the largest and most complex trust relationships at U.S. Bank. He works with families that rely on U.S. Bank to manage assets for up to four generations of family members. These families rely on Tim to ensure that the most current planning and asset management strategies are implemented for each generation.

Tim is a CPA, and earned a bachelor's degree from the University of St. Thomas in St. Paul, Minnesota, with an emphasis in business administration / accounting.

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Michael F. Sullivan, Ph. D.

Dr. Sullivan has long-term experience in both academia and in executive management.

From 1977 to 2000, he acted as an adjunct faculty member at Minnesota universities including the University of St. Thomas (UST). During this same period, he held various executive level financial positions, culminating in his appointment for fifteen years as CFO and VP of Business Affairs/Treasurer at UST. Dr. Sullivan was a key member of the administrative team building UST into the largest private university between Chicago and California.

From 2000 until 2010, Dr. Sullivan has been an associate professor of finance in the Opus College of Business of UST as well as the Chief Investment Officer (CIO) of UST. As CIO, he was responsible for the investment of institutional funds approaching one-half billion (USD) and the institutional bond portfolio of almost 300 million (USD).

Dr. Sullivan has taught in excess of 75 graduate school courses over the past 33 years. Currently, his academic interests are Investments, Corporate Finance, and Global Financial Management. Dr. Sullivan has taught courses and/or lectured in fourteen countries from Russia to China.

Dr. Sullivan is a frequent presenter at international and national conferences in the topics of investments and global finance. He has served on the national boards of professional associations. He serves as a member of foundation and endowment boards, providing financial management and investment advice. As the President of Indigo Consulting, Inc., Dr. Sullivan provides strategic investment education to a number of high-net worth clients and their families.

Dr. Sullivan, a native of Boston, was graduated from Boston College High School, St. John's University (Minnesota), and the University of Minnesota (Ph. D. in Education Finance).

The Private Client Reserve of U.S. Bank

INVESTMENT POLICY STATEMENT

For

Robina Foundation

Prepared by

Jerry Anderson, Senior Vice President
Jon Gennaro, Senior Portfolio Manager
Joe Hinderer, Senior Vice President
Tim Towle, Vice President

August 18, 2011

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I. Foundation Mandate and Investment Management

A. Foundation Mandate

The Robina Foundation (“the foundation”) was created out of the of James H. Binger Estate on June 9, 2004 and under the bylaws of the foundation, it was established primarily to provide for the following non-profit institutions: (a) Abbott Northwestern Hospital; (b) the Council on Foreign Relations; (c) the University of Minnesota Law School; and (d) Yale University. When making distributions in support of the foundation’s charitable objectives, the board is asked to consider the following principles: (a) encouragement of innovation and creativity; (b) emphasis on forward-thinking projects and initiatives; (c) emphasis on major projects and initiatives; and (d) methods of proceeding. James H. Binger believed that the board would be able to achieve the foundation’s charitable goals within approximately 20 years of his death (November 3, 2004).

The directors have named U.S. Bank (“the manager”) as their agent to provide investment management and certain administrative services to the trust. U.S. Bank also provides banking services to the foundation. The directors also hired Michael Sullivan (“the consultant”) as investment consultant to assist with the development of investment strategy. After consultation with the board, the manager and consultant developed an investment plan to distribute all of the foundation assets to the beneficiaries as directed by the board by 2025, just slightly beyond the time horizon set forth by the founder.

This investment policy statement was developed with deliberate consideration of the standards set forth in the Prudent Investor Act and the ~~Uniform Prudent Management of Institutional Funds Act~~ (“the Acts”). Essentially, these Acts require that the board invest and manage the foundation portfolio as a prudent investor would, by considering the purposes, terms, distribution requirements and other circumstances of the foundation. In satisfying this standard, the board shall exercise reasonable care, skill and caution.

B. Investment Management

Investment Strategy

The investment strategy is designed to fulfill the unique philanthropic vision of James H. Binger by maximizing the distributions to the named non-profit organizations and other charities over the approximate 15 year life of the foundation, without taking excessive risk. The strategy is based on a portfolio segregation concept that aligns distribution objectives and time horizon with the investment risks of the segregated portfolio.

The foundation’s portfolio will initially be organized in three distinct investment pools that have different investment guidelines in terms of their objectives, time horizon and risk allocations. The first pool will be dedicated to funding the foundation’s current year distribution and operating expenses over a rolling one year investment horizon. As a result, investment risks will be minimized through cash and cash equivalent investments. The second pool is also designed to meet distribution and operating expense needs beyond the next year, on a rolling four year basis. Given the short to medium term horizon and need for capital stability, this pool will be conservatively managed through a four year U.S. Treasury bond ladder. The final pool or “market portfolio” will be managed for medium to longer term distribution objectives and is expected to deliver modest growth to the collective foundation portfolio.

Management of the three investment pools will be dynamic and very tightly integrated as assets are completely distributed over the 15 year life of the foundation. As time passes and the investment horizon dissipates, risk tolerance will also decay and investment risk exposures in the portfolio will be reduced. These changes will be reflected in the foundation's overall asset allocation plan which is initially characterized as a conservatively balanced approach. As the foundation approaches expected final distribution and termination in 2025, the market portfolio will decrease in proportion to the Treasury ladder until the ladder eventually comprises the entire portfolio.

From a rebalancing perspective, the three pool design provides flexibility in terms of managing market risks and smoothing the impact of volatility on the foundation's portfolio value and associated distributions. During years with normal market performance, components of the market portfolio will be strategically liquidated to make grants and pay operating expenses of the foundation. In such years, cash from maturing bonds in the Treasury ladder will be reinvested in the Treasury ladder. However, in years when the market portfolio has significantly declined in value and/or is subject to higher than normal market volatility, grants and operating expenses will be made from the Treasury ladder as obligations mature or are liquidated - if deemed prudent given market conditions. In severe markets, the manager and consultant may recommend no re-allocations from the market portfolio in order to allow additional time for recovery in asset values.

Investment Philosophy

Capital Markets – Over long time horizons, capital markets are generally efficient and economic developments are the primary determinants of long-term investment returns. However, over shorter time periods, markets may be influenced by investor psychology and exogenous factors (e.g., natural disasters, wars, political upheaval).

Asset Allocation – Asset allocation is the single largest contributor to long-term investment returns. Because it is very difficult to predict with any certainty the short-term return of a given asset class, more effort will be devoted to managing the long-term (“strategic”) allocation, than the short-term (“tactical”) allocation of the portfolio. Given the foundation's finite investment horizon and the natural decline in risk appetite over time, the foundation's strategic allocation plan will be adjusted accordingly.

Portfolio Construction – Efficient markets imply that active management has a low probability to add value after management expenses and other costs. More efficient markets call for passive styles of investments. Efficiency varies by market and where attractive opportunities to add value through active management exist, active styles should be employed.

Market Timing – Market timing involves moving in and out of various asset classes (e.g., stocks and cash). Such attempts at timing typically decrease the likelihood of achieving the return objective. Thus the portfolio will generally remain fully invested in a manner consistent with the target strategic asset allocation for the foundation.

Tax Efficiency – Given that the foundation is expected to be subject only to relatively low excise taxes on its net investment income, tax efficiency of investments will not be a major consideration.

II. Investment Objectives

A. Investment Return

Investment Objective - Across all three investment pools including cash, the Treasury ladder and market portfolio, the collective investment objective can be described as conservative balanced managed for modest longer term growth of capital with modest current income. The return expectations are based upon risk premiums for the respective asset classes above the current risk free rate over a ten year market cycle.

Annual Return Expectations – The initial pre-tax annualized returns of 6.8% are expected as set forth in the summary provided at Section VII (page 10). As the foundation approaches expected final distribution and termination in 2025, the expected annual aggregate return is expected to gradually decrease as a larger portion of the total portfolio will be invested in U.S. Treasury obligations vs. the diversified market portfolio.

B. Risk

Investment Risk Tolerance – As stated above, the board has a conservative balanced investment objective for the foundation. The board has a slightly below average risk tolerance, consistent with the foundation's 15-year time horizon, expected charitable distributions and the board's desire to maximize such distributions without taking on a very high level of risk. As the investment horizon dissipates, risk tolerance will also decline and investment risk exposures in the portfolio will be reduced.

Portfolio Volatility – The board is aware of and comfortable with the moderate volatility associated with a conservative balanced investment objective for the foundation portfolio. Specifically, the trustees are willing to accept the expected annualized standard deviation of 10.9% (Section VII - page 10) in exchange for modest long-term appreciation potential.

III. Investment Constraints

A. Investment Horizon

As explained in Section I above, the foundation is expected to continue for approximately 15 years until 2025 or until the foundation assets are depleted by distributions made consistent with its charitable mission.

B. Liquidity Requirements

Distribution Funding – The foundation will reserve one year of distributions and operating expenses in the cash pool on a rolling one year basis. Beyond initial funding, the cash pool will be funded with principal from maturing bonds of the Treasury ladder. It is anticipated that beneficiary distributions will range between \$8-\$12 million per annum and that other annual cash needs for operating expenses and excise taxes will total approximately 2% of foundation assets.

The board has discretion to distribute trust income and/or principal to the primary beneficiaries, but may also make distributions to other non-profit organizations consistent with the mission of the foundation. As a private foundation, it is required to distribute annually its minimum investment return for each tax year, which generally equals five percent of the foundation's net investment assets. It is anticipated that the \$8-\$12 million of targeted annual distributions will be substantially higher than required by federal tax law.

Illiquid Investments - Given the foundation's approximately 15 year time horizon, the board does not want private equity funds or other investments with long and/or undefined investment and liquidity time horizons. The board recognizes that some alternative strategies which are appropriate for the foundation have liquidity restrictions. However, the board does not want the foundation to make investments with expected lock up periods of more than one year.

C. Legal & Regulatory

As noted in Section I above, the foundation is a Minnesota non-profit corporation governed by an independent board of directors. Investment activity is subject to the standards set forth in the Prudent Investor Act and the ~~Uniform Prudent Management of Institutional Funds~~ Act ("the Acts"). Essentially, these Acts require that the board invest and manage the foundation portfolio as a prudent investor would, by considering the purposes, terms, distribution requirements and other circumstances of the foundation. In satisfying this standard, the board shall exercise reasonable care, skill and caution.

D. Taxes

The foundation is a Section 501(c) (3) non-profit corporation taxed as a private foundation for federal and state income tax purposes. Consequently, the foundation is subject to excise taxes on its net investment income and may be subject to additional taxes for failure to make minimum required distributions, for self-dealing transactions or other restricted activities. Such additional taxes are not expected to have a material impact on the portfolio or the investment strategy.

IV. Other Investment Guidelines

A. Strategic Portfolio Allocation

Section VII (at page 10) of this policy statement summarizes the target strategic asset allocation, together with the permissible allocation ranges for each asset class. The allocation is intended to achieve the board's long-term investment objectives for the foundation that are set forth in Sections I, II and III above.

B. Asset Class Considerations and Portfolio Construction

1. **Cash** – Cash reserves will be maintained to support operating expenses and near term distributions in an amount up to one year of anticipated cash needs.
2. **U.S. Treasury Obligations** – The portfolio will include an allocation to U.S. Treasuries that is intended to add stability and safety to the portfolio and to provide a source of distribution funding in times when it would not be prudent to liquidate some or all of the market portfolio. A passive ladder of U.S. Treasury obligations will be used to fulfill this allocation.
3. **Other Bonds** – In addition to the Treasury ladder, the market portfolio will include other types of bonds. These investments are intended to enhance diversification and return potential while reducing portfolio volatility. Such long only bond investments may include, but are not limited to foreign bonds, investment grade and high yield corporate and mortgage backed bonds. These bond investments could be actively or passively managed through exchange traded funds or mutual funds.
4. **Domestic and International Developed Large Cap Equities** – Large cap equity markets, both domestic and foreign developed are highly efficient and long only active management is unlikely to add value after fees. As a result, the portfolio will invest passively in domestic and other developed market large cap equities using index mutual funds or exchange traded funds.
5. **Small Cap and Emerging Market Equities** – Domestic and international small cap equity markets, as well as emerging equity markets, are less efficient and offer attractive opportunities to add value through long only active management. The foundation will invest through mutual funds that offer consistent, competitive risk-adjusted returns and stability of management style.
6. **Real Estate** – Real assets like real estate or commodities can add attractive diversification and inflation hedge benefits to the foundation portfolio. The foundation may invest in public and private commercial real estate in both domestic and/or international markets. Investments will likely be active based on core styles that may be accessed through mutual funds or private placements.
7. **Commodities** – A blend of enhanced index and more active styles of commodity investments will be employed. All styles are intended to deliver broad exposure to the entire commodity complex. The active styles will include elements of long/short styles in order to enhance diversification and mitigate commodity market risk.
8. **Alternative Equity and Fixed Income Strategies** – Long/short and access based fixed income and equity managers will be utilized to enhance portfolio diversification and to add an important source of return potential from highly active investment management.

V. Performance Evaluation

A. Frequency

The portfolio performance shall be reviewed quarterly, while the investment policy, asset allocation and overall investment strategy shall be reviewed annually.

B. Performance Data

The quarterly reports shall include market value and trailing investment returns for each major component of the portfolio. The respective manager's performance shall be compared to relevant benchmark indices and a suitable peer universe. For some alternative investment strategies, reporting of investment performance may substantially lag that provided by long only investment solutions.

C. Manager Performance

Generally managers shall be given sufficient time (typically a full market cycle) to determine whether they meet the expectations established by the board and U.S. Bank as investment advisor. However, managers who substantially under perform their benchmarks or their peers for a full year may be placed under review if there is no reasonable explanation for the underperformance.

VI. Strategic Asset Allocation

A. Strategic vs. Tactical Allocation

The long-term or “strategic” allocation is the most significant factor in long-term investment performance. Strategic allocation is based upon long-term (10 years or more) capital market expectations for the various asset classes in the portfolio.

The strategic asset allocation is not expected to change dramatically over any short-term period. From an investment perspective, there must be a substantial change in return expectations between asset classes before recommending a strategic policy shift. However, occasionally, “tactical” (short term) changes may be an appropriate response to certain market conditions or exogenous events.

B. Changes to Strategic Allocation

As noted in Section V (page 8), we will review the investment policy each year. Upon review, the following circumstances will warrant reconsideration of the investment policy and the strategic investment asset allocation.

1. **Different Risk Tolerance** – The policy now assumes that, consistent with the board’s current conservative balanced investment objective for the foundation, the board has moderate tolerance for portfolio volatility. If this tolerance changes, it may require a revised long-term allocation strategy.
2. **Different Return Objective** – The board currently has a conservative balanced objective and seeks substantial modest appreciation with modest volatility. Changes in anticipated foundation distribution requirements or desire for capital appreciation may require a revised long-term allocation strategy.
3. **Different Capital Market Expectations** – Long-term (10 or more years) capital market expectations underlie the strategic asset allocation. Significant changes in projected asset class return, volatility or correlation expectations may require a revised long-term allocation strategy.

VII. Asset Allocation Summary

Total Foundation Assets ⁽¹⁾

\$140,000,000

Too high

Absolute Return Objective (Pre-Tax)

6.82% Annually

Annual Standard Deviation ⁽²⁾

10.91% Annually

Investment Horizon ⁽³⁾

10 Years

Asset Class	Strategic Asset Allocation		
	Min	Target	Max
Cash or Cash Equivalents			
Money Market or Short Fixed Income		7%	
Total Cash	0%	7%	20%
Fixed Income			
Core Fixed Income		33%	
High Yield Bonds		4%	
Foreign Sovereign		2%	
Hedged Fixed Income		9%	
Total Fixed Income	30%	48%	80%
Equity			
U.S. Large Cap Equity		13%	
U.S. Mid Cap Equity		4%	
U.S. Small Cap Equity		2%	
Developed Foreign		12%	
Emerging Foreign		4%	
Private Equity		0%	
Hedged Equity		4%	
Total Equity	34%	39%	64%
Real Estate			
U.S. Listed		0%	
Foreign Listed		3%	
Direct		3%	
Total Real Estate	0%	6%	12%
Commodities			
Commodities		0%	
Total Commodities	0%	0%	10%
Portfolio Total		100%	

Notes:

- (1) The estimated total foundation portfolio of \$140 million includes all three primary investment pools: (a) money market or short-term cash reserves; (b) core fixed income (Treasury ladder); and (c) the diversified market portfolio. The investment parameters summarized on this page reflect the entire portfolio as if invested in the above target allocation.
- (2) Standard deviation is a common measure of risk and represents the variability of returns around a mean (average) outcome. The higher the level of standard deviation, the more variability there is in the band of possible investment outcomes. Using this statistic as a measure of risk, two-thirds of the time the annual investment returns from the above asset allocation will be the absolute return target, plus or minus the standard deviation.
- (3) The ten year time horizon reflects the expectation that the diversified market portfolio will be depleted four years before the expected termination of the foundation in 2025 and the portfolio will then consist primarily of short-term cash reserves and Treasuries.

VIII. Board Approval

The current Board members of the Robina Foundation, hereby approve of this investment policy statement, which we understand is based upon the objectives of the foundation set forth in its bylaws and relevant fiduciary investment standards.

Signed: _____
Thomas M. Crosby, Jr., Chair & Treasurer

Dated: _____

Robina Foundation Distribution Scenario

Year End	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	Total Grants
Annual Distributions	9,000	11,536	11,631	11,838	12,201	13,969	14,500	14,926	15,209	15,466	15,656	15,913	16,094	16,161	15,033	209,133
Year End Market Value																
Treasury Ladder	46,000	47,548	49,276	51,169	53,134	53,781	54,275	54,636	54,960	55,248	54,644	42,046	28,545	14,155	-	
Equity Portfolio (1)	85,000	79,058	72,643	65,718	58,242	50,172	41,461	32,057	21,906	10,947	-	-	-	-	-	
Total Robina Foundation Market Value	131,000	126,606	121,918	116,887	111,376	103,954	95,736	86,693	76,866	66,196	54,644	42,046	28,545	14,155	-	

↳ old be high by 6-7M

for sale

Robina Foundation Distribution Scenario (10 Year Schedule)

Year End	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	Total Grants
Annual Distributions	15,600	15,648	15,778	16,058	16,551	17,159	17,812	18,334	18,682	18,340	-	-	-	-	-	169,963
Year End Market Value																
Treasury Ladder	62,400	62,873	63,548	64,394	65,267	65,522	50,501	34,478	17,459	-	-	-	-	-	-	
Equity Portfolio (1)	62,000	51,329	39,810	27,375	13,951	-	-	-	-	-	-	-	-	-	-	
Total Robina Foundation Market Value	124,400	114,202	103,358	91,769	79,218	65,522	50,501	34,478	17,459	-	-	-	-	-	-	

(1) Projections for the market portfolio are based upon an annualized expected return of 7.95%. This is a linear projection which does not factor in the expected annualized standard deviation of 12.75%. Consequently, the investment results may be materially different in any given year. Finally, this report is not intended to be either an expressed or implied guaranty of future performance.

Treasury ladder
 Yield based on forward interest rates using actual rates.
 Net number

15
 Yr.

10
 Yr.

ROBINA FOUNDATION

ADDENDUM TO INVESTMENT POLICY

August 25, 2009

Gordon Aamoth, President, reported that following the results of the Audit, it was necessary to draft an addendum to the Investment Policy, which is stated as follows:

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 term 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.

A motion was made to approve the Addendum to the Investment Policy on August 25, 2009. The motion was seconded and unanimously approved.

ROBINA FOUNDATION

The Robina Foundation Investment Policy Statement

Purpose

The purpose of this investment policy statement is to:

- Establish reasonable expectations, objectives, and guidelines in the investments of Robina Foundation's assets;
- Set forth an investment structure detailing normal allocations and permissible ranges of exposure for the Account;
- Encourage effective communication between the Robina Foundation and the Portfolio Managers (USBank and The Investment Fund for Foundations (TIFF)); and
- Create the framework for a well-diversified asset mix that can be expected to generate acceptable growth over the investment time horizon for the Foundation at a level of risk suitable to the Foundation.

Investment Goals and Objectives

- The assets are to be invested with the primary objective of procuring long-range annual returns equal to rate of inflation plus five percent.
- Maintenance of qualifying payout equal to roughly 5% of the asset value of the Foundation throughout the year
- The Foundation shall maintain in cash, in money market and/or checking accounts, of at least one year's worth of anticipated grant payments and administrative expenses, as determined by the Foundation's spending policy.
- The Foundation will follow the Prudent Investment Rule which calls for prudent and careful investment strategy and avoids "jeopardy investments."
- The Foundation will pay excise taxes at the lowest qualifying rate, in quarterly installments, on its net investment income.

Asset Allocation

<u>Asset Category</u>	<u>Allocation</u>
Equities	70% (40%-80%)
Fixed Income (bonds and money market)	30% (20%-60%)
Other (hedge funds, venture capital, private equity, and real estate)	As determined by equity manager.

Decision Making Process

The Foundation's assets will be held in accounts at US Bank and TIFF. Day-to-day portfolio management decisions are at the discretion of the investment managers and will not require authorization of the President and Treasurer.

The investment managers will make investment strategy recommendations to the President and Treasurer of the Foundation. The President and Treasurer will provide authorization before any changes in investment strategy are executed.

Performance

The performance of the Foundation's investments, computed on a total annual rate of return basis, will be measured against and should meet or exceed commonly accepted performance benchmarks over a rolling three-year period and/or full market cycle.

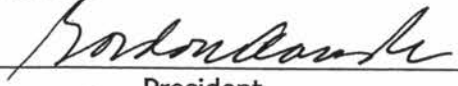
Reporting Guidelines

The investment managers will provide performance reports to the President and Treasurer of the Foundation on a quarterly basis. Accompanying these reports will be narrative comments by the managers highlighting significant transactions, events, trends or other information the investment manager determines are noteworthy and of interest to the Board.

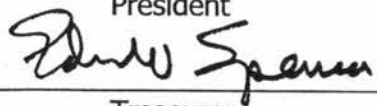
The investment managers shall be reviewed annually regarding performance, strategy, research, and other factors that may impact their ability to achieve the desired investment results.

This Investment Policy was voted on and approved by the Board of Directors of the Robina Foundation on August 26, 2008.

Signed by:



President



Treasurer

MONTHLY REPORT FROM MIKE SULLIVAN

	5/31/2011	6/30/2011	7/31/2011	8/31/2011	9/30/2011	10/31/2011	11/30/2011	12/31/2011
JP Morgan								
JHB Cash/MM	15,355,849	15,355,849						
JHB-Income Cash/MM	499,122	449,126						
Total	\$ 15,854,971	\$ 15,804,975						
Revocable Trust								
JHB Revocable Trust		5,365,466						
JHB Income Account		7,228,877						
Tartan I LP		95,872						
Total		\$ 12,690,215						
Other Securities								
Venture Capital		6,398,908						
All Other Securities		849,112						
Total		\$ 7,248,020						
Total Estate of JHB		\$ 35,743,210.0						
US Bank								
US Bank Cash/MM	28,147,536	23,232,807						
US Bonds	20,237,597	21,169,593						
Non-US Bonds	2,182,561	2,901,131						
Equity (US & non-US)	16,806,213	15,343,713						
Hedge Funds	12,111,788	16,421,255						
Total	\$ 79,485,695	\$ 79,068,499						
US Bank Checking		\$ 3,899,548						
IRS Refund		\$ 9,320,288						
Gross Total		128,031,545						

BALANCE SHEET

Balance Sheet	6/30/2011	Actual %	Interim \$	Interim %	Strategic \$	Strategic %
Cash						
JHB Cash/MM	15,355,849					
JHB-Income Cash/MM	449,126					
JHB Revocable Trust	5,365,466					
JHB Income Account	7,228,877					
US Bank Cash/MM	23,232,807					
US Bank Checking	3,899,548					
Total Cash*	55,531,673	43%	32,298,866	25%	5,000,000	4%
Bonds						
US Bonds	21,169,593					
Non-US Bonds	2,901,131					
Total Bonds**	24,070,724	19%	50,000,000	39%	50,000,000	39%
Equities						
Tartan I LP	95,872					
Venture Capital	6,398,908					
All Other Securities	849,112					
Equity (US & non-US)	15,343,713					
Hedge Funds	16,421,255					
Total Equities***	39,108,860	31%	36,412,391	28%	73,031,545	57%
IRS Refund	9,320,288	7%	9,320,288	7%	\$0	0%
Gross Total	128,031,545	100%	128,031,545	100%	128,031,545	100%

Footnotes for Strategic Amounts

*6 months in cash

**5 years of grants

***remaining amounts

QUARTERLY REPORT

	Quarter 2 2011	Quarter 3	Quarter 4
JP Morgan			
JHB Cash/MM	15,355,849		
JHB-Income Cash/MM	449,126		
Total	\$ 15,804,975		
Revocable Trust			
JHB Revocable Trust	5,365,466		
JHB Income Account	7,228,877		
Tartan I LP	95,872		
Total	\$ 12,690,215		
Other Securities			
Venture Capital	6,398,908		
All Other Securities	849,112		
Total	\$ 7,248,020		
Total Estate of JHB	\$ 35,743,210.0		
US Bank			
US Bank Cash/MM	23,232,807		
US Bonds	21,169,593		
Non-US Bonds	2,901,131		
Equity (US & non-US)	15,343,713		
Hedge Funds	16,421,255		
Total	\$ 79,068,499		
US Bank Checking	\$ 3,899,548		
IRS Refund	\$ 9,320,288		
Gross Total	128,031,545		

ANNUAL REPORT

31-Dec-11

JP Morgan

JHB Cash/MM

JHB-Income Cash/MM

Total

Revocable Trust

JHB Revocable Trust

JHB Income Account

Tartan I LP

Total

Other Securities

Venture Capital

All Other Securities

Total

Total Estate of JHB

US Bank

US Bank Cash/MM

US Bonds

Non-US Bonds

Equity (US & non-US)

Hedge Funds

Total

US Bank Checking

IRS Refund

Gross Total

ROBINA FOUNDATION

FRAMEWORK

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

GOALS:

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

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

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

GRANT PROGRAM

2005 - 2006: PLANNING GRANTS

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

2008 - 2012: MULTI-YEAR GRANTS

In 2008 the Robina Foundation awarded multi-year grants to each of the Robina Grantees. The grants are approximately equal (~\$6 million to each institution), with Yale's \$6 million grant divided between Yale School of Drama and Yale Law School. In 2010 the Robina Board of Directors agreed to provide an additional year of support at the base level to Yale Law School and Yale School of Drama, the University of Minnesota Law School and the Council on Foreign Relations. During this grant period, the Robina Foundation signaled an interest in human rights and funded several human rights programs at Robina Grantees.

2012 and Beyond

MULTI-YEAR GRANTS

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

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

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

Requirements:

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

Grant Size and Duration:

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

Restrictions: The Foundation does not wish to provide:

- General operating support
- Grants for capital projects or endowments

DISCRETIONARY FUND

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

IMPLEMENTATION STRATEGIES: PROCESS AND TIMETABLE

November - December 2010:

Board Meeting (November 16):

- Discuss Draft General Criteria for Grants
- Review Process and Timetable

Following Board Meeting:

- Provide Robina Grantees with information:
 - Foundation's Time Horizon
 - Draft General Criteria for Multi-Year Grants and Discretionary Fund
 - Proposed Process and Timetable
- Refine General Criteria and Process based on Robina Grantees' feedback
- Discuss Abbott Northwestern Hospital's three potential initiatives

January 2010 - February 2011: Information-gathering sessions with Yale and the University of Minnesota

Purpose:

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

Attendees:

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

February Board Meeting (February 21 - 23 at the Council on Foreign Relations):

- Conduct information-gathering session with Council on Foreign Relations

- Finalize Criteria and Process for Multi-Year Grants and Discretionary Fund based on information-gathering sessions and feedback from Robina Grantees

February - March 2011:

- Continue discussions and/or conduct information-gathering session with Abbott Northwestern Hospital
- Continue discussions with Yale, the University of Minnesota Law School, and the Council on Foreign Relations

April 2011:

Request proposals from Robina Grantees based on Foundation's criteria and previous discussions with Robina Grantees

August 2011 and Beyond:

Robina Board of Directors review and approval of grant proposals for funding beginning in 2012.

Approved by Board of Directors: 2/23/2011

**Robina Foundation
Meeting Minutes
May 18, 2011**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on May 18, 2011, via conference call.

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

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

Eleanor Rosenthal, OfficeTeam temporary employee, was present and served as recorder.

Welcome and Call to Order

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

Minutes of the February 23, 2011 Board Meeting

A motion made and seconded to approve the Minutes of the February 23, 2011 meeting included in the board book was approved unanimously.

Executive Director's Report

Hunt called Board Members' attention to the Executive Director's Report in the board book, in particular information describing the ArtPlace Initiative to be funded by a \$500,000 grant from the Robina Foundation.

Governance and Legal Report

Crosby noted that the agenda for the August Annual Meeting will include a discussion of key governance issues.

Crosby described discussions with JP Morgan to secure the transfer to the Foundation of approximately \$35 million currently held by JP Morgan. JP Morgan continues to retain the funds although all major legal issues have been resolved and potential risk is limited. Crosby is urging JP Morgan to change the investment of the funds to provide a more reasonable yield along the line of the rate of return USBank receives on bonds. Crosby and Gina Kastel from Faegre & Benson will continue to work on finalizing the estate accounting when appropriate.

Treasurer's Report

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

- Total assets equal approximately \$128 million including funds held by JP Morgan.
- USBank is getting a yield of over 2% with well diversified investments.

- The Foundation's commitments have increased due to the commitment made to the University of Minnesota Law School at the February Board Meeting.
- At the August Board Meeting, USBank and financial consultant Mike Sullivan will provide the Board with financial projections based on 15- and 10-year terms for the Foundation. The Board will also consider a new investment policy.

New Grants

Yale University

Board Members discussed opportunities for future funding at Yale, focusing on Yale's preliminary proposal to support the transformation of undergraduate science education and continued or new opportunities at Yale School of Drama and Yale Law School.

Undergraduate Science: Although Board Members indicated that they are not interested in providing the level of support for science education proposed by Yale, they directed Hunt to explore with Yale the possibility of limited support to jumpstart the initiative in a way that would be sustainable beyond the term of a grant from Robina.

Yale Law School: Board Members expressed interest in continuing support for human rights programs at Yale Law School and perhaps adding support for an immigration center, which is a top priority for Dean Post. Hunt was directed to explore options.

Yale School of Drama: Following a discussion of two opportunities for funding at YSD (program support for the Center for New Theatre and endowing funding to make YSD tuition-free), the Board directed Hunt to ask Dean Bundy for the detail behind the endowment request as well as his assessment of which form of funding is the most important and transformative for Yale School of Drama and theater beyond Yale.

Council on Foreign Relations

Board Members discussed next steps with CFR in view of material CFR provided to follow up on the Board's meeting with CFR in February and the assessment of the IIGG program prepared by outside reviewers. Board Members expressed interest in a proposal for five years of additional funding for the IIGG program, along with a request for limited funding for technology. In addition, Board Members directed Hunt to discuss the possibility of a scan to identify potential partners for CFR to expand diversity of the foreign affairs field.

University of Minnesota Law School

Board Members acknowledged receipt of a proposal for the "Robina Institute of Criminal Law and Justice," which the Board agreed to fund at its February meeting. Readers will be engaged to assist the Board in its evaluation of the proposal.

Current Grants

Yale Law School

Board Members discussed Yale Law School's annual report, which was submitted early to facilitate funding in June of the Robina's fourth year of funding to support the Robina Human Rights Fellowship Initiative.

A motion made and seconded to approve the payment of \$1 million to Yale University Law School to support the "Robina Human Rights Fellowship Initiative" was approved unanimously.

Following a discussion of the Board's approval by email of a grant to support the ArtPlace initiative,

A motion made and seconded to ratify the previous action to provide a grant of \$500,000 to support the ArtPlace initiative was approved unanimously.

Other Business

Board Members discussed plans for the August Annual Meeting and stressed the need to assure that ample time will be available to discuss Robina's grantmaking philosophy and approach to working with Robina Grantees as well as governance issues related to the term and functions of Board Members.

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Steven A. Schroeder, Secretary

Date

Penny

COMPENSATION OF ROBINA BOARD MEMBERS

Alternative Calculations

1. Based on Time

<u>August & February Meetings</u> Preparation: 4 hrs/mtg	3 days/mtg (including travel) 1/2 day/mtg	6 days 1 day
<u>May & November Meetings</u> Preparation: 4 hrs/mtg	2 hours/mtg 1/2 day/mtg	1/2 day 1 day
Conference Calls re: reports + preparation	1 3/4 hours/report	1 1/2 days
Misc. meetings, review of emails, articles, consultation, etc. <i>Extra Days</i>		3 days

TOTAL: $\frac{13}{18} \text{ days} \times \$1500/\text{day} = \$19,500$

2. Based on Retainer + Meeting Fees

Basic retainer: \$15,000

Meeting Fees:

August and February: \$1500/mtg: \$3,000

May and November: \$750/mtg: \$1,500

TOTAL: \$19,500

Board Meeting: 8/24/2011

Board Compensation

Three in 10 foundations (30%) compensate board members for routine board and committee service (distinct from any additional compensation for advisory or staff services). Among those foundations, 54% pay an annual fee to board members, 31% pay per board meeting, and 15% compensate using a combination of annual and per meeting fees. Fourteen percent (14%) of foundations also compensate board members for attending committee meetings. Foundations with more assets are more likely to compensate board members, as are non-family foundations.

TABLE 5

Board Compensation by Foundation Type and Asset Size

	Type			Asset Size					
	Overall	Family Foundations	Non-Family Foundations	< \$1M	\$1–4.9M	\$5–9.9M	\$10–24.9M	\$25–49.9M	\$50+M
	30%	23%	43%	10%	25%	30%	34%	37%	42%
Overall annual compensation per board member **									
Average	\$9,923	\$7,075	\$12,440	\$3,692	\$5,892	\$8,136	\$12,954	\$7,608	\$13,114
Median	\$6,000	\$4,000	\$7,000	\$2,475	\$5,000	\$5,000	\$5,000	\$5,500	\$10,000
(n)	(171)	(75)	(93)	(6)	(31)	(21)	(47)	(26)	(39)
Typical board member receives annual fee only									
Average	\$12,771	\$8,826	\$16,494	*	\$6,337	\$10,042	\$18,059	\$12,219	\$17,910
Median	\$7,350	\$5,000	\$11,000	*	\$5,000	\$6,500	\$9,200	\$10,000	\$15,000
(n)	(104)	(47)	(55)	*	(26)	(12)	(28)	(13)	(20)
Typical board member receives fee per board meeting only									
Average	\$660	\$664	\$657	*	\$461	\$733	\$795	\$609	\$669
Median	\$500	\$550	\$500	*	\$400	\$475	\$600	\$600	\$500
(n)	(68)	(30)	(38)	*	(9)	(12)	(19)	(13)	(13)
Compensation per committee meeting									
Average	\$458	\$481	\$449	*	*	*	\$575	*	\$454
Median	\$400	\$500	\$300	*	*	*	\$400	*	\$500
(n)	(29)	(8)	(21)	*	*	*	(8)	*	(13)

* Insufficient data (five or fewer cases) to report

** Overall annual board compensation includes board members who receive annual fees only, those who receive per meeting fees only (multiplied by the number of board meetings per year), and those who receive a combination of annual and per meeting fees.

Source: 2008–2009 Foundation Operations and Management Report

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July 24, 2011

Most of America's 50 Richest Funds Pay Their Board Members

By Lisa Chiu

When James Buchanan Duke signed his name to the document that would create the Duke Endowment in 1924, the tobacco and hydroelectric-power tycoon gave clear instructions that are still followed nearly 90 years later. The fund continues to have 15 trustees who meet 10 times a year, and its founding document is still read aloud on an annual basis.

And it also still follows Mr. Duke's order to pay its board members.

Duke is hardly alone. A *Chronicle* analysis finds that 38 of the nation's 50 wealthiest foundations compensate board members, awarding a total of more than \$11-million to their trustees, according to the latest available informational tax returns. But in some corners, the practice is drawing scrutiny.

Lawmakers in the Massachusetts Senate voted in May to ~~ban payments~~ to trustees at all nonprofits, including foundations that are registered in the state. The proposal, which didn't pass as part of a budget bill, is still waiting to be considered by the state legislature.

Emotional Debate

At the heart of the debate in Massachusetts and elsewhere are questions about whether foundations should keep giving money to trustees at a time when nonprofits face struggles to attract private and government aid because of the bad economy. The debate often grows emotional because very few charities pay their board members.

"Far and away, most foundation trustees are upper-middle class or higher, so there's no justification for the need for compensation," says Aaron Dorfman, executive director of the National Committee for Responsive Philanthropy, a foundation watchdog in Washington. "There's been no data to support the contention that compensating trustees actually results in better board service."

Many of the foundations that pay their boards say they need to compensate directors for time served and to attract talent to manage massive grant-making efforts and huge endowments.



Partially Scanned Material

The remainder of this page/item has not been digitized due to copyright considerations. The original can be viewed at the Minnesota Historical Society's Gale Family Library in Saint Paul, Minnesota. For more information, visit www.mnhs.org/library/.

Error re: submission
of Yale Science Proposal

**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
August 24, 2011**

EXECUTIVE DIRECTOR'S REPORT

Follow-up to the May conference call meeting and preparation for the August annual meeting occupied the bulk of my time during the past several months.

Work with Robina Grantees

Abbott Northwestern Hospital / Allina

With input from Marcus Thygeson, Steve and I identified outside readers we feel will assist Board Members in their review of the proposal "Systems Approach to Late Life Supportive Care." I asked three people to participate as readers; two accepted: Dr. Diane Meier and Dr. Eric Coleman. Steve and I feel they will provide a balanced assessment of the program ANWH/Allina proposes to implement. Their bios and reviews are in the proposal notebook.

Council on Foreign Relations

Based on the discussion at the May meeting, I worked with Jim Lindsay on the parameters for CFR proposals for five additional years of funding for the IIGG program, as well as a proposal for limited funding to support technology. In addition, Susan and I spoke with Jim about conducting a scan of organizations that could partner with CFR in ways that would enhance the diversity of practitioners in the foreign affairs arena. Jim is interested in pursuing this opportunity and has identified two people that could conduct the scan and is contacting them to learn their interest and availability.

University of Minnesota Law School

The Board approved a grant to support the development of "The Robina Institute of Criminal Law and Justice" at the February Board Meeting. In order to finalize the grant, we engaged outside readers to provide critical analysis of the institute. With the assistance of Dean Wippman of the U, as well as Yale's Dean Post, and others, we identified and engaged four notable scholars and practitioners with expertise in the various facets of the proposed institute: Circuit Court Judge Diana Murphy, Professors Jeffrey Fagan and Tracey Meares, and University of North Carolina President Thomas Ross. The readers' bios and assessments are in the proposal notebook.

Yale

Work with Yale involved conversations and emails with Inge Reichenbach of Yale central administration, James Bundy of Yale School of Drama and Robert Post, Kate Norton and Lucas Guttentag of Yale Law School.

I worked with Inge concerning the Board's interest in "jump starting" the undergraduate science initiative, rather than providing major underwriting of the initiative. The proposal in the proposal notebook is Yale's response to the Board's direction.

*
No Proposal

When asked to prioritize Yale School of Drama's interest in endowment funding to make YSD tuition-free versus funding to sustain the Center for New Theatre, Dean Bundy (and Inge) immediately and unqualifiably responded that sustaining the Center is the most important for YSD and Yale as a whole and is the most transformative. Yale's proposal to accomplish that is in the proposal notebook.

Follow up with Yale Law School resulted in the proposal included in the proposal notebook.

ArtPlace Initiative

Finalization of Robina's grant to support the ArtPlace Initiative introduced to the Board by Rocco Landesman of the National Endowment for the Arts involved work with the Nonprofit Finance Fund, which is serving as the fiscal agent for the initiative. I executed the "Amendment and Joinder to Master Funding and Participation Agreement" developed by the original funders for use in connection with the addition of new funders. We have now wire transferred Robina's \$500,000 to support the initiative.

ArtPlace recently added two major new funders – one anonymous funder who provided \$5 million and the Rasmuson Foundation in Alaska, which provided \$2 million. The formal announcement of the initiative will take place on September 15. The initiative's website (artplaceamerica.org) will be launched on that day and the first round of investments will be announced. According to Carol Coletta, director of ArtPlace, at least five Cabinet Secretaries will join the ArtPlace Presidents Council comprised of heads of the founding foundations in an effort to leverage greater impact with ArtPlace's efforts and the work of the various departments through collaboration and coordination. The Secretaries of Health and Human Services, Housing and Urban Development, Education, Transportation and Agriculture are considering participation, as are the leads of the Office of Management and Budget and the Domestic Policy Council.

Marion Bazal

Tom and I met recently with Marion Bazal to discuss the upcoming transfer of the condo where Marion lives from Jim Binger's estate to the Robina Foundation and to learn more about Marion's plans. We reassured Marion that the transfer of ownership will not change her living arrangement: under the terms of Jim's trust Marion has a life estate in the condo with payments of insurance and real estate taxes to be made by the "remainder owner" (the Robina Foundation) and other expenses paid by Marion.

We learned that Marion began working with Ginny as a seamstress, but over time helped Ginny with the Bingers' houses and apartments in New York and townhouses in Wayzata owned by Ginny. Marion lived in one of the townhouses. Ginny financed Marion's daughter's college and graduate school education. After Ginny died, Marion helped Jim close his house and move to a condo downtown. Because Marion wanted to be closer to Jim so that she could help him, Jim purchased the Clifton Avenue condo.

Marion divides her time among Minneapolis, Pennsylvania where her daughter lives, and Arizona where she and her daughter own a home. She is a very sharp, vibrant 86 year old. She is happy with the current arrangement. Tom indicated that the Foundation would be willing to buy out her life estate if she decides to no longer live in Minnesota. (The current value of her life estate is approximately \$34,000.)

Tom is working with Gina Kastel of Faegre & Benson to determine how the Foundation should hold this asset.

**ROBINA FOUNDATION
ASSETS AND GRANTS**

Q/E DATE	ASSETS	GRANTS (cumulative)	GRANTS (outstanding commitments)
12/31/07	\$149,839,012.57	\$350,000	\$ 0
12/31/08	128,359,302.03	7,028,535	17,507,864
12/31/09	127,065,750.39	14,719,093	9,947,881
03/31/10	126,595,324.27	14,719,093	9,947,881
06/30/10	123,001,620.97	15,719,093	8,947,881
09/30/10	121,856,212.63	20,549,431	10,067,543
12/31/10	128,007,811.51	22,922,663	7,694,311
03/31/11	128,482,893.73	22,922,663	16,944,311
06/30/11	128,031,543.16	24,422,663	15,444,311 (1)

(1) Includes 2011 commitment of \$850,854 and the 2012 commitment of \$893,457 to the U of M Law School plus the \$7.5M payable over 5 years beginning in 2012 and the \$250,000/year for 5 years; the additional year of funding in 2011 of \$4,950,000 for CFR, U of M, Yale Drama (paid YLS \$1M in May).

ROBINA FOUNDATION ASSETS DETAIL

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

Assets	12/31/07	12/31/08	12/31/09
USbank Checking	\$28,607.85	\$39,292.02	\$3,299,000.81
USbank Investment	28,068,147.99	21,523,747.18	30,793,370.96
TIFF	8,587,802.83	6,356,616.51	8,183,916.75
Estate of Jim Binger	96,165,289.90	83,450,482.32	67,800,297.87
IRS Refund	16,989,164.00 (1) (2)	16,989,164.00	16,989,164.00
Total	\$149,839,012.57	\$128,359,302.03	\$127,065,750.39

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

	12/31/10	03/31/11	06/30/11
USbank Checking	5,279,343.30	3,969,261.41	3,899,548.61
USbank Investment	21,160,516.65	70,072,133.88	79,068,499.17
TIFF	9,262,202.25	Closed - Funds wired to USbank	-0-
Estate of Jim Binger	82,985,461.31	45,121,210.44	35,743,207.38
IRS Refund	9,320,288.00 (3)	9,320,288.00	9,320,288.00 (4)
Total	\$128,007,811.51	\$128,482,893.73	\$128,031,543.16

- (1) Estimated info from Peggy Quinn of McDermott.
 (2) This figure includes both a refund from the IRS and amounts payable by the Binger Marital Trust to the Binger Estate because such Trust owes money to the IRS which money is subtracted by the IRS from monies otherwise payable to the Estate.
 (3) Updated info from Peggy Quinn of McDermott.
 (4) This figure will be somewhat more given interest accruals. *Chk from Marital Trust*



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

3039 IMG

Y ST01

THE PRIVATE CLIENT RESERVE Business Statement

Account Number: [REDACTED]

Statement Period:

Jun 1, 2011

through

Jun 30, 2011

Page 1 of 4



000002360 1 AT 0.365 106481146407641 P

ROBINA FOUNDATION

ATTN: NANCY

80 S 8TH ST STE 4900

MINNEAPOLIS MN 55402-2226



To Contact U.S. Bank

24-Hour Business

Solutions:

1-800-673-3555

Telecommunications Device

for the Deaf:

1-800-685-5065

Internet:

usbank.com

CHECKING

J.S. Bank National Association

Member FDIC

Account Number [REDACTED]

Account Summary

	# Items				
Beginning Balance on Jun 1		\$	3,924,259.87	Interest Paid this Year	\$ 7,755.83
Other Deposits	1		482.12	Number of Days in Statement Period	30
Other Withdrawals	1		2,900.00 -		
Checks Paid	11		22,293.38 -		
Ending Balance on Jun 30, 2011		\$	3,899,548.61		

Other Deposits

Date	Description of Transaction	Ref Number	Amount
Jun 30	Interest Paid	[REDACTED]	\$ 482.12
Total Other Deposits			\$ 482.12

Other Withdrawals

Date	Description of Transaction	Ref Number	Amount
Jun 13	Electronic Withdrawal From IRS	[REDACTED]	\$ 2,900.00 -
Total Other Withdrawals			\$ 2,900.00 -

Checks Presented Conventionally

Check	Date	Ref Number	Amount	Check	Date	Ref Number	Amount
[REDACTED]	Jun 2	[REDACTED]	7,500.00	[REDACTED]	Jun 13	[REDACTED]	466.34
[REDACTED]	Jun 2	[REDACTED]	261.00	[REDACTED]	Jun 13	[REDACTED]	152.73
[REDACTED]	Jun 3	[REDACTED]	961.92	[REDACTED]	Jun 13	[REDACTED]	88.16
[REDACTED]	Jun 2	[REDACTED]	283.32	[REDACTED]	Jun 29	[REDACTED]	7,500.00
[REDACTED]	Jun 2	[REDACTED]	59.91	[REDACTED]	Jun 30	[REDACTED]	2,500.00
[REDACTED]	Jun 2	[REDACTED]	2,520.00				

* Gap in check sequence

Conventional Checks Paid (11) \$ 22,293.38 -

Balance Summary

Date	Ending Balance	Date	Ending Balance	Date	Ending Balance
Jun 2	3,913,635.64	Jun 13	3,909,066.49	Jun 30	3,899,548.61
Jun 3	3,912,673.72	Jun 29	3,901,566.49		

Balances only appear for days reflecting change.

ANALYSIS SERVICE CHARGE DETAIL

Account Analysis Activity for: May 2011

Account Number: [REDACTED]

Analysis Service Charge assessed to [REDACTED]

\$ 0.00 ³



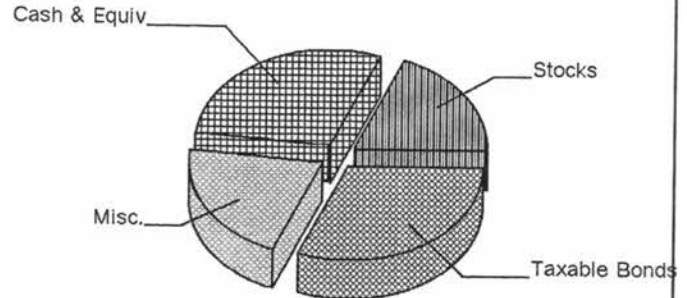
ACCOUNT NUMBER: [REDACTED]
ROBINA FOUNDATION MANAGEMENT AGENCY

5385
Page 2 of 12

This statement is for the period from
June 1, 2011 to June 30, 2011

ASSET SUMMARY AS OF 06/30/11

Assets	Current Period Market Value	% of Total	Est Annual Income
Cash & Equivalents	23,232,807.04	29.40	58,082.02
Taxable Bonds	24,070,723.96	30.40	954,473.95
Stocks	15,343,713.27	19.40	299,659.30
Miscellaneous	16,421,254.90	20.80	.00
Total Market Value	\$79,068,499.17	100.00	\$1,312,215.27



YOUR INVESTMENT OBJECTIVE IS ALL FIXED/NON
TAXABLE

MARKET VALUE SUMMARY

	Current Period 06/01/11 to 06/30/11	Year-to-Date 01/01/11 to 06/30/11
Beginning Market Value	\$79,485,695.57	\$21,160,516.65
Taxable Interest	51,728.32	350,751.79
Taxable Dividends	131,465.85	140,931.15
Fees and Expenses	- 20,055.55	- 60,501.10
Cash Receipts		58,871,309.00
Cash Disbursements		- 1,000,000.00
Long Term Gains/Losses		- 9,158.95
Short Term Gains/Losses		- 5,478.28
Change in Investment Value	- 580,335.02	- 379,871.09
Ending Market Value	\$79,068,499.17	\$79,068,499.17

Current Residuary Assets on Hand (as of June 30, 2011)

Cash and Short Term¹

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 5,365,466.49
James H. Binger Revocable Trust - Income Account [REDACTED]	7,228,877.27
Estate of James H. Binger [REDACTED]	15,355,849.22
Estate of James H. Binger - Income Account [REDACTED]	449,122.89
Total Cash and Short Term:	\$ 28,399,315.87

Tartan I LP (as of 06/30/2011)¹

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	102,407.91	43.4%	44,445.03	
Tartan I LP - ScotchGard	101,504.37	33.3%	33,800.96	
Tartan I LP - Post It	89,017.79	19.8%	17,625.52	
Total:	292,930.07		95,871.51	\$ 95,871.51 (Liquidation Value)

Other Assets:

James H. Binger Revocable Trust [REDACTED]		
Tomsten Inc.	125,001.00	
301 Clifton	272,000.00	
MN Community Dev. Bond	-	
Jason McLean Prom. Note	50,000.00	
<u>Venture Capital</u>	<u>6,398,908.00</u>	
Eridon	60,000	
Loring Pasta Bar	66,576	
Myfitlife Inc.	275,000	
Project Apple	-	
Raymedica Inc.	535	
Total:	7,248,020.00	\$ 7,248,020.00

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA: \$ 35,743,207.38

Note: Distributions to date total \$85.3MM (an interim distribution of \$27MM was made on 10/4/2007, of \$20mm on 3/25/2009, and of \$38.295MM on 3/3/11.)

Note: Distributions of \$1.34MM on 7/11/2011 and of \$3.88MM on 7/14/2011 will be reflected as of Q3 2011

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

¹Cash and Short Term Values as of 6.30.11

Nancy Gilberg

From: Thomas Crosby [tcrosby@tcrosbylaw.com]
Sent: Tuesday, August 02, 2011 3:44 PM
To: 'Quinn, Peggy A.'; 'Tyson, Anita M'
Cc: 'penny'; ngilberg@robinafoundation.org; 'Kastel, Gina M.'
Subject: Marion Bazal - 310 Clifton

Last week Penny and I met with Marion at 310 Clifton.

She is a very alert 86 year old who many years ago started work with Mrs. Binger as a seamstress and moved, ultimately, into a companion role with her. She also assisted Jim Binger after Ginny's death.

310 Clifton is new construction (3 or 4 years old) in a well located Minneapolis location. Her unit is very attractively furnished.

She has no intention of or desire to move. She has one daughter who lives in PA and with whom she owns an AZ property.

We indicated to her that we were prepared to honor the Binger undertaking to her but that it might provide some legal issues to the Foundation. We indicated that we would be prepared to purchase her life interest for the actuarial value which is approximately \$33,000. She is clearly not interested.

We did mention that, going forward, if she chooses to leave, the Foundation would purchase her life interest for the then actuarial value. Gina advises us that we have a problem if we pay more.

Accordingly, the unit will be a Robina Foundation asset. In fact, given her vitality, she may outlast the Foundation's 15 year life.

Robina will be prepared to accept it when you are in a position to convey it. I cannot remember whether the unit is a trust asset and can be conveyed by the trust or whether it was a personal asset and needs probate court approval.

Please let me know how you want to proceed.

ROBINA FOUNDATION GRANTS AND GRANT REQUESTS

August 2011

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid - Mo/Yr	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
Abbott Northwestern		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
Abbott Northwestern	7/08 \$5,995,070/3 years	Project: Care Guides in the Primary Care Office	Approved \$6 million/3 years – 8/08	\$1,253,535 pd 9/08 \$2,373,233 pd 12/09 \$2,373,232 pd 12/10	No Payment Scheduled for 2011
ArtPlace Initiative (In conjunction with NEA/ Rocco Landesman)	2/23/11 \$2M/One Time	Revitalizing Communities through Arts and Culture	Approved \$500,000/One Time – 3/11	\$500,000 pd 7/2011	
Aspen Institute: Justice and Society Program	3/09 \$130,575/One Time	Hold a Judicial Seminar on "International Human Rights and Humanitarian Laws: Their Application in National Jurisprudence"	Approved \$130,575/One Time – 5/09	\$130,575 pd 6/09	Paid in Full
The Center for Victims of Torture	8/08 \$25,000/One Time	In Recognition of Edson W. Spencer's contribution as Board Member	Approved \$25,000/One Time – 8/08	\$25,000 pd 8/08	Paid in Full
Council on Foreign Relations		Planning Grant 2006	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Council on Foreign Relations	1/14/07 \$10M/5 years	Project: International Institutions and Global Governance	Approved \$6 million/3 years – 1/08 \$2M/1 yr for 2011 – 5/10	\$2 million pd 2/08 \$2 million pd 9/09 \$2 million pd 9/10	2011 - \$2,000,000 – Additional Year Funding

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid/Date	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
U of MN Law School		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
U of MN Law School	3/08	Special request from Dean Wippman for faculty retention and other initiatives	Approved \$250,000 – 3/08	\$250,000 pd 4/08	Paid in Full Brief financial and narrative report received and reviewed by Board 5/08
U of MN Law School	10/08 \$6,061,339 (revised amount exclusive of endowment support)	Project: Program on Law, Public Policy, and Society	Approved \$6,061,399/5 years – 11/08 \$2M/1 yr for 2011 – 5/10	\$1.4 million pd 12/08 \$1,436,750 pd 9/09 \$1,480,338 pd 9/10	2011 - \$850,854 2011 - \$2,000,000 – Additional Year Funding 2012 - \$893,457
U of MN Law School	02/23/11 \$7,500,000/5 years	Institute on Criminal Law & Justice (beginning 2012)	Approved \$7,500,000/5 years –02/11		2012 -2016 - \$7,500,000 (\$1,500,000/per year)
U of MN Law School	02/23/11 \$250,000/5 years	Support Scholarships at the Law School (beginning 2012)	Approved \$250,000/5 years - 2/11		2012-2016 - \$1,250,000 (\$250,000/per year)
Yale University		Planning Grant	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Yale University Drama School	11/15/07 \$2.2M/3 years	Program: Yale Center for New Theatre	Approved \$2.85million/3 years – 3/08 \$950K/1 yr for 2011– 5/10	\$750,000 pd 4/08 \$750,000 pd 9/09 \$1,350,000 pd 9/10	2011 - \$950,000 Additional Year Funding
Yale University Law School	5/14/08 \$3M/3 years	Robina Human Rights Fellowship Initiative	Approved \$3 million/3 years – 5/08 \$1M/1 yr for 2011 – 5/10	\$1 million pd 6/08 \$1 million pd 5/09 \$1 million pd 6/10 \$1 million pd 5/11	2011 - \$1,000,000 – Additional Year Funding – Pd 5/11
TOTALS				2005 - \$150,000 2006 - \$200,000 2007 – 0 2008 - \$6,678,535 2009 – 7,690,558 2010 - \$8,203,570 2011 - \$1,500,000 Total - \$24,422,663	Commitments as of August 2011 2011 - \$850,854 (U of M Law School original grant) 2011 - \$4,950,000 (Add'l Year Funding) 2012 - \$893,457 (U of M Law School original grant) 2012 – 2016 - \$1,500,000/per yr (U of M Institute on CL&J) 2012 – 2016 - \$250,000/per yr (U of M Scholarships) \$2,643,457 total committed for 2012 as of 8/2011 \$1,750,000/per year committed for 2013-2016 (UofM)

Care Guides in the Primary Care Office August 2011 Robina Foundation Board Annual Report

1. SUMMARIZE ORIGINAL GOALS AND OBJECTIVES

From the original grant proposal (August 2008):

1. Develop care guide position.
2. Integrate the care contract within the electronic health record.
3. Implement the program in a single clinic site, including recruiting and training, "bricks and mortar" accommodations.
4. Measure and understand impact, summarize and refine learnings.
5. Implement a large randomized trial of the intervention.
6. Disseminate findings to the broader healthcare community.

2. PROGRESS IN MEETING GOALS

PHASE 1

Phase 1 was a pilot, proof-of-concept study, designed to test the feasibility of using trained lay persons called "care guides" to help chronic disease patients achieve standard care goals. In addition to testing the hypothesis that care guides could improve care, we needed to learn who to hire as care guides; how to recruit, train, pay and supervise them; how to introduce this concept to clinic personnel; how to enroll patients and how many patients one care guide could serve; how many contacts care guides would have with patients; and how to develop electronic reporting tools that would facilitate communication from care guides to patients and to providers.

Secondary goals were to identify factors that could forecast which patients would benefit from working with a care guide; to obtain economic data regarding the impact care guides might have on the cost of prescription drugs, emergency department visits and hospitalizations; to evaluate how patients, providers, and nurses perceived the care guide program; and to collect suggestions for Phase 2.

Phase 1 results

Eligibility, enrollment, drop-outs

All 704 patients seen in Abbott Northwestern Hospital's Medicine Clinic during the preceding year with diagnoses of hypertension, diabetes, and/or congestive heart failure were eligible unless under 18 or pregnant. Enrollment occurred during three months in 2009. 470 patients were offered enrollment; 334 enrolled. One became pregnant and one opted not to continue, leaving 332 patients for analysis.

Care goals met

The 332 patients with different combinations of diagnoses had in total 1743 care goals recommended by national authorities for treatment of these diseases.

Unmet care goals ~~met~~ decreased from 32.8% at baseline to 23.6% at one year, a 28% reduction. There was no apparent regression to the mean, indicating the initial improvement was durable (attachment 1).

Of the 12 individual care goals, all showed improvement except use of beta blockers for CHF; in this case, only two patients were missing goals at baseline. The improvement was statistically significant ($p < .05$) for smoking, blood pressure, aspirin use, diabetic eye exam, microalbuminuria test, LDL cholesterol, and pneumovax (7 of 12).

Why
don't
take
medicine?

Electronic tools

We developed three electronic tools within Allina's electronic health record (EHR): a care contract signed by patient, care guide, and provider (attachment 2); a report card to be printed periodically and given to patients to take home (attachment 3); and a quarterly report for the providers (attachment 4). All serve the purpose of reinforcing desired behaviors on the part of patients and providers.

Costs

New in this report is second-year data on hospital and emergency department utilization, as requested by the Robina board at last year's annual meeting. We discovered an error in how we had counted hospitalizations and fixed this. We decided to use average costs of emergency department visits and hospitalizations for *all* patients at Abbott Northwestern Hospital rather than cardiovascular patients, a more conservative methodology. The cost of an average non-obstetrical hospital stay was \$5125 and of an average emergency department visit was \$475.

For this utilization analysis, we looked at a subset of 280 "closely attached" patients, defined as all patients with visits to this clinic in each of 4 consecutive years: the first and second years before the study, the study year, and the year following the study. This approach reduces bias related to patients who received care elsewhere, or died, during the period studied.

This group had 310 emergency department visits during the baseline year before working with a care guide, 259 visits during the care guide year, and 269 visits the following year. They had 188 hospitalizations during the year before working with a care guide, 166 hospitalizations during the care guide year, and 177 hospitalizations the following year. This translates to an estimated decrease in hospital and emergency department costs compared to the baseline year of \$136,975 during the year working with a care guide and \$75,850 during the following year. Care guide salaries and benefits apportioned to these 280 patients totaled \$109,760.

for how
long?

Although timing suggests that the experience of working with a care guide was responsible for the decrease in hospital and emergency department utilization, we cannot draw this conclusion with certainty because other factors were at work, notably economic stress related to a major recession and loss of insurance for some patients. The phase 2 controlled trial will provide more reliable information.

Conclusion re:
cost?

Cost of care guide salaries and benefits per patient per year was \$392.

The cost of drugs prescribed for these three conditions was slightly higher when averaged over one year compared to baseline.

Care guide workload

The average number of patients per care guide was 111. Care guides reported about two phone calls per month and one in-person contact per month per patient, and about one contact per month with their providers. In addition, care guides spent considerable time in study-related duties.

Reactions of patients, providers, nurses, and Allina to the care guide program

These data were obtained in multiple ways, including patient focus groups and surveys, clinic staff and provider surveys, and care guide observations recorded at the end of each day and in journals updated weekly.

Patients were overwhelmingly positive about the care guides, listing affection, trust, encouragement, coaching, reminders, and time spent as positives. Nurses and providers were initially skeptical about the potential value of care guides but became enthusiastic after a few months, listing interdependent teamwork, information sharing, reminders, and division of labor as positives. The more patients an individual provider shared with a care guide, the greater sense of interdependence and teamwork that was reported.

Which patients benefit?

Improvement in reaching care goals was consistent across all demographic groups, including age, sex, insurance status, self-identified race, education level, country of origin, and language spoken at home. There were no significant differences in the improvement shown by patients assigned to different care guides, or by patients with different responses to the Patient Assessment of Care in Chronic Conditions (PACIC) survey.

Patients who met the fewest care goals at baseline improved the most. While this would be expected mathematically, it may also indicate that there is no "unreachable" group at the bottom.

PHASE 2

Phase 2 is designed to evaluate efficacy of care guides in a wider variety of clinical situations and in a statistically rigorous fashion. It consists of two separate and concurrent kinds of controlled trials. We will describe here in some detail the methods used for recruitment and data collection for these 2 trials. Enrollment is now complete and data collection is going well.

The *randomized trial* compares patients who worked with care guides, with control patients within the same clinic, over a 12 month period for each patient.

The *case-control trial* compares care guide patients and randomized control patients with matched patients in similar clinics without any exposure to care guides. This is necessary, because we anticipate that the presence of care guides in a clinic will change the behavior of providers toward the randomized control patients, underestimating the true effect of the care guides. The case control trial will compare clinical endpoints over 18 months (before care guides first arrived in a clinic and at the end of the study).

IRB approval and NCT registration

The Allina IRB and the University of Minnesota School of Public Health approved the Phase 2 study, including permission to collect restricted data on comparison groups in the matched case-control study. ClinicalTrials.gov registered the study as a prospective randomized trial on July 2, 2010 (# NCT01156974) and we updated data on this website after enrollment was complete.

Timeline

Data collection will end for both the randomized and case-control trials in April 2012, as estimated in last year's report (see attachment 5).

Clinic selection

We considered all 39 primary care clinics in the Allina Health System for participation in the randomized study. We looked for clinics within a reasonable driving distance from Abbott Northwestern Hospital, with diversity in patients, providers, locations, and exposure to other quality-improvement initiatives. We invited five clinics to participate in the Phase 2 study; all agreed. These are located in St Paul, Cottage Grove, Edina, Faribault, and Hastings, Minnesota. Two of these clinics have mostly internal medicine providers; three have mostly family practice providers. One is urban, two are suburban, and two are rural. Three have long exposure to Allina electronic health record quality improvement programs, while two do not. Seeking an average patient panel of 120 patients per care guide, we hired 12 care guides; two or three care guides are located in each clinic depending on the size of a clinic's pool of eligible patients.

For the case control study, each of the study clinics was prospectively matched with a "sister" Allina clinic aiming for similarities in location, provider type, patient demographics, and duration of exposure to EHR-based quality improvement initiatives.

Patient selection

For the randomized trial, a power calculation suggested 729 patients would provide an 80% chance of detecting a 10-point improvement (with $p < .05$) in a care goal met by 65% of patients at baseline, as seen in Phase 1, or 3079 patients to detect a 5-point improvement. We expected the Phase 2 patients would be doing slightly better at baseline than in Phase 1, and would experience a somewhat smaller improvement. Based on this, and our desire to evaluate the effect of this intervention on subsets of patients, we chose an enrollment goal of 2000 patients. Clinic enrollment was staggered to provide efficiency in use of supervisory personnel. Three clinics began enrollment on July 5, 2010 and two clinics began enrollment on October 18, 2011.

Eligible patients were seen during the six-month enrollment period, had a diagnosis of hypertension (HTN), diabetes (DM), or congestive heart failure (CHF), were aged 18-79, and not pregnant. Providers were asked to refer patients who they thought "needed help". To prompt referrals, a yellow electronic flag was inserted into the EHR for patients seen during the previous 6 months with a diagnosis of DM or CHF, or of HTN where the most recent clinic systolic blood pressure was >135 mm Hg, and a list of such patients on each day's appointment schedule was given to providers and nurses at the start of the clinic day. The decision to refer a patient for enrollment or not was made solely by providers.

All patients received an educational hand-out about the importance of achieving the care goals specific to their disease(s). Two-thirds (1429 patients) were randomly assigned to work with a care guide for one year, and one-third (705 patients) were assigned as controls to work toward the same goals without the help of a care guide. Seven decided to withdraw from the study, four from the care guide group and three from the control group, leaving 2127 participants (attachment 6).

Enrollment in the randomized trial (2127 patients) is quite large for a study of this type and should provide statistical power sufficient to analyze effects on subgroups of patients as well as overall effects.

The case-control patients were selected electronically to find a "best match" for each of the 2127 randomized patients. Because there ^{were} only 26 patients with congestive heart failure alone, we limited this part of the study to patients with diabetes and/or hypertension. First, we required an exact match for each randomized patient's diagnoses, and for a visit at a patient's "sister" clinic during the six-month enrollment period. From this large pool of patients, 8410 patients were identified as best possible matches considering age, sex, race, SBP, HbA1c, primary insurance type (private, Medicare, Medicaid, none), and CHF comorbidity. We used different statistical methods for finding these matches. In five of these (abbreviated "Nearest

Neighbor", "Nearest Neighbor with Caliper", "Radius", and "Blocks") enrolled patients are matched 1:1 with case-control patients; in one ("Nearest Four"), enrolled patients are matched 4:1 with case-control patients. Our plan is to see if these different matching techniques produce the same clinical results, providing the strongest possible endorsement of results. If results vary by the method used for finding the matched patients, we will choose the method most commonly used in similar studies.

Early results

We have six-month results for 677 (31%) of patients in the randomized study. Care guide patients and control patients failed to meet about the same number of goals at baseline (mean and median 25% for care guide patients, 24% for control patients) but at six months care guide patients had reduced the mean number of goals unmet by 5 percentage points to 20% while control patients had improved by 1 percentage point to 23% (attachment 7). Because there were many outliers, the difference at six months in median numbers of goals unmet was more impressive, 13% in care guide patients and 22% in control patients. These differences were significant at a p value of .02, meaning a 2% probability they would appear by chance. Unlike in the phase 1 study, patients with diabetes had more improvement than patients with hypertension.

It is important to remember that these are first-half results in less than one-third of the enrolled patients. While promising, we must interpret them with caution.

We have not yet examined partial results for the case-control study.

3. DESCRIBE ANY UNANTICIPATED RESULTS AND CHANGES MADE IN RESPONSE

Pilot study

We did not expect that telephone recruitment would be so difficult or that in-person recruitment after referral by providers would be so successful. We learned to ask the providers NOT to describe the program, as they gave too much detail and would sometimes be drawn into a prolonged discussion. On the other hand, the care guides became very adept and efficient at recruiting patients.

We initially asked patients to nominate a "key family member or friend" as a partner, but abandoned this idea after several expressed resistance or discomfort. Some regarded health care as too private. Some were alone, didn't have such a resource and became sad when asked.

We did not anticipate how much importance patients would attach to seeing the care guides as peers, not wearing white coats, and easily accessible for informal visits in the waiting room.

We found that creating the electronic tools was a very slow and cumbersome process, so we

made minimal changes for Phase 2, adding last tobacco use and LDL cholesterol to the quarterly reports, and separating systolic and diastolic blood pressures into two goals because they tracked differently in Phase 1. Based on new information in the medical literature, we eliminated aspirin use as a goal for some categories of patients, and we raised the hemoglobin A1c target to 8.0%.

Because the PACIC survey used in Phase 1 was not helpful in identifying which patients benefited (and did not "scale" appropriately), we created entirely new questions for the patient survey, designed to identify patients who reported poor social support, doubts about their ability to make changes, difficulty communicating with their providers, or a weak attachment to their primary clinic or provider. The 3 phase 1 care guides worked with Drs. Wholey and White from the University of Minnesota to design the new questions.

Phase 2 study

Analysis of 2127 responses to this new internally-developed survey shows good "scaling" and strong internal validity among questions designed to provide information about different barriers to care. We decided to drop some questions that did not show internal validity from the end-of-study surveys. Drs. Wholey and White feel our survey compares favorably with similar stools designed to elicit patient attitudes toward care and barriers to care. If the clinical results confirm validity, they plan a separate publication introducing this Robina-funded work in an appropriate public health journal.

We overestimated resistance to this new care model among both nurses and providers. In each study clinic, skeptics remain but their numbers are waning and strong champions of this care model have appeared among clinic leaders and rank-and-file providers. As a result, Allina Medical Clinics has decided to keep all their care guides once Robina funding ends (see below).

4. PLANS TO SHARE FINDINGS

Presentations at scientific meetings

Phase 1 implementation and results:

1. Minnesota Chapter of American College of Physicians, October 2009
2. Minnesota Health Services Research conference, March 2010
3. Academy Health Annual Research Conference, Boston, June 2010
4. National Primary Care Research & Development Centre Conference, University of Manchester, Manchester, UK, July 2010
5. Medica-Total Cost of Care Conference, June 2011
6. Interpreting Practice and Research in Health Care, INGroup, July 2011

We seek advice from the Robina Board regarding where to submit early results from Phase 2; full six-month data will be available in mid-October. We are considering both physician and

health services research conferences in the U.S. and Europe, especially those that accept abstracts in late fall (attachment 8).

Publications

A phase 1 manuscript "Care Guides: employing non-clinical laypersons to help primary care teams manage chronic disease" is under editorial review at the Journal of Ambulatory Care Management.

A phase 2 manuscript tentatively titled "Care Guides: can trained laypersons help manage chronic disease? A randomized trial" is in preparation.

Collaboration with Hennepin County Medical Center

We have had extensive interactions with this large public hospital, 14 blocks away on Chicago Avenue in Minneapolis, at their request. They have begun using care guides to help coordinate care for the large numbers of patients in Minnesota's General Assistance Medical Care program. Members of our research team with expertise in studying how health care organizations make changes plan to interview personnel at some of these clinics.

Adoption of the Care Guide model by Allina Hospitals & Clinics

Allina has decided to implement the Care Guide care model widely as part of its Medical Home initiative, starting with the AMC clinics engaged in the phase 2 research project, and adding the very large Coon Rapids Clinic, which has nearly as many patients as the five phase 2 clinics combined.

Once all phase 2 data are collected and reported, the care guide salaries will transition from the Robina Foundation to Allina in early 2012. These are permanent positions. We are very pleased that our results justify this decision by Allina, but also that the providers and clinics using care guide services have advocated strongly for keeping their care guides, as essential to how they provide care for chronic disease patients.

Allina is working on plans for a central care guide supervision and training program, and to add more diseases to the care guide portfolio. There are also plans for a website to describe this care model for outside audiences, including a step-by-step description of how care guides were hired and trained, and how this care model was introduced to clinic personnel.

Several board members have asked whether care guides see their jobs as a career or a stepping stone to other things. Informal communication indicates about two-thirds will stay as care guides for now. We are considering hiring two of them as care guide trainers/supervisors/research assistants within the Allina Center for Care Innovation. Two have plans for further education in nursing or public health.

5. INCOME AND EXPENSE STATEMENT FOR THIS GRANT PERIOD, WITH ORIGINAL BUDGET AND EXPLANATION OF VARIANCES.

Please see attachment 9.

6. DISTINGUISH ROBINA GRANT WORK FROM OTHER WORK AND FUNDING

The principal investigator Dr. Adair is not working on any other projects and has no other funding.

7. SUMMARY

We are pleased with our success in hiring the nurse-supervisors and care guides responsible for reaching full enrollment on time, randomizing 2134 patients without a glitch, and apparently winning the hearts of the nurses, providers, and patients in these clinics. We have been energized by bringing together team members from Allina and the University of Minnesota with very different professional skills.

Both the racially diverse, economically challenged patients in Phase 1 and the more typical Minnesotans in Phase 2 were doing relatively well at baseline by national standards, meeting about 2/3 and 3/4 of goals respectively. A reasonable way to present our results is to ask what percent of possible improvement was achieved. By this measure, patients show similar improvement, 28% at one year in Phase 1 and 20% at 6 months in Phase 2.

The Phase 2 study will have power to address questions not fully answered in Phase 1: Do care guides help patients already doing well maintain success? Can we find clinical, demographic, or attitudinal factors that predict the benefit of working with a care guide? Can care guide salaries be partly offset by reduced costs of hospitalizations or emergency department visits? Are care guides more effective in some kinds of clinics than others? *

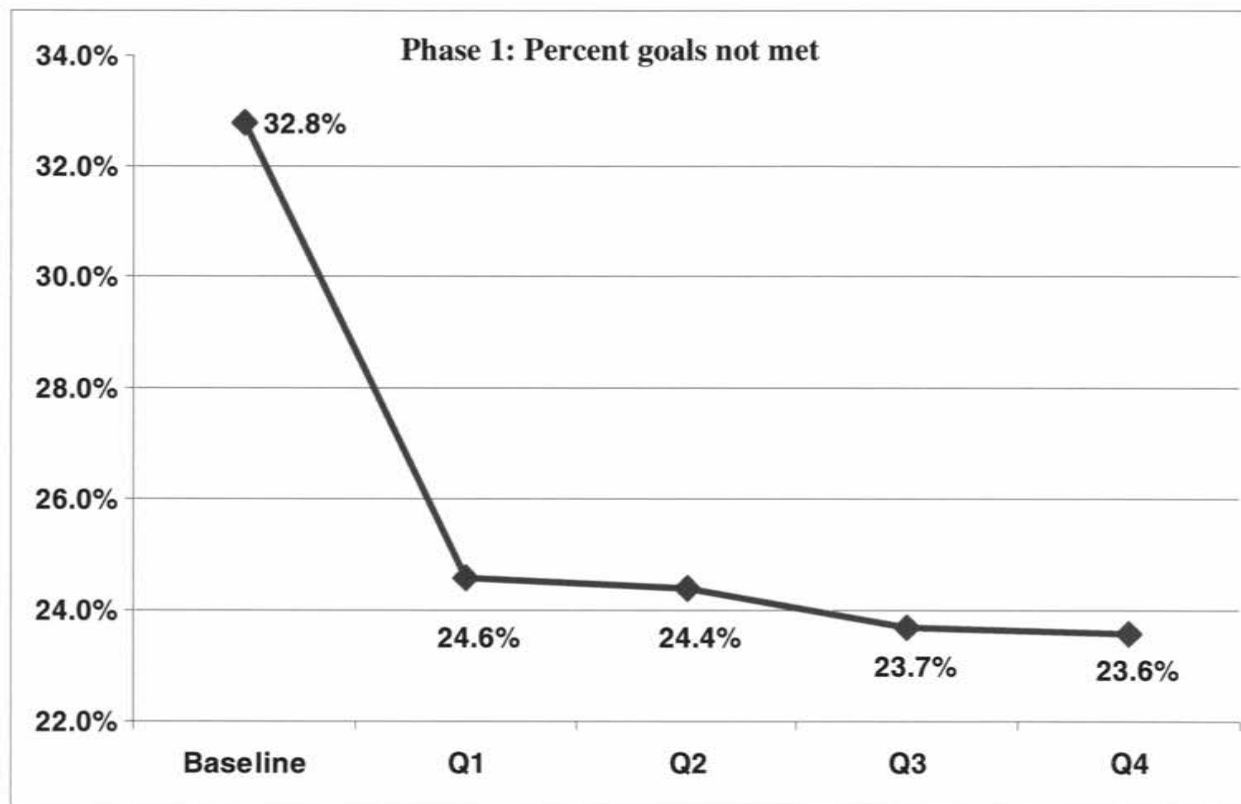
We will also be able to analyze in depth how this project was implemented within the distinctly different cultures and leadership styles of the five different clinics. We plan extensive post-study interviews with clinic personnel. We then plan to present our experience in publications and abstracts aimed at the wider health services research audience.

We hope this work will benefit clinicians, administrators, and health planners looking for more efficient styles of practice, and will provide specific economic data useful in developing team-based models of care.

Respectfully submitted,

Richard Adair, MD
Jon Christianson, PhD
Kim Radel, MHA

Attachment 1



Attachment 2

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

I will learn about Diabetes 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 and Congestive Heart Failure Care Goals

Not Using Tobacco: Not Met
Echocardiogram (measure heart muscle output): Not Met
Taking ACE-I or ARB (if LVEF <40): Not Met
Taking Beta Blocker (if LVEF <40): Not Met
Pneumonia vaccine: Met
Taking aspirin daily : Not 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: Not Met
Test for protein in urine within the last year: Met
If abnormal protein in urine, taking ACE-I/ARB: N/A
LDL (harmful cholesterol) is less than 100: Met

Total Care Goals Met Today: 4

Number of Goals Met at first Care Guide visit: 4

Attachment 3

Flowsheet Report	
Snapshot	Select Flowsheets to View
Chart Review	ROBINA CONTRACT CARE GOALS [97]
Flowsheets	
Results Review	
Allergies/Preg	
History	
Letters	
EMPI Demographics	
MPI History	
FYI	
Robina Contract Care Goals	5/1/2009 6/8/2009 6/9/2009 7/7/2009 9/30/2009 2/5/2010
Tobacco Use	Met Met Met Met Met Met
Daily Aspirin Use	Not Met Not Met Met Met Met Met
Hemoglobin A1c	Met Met Met Met Met Met
Diabetes Blood Pressure Goal	Not Met Not Met Met Met Met Met
Eye exam within last year	Not Met Not Met Not Met Met Met Met
Microalbumin within last year	Met Met Met Met Met Met
On ACE-I/ARB (if positive albumin)	Not Met Met Met Met Met Met
LDL	Not Met Met Met Met Met Met
Had Pneumonia vaccine	Met Met Met Met Met Met
Total Care Goals Met	4 6 8 9 9 9



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EHR Tools for the Care Guide

- Quarterly report from Chart Update hyperlink

Default Flowsheet Data (last 8760 hours)	
Robina Quarterly Report	
Row Name	
	1000
ROBINA QUARTERLY REPORT	
Quarterly Update	2
Last HgbA1c	7.4
Last clinic SBP	126
Last clinic DBP	62
Goals met	8
Goals not met	1
CG/pt phone contacts	3
CG/pt in person contacts	0
CG/PCP contacts	1
Allina ED visits	0
Allina hosp adm	1
Cost of study meds, last visit	82

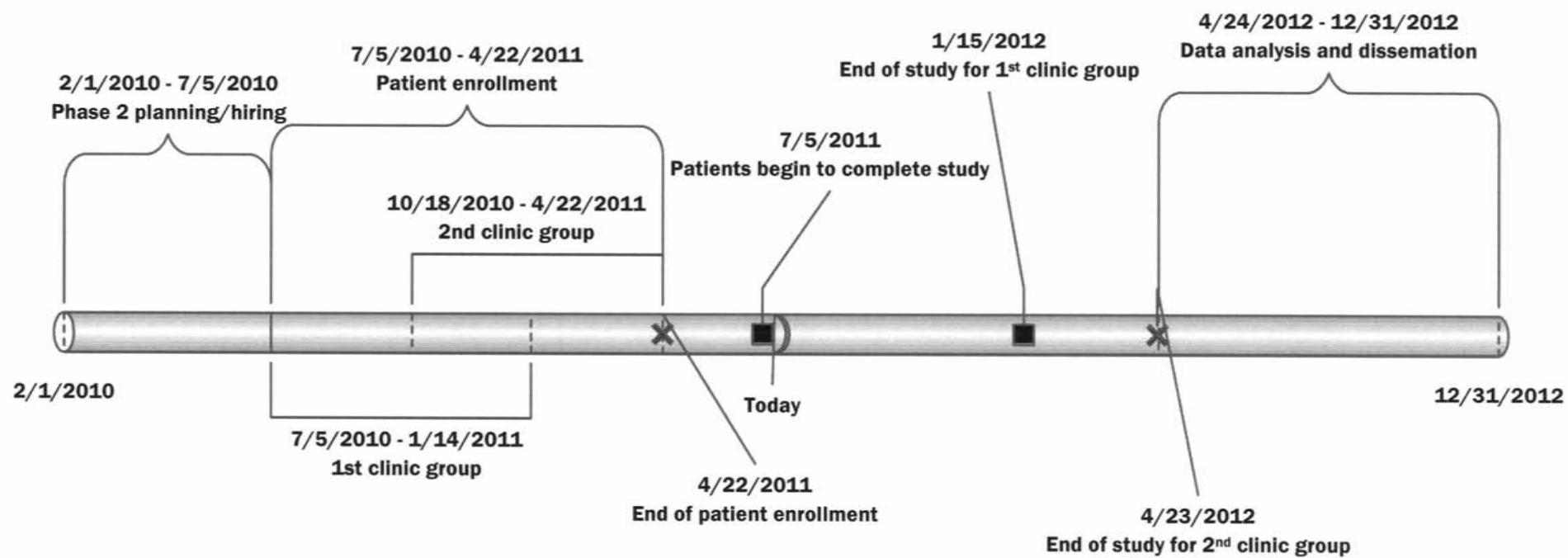


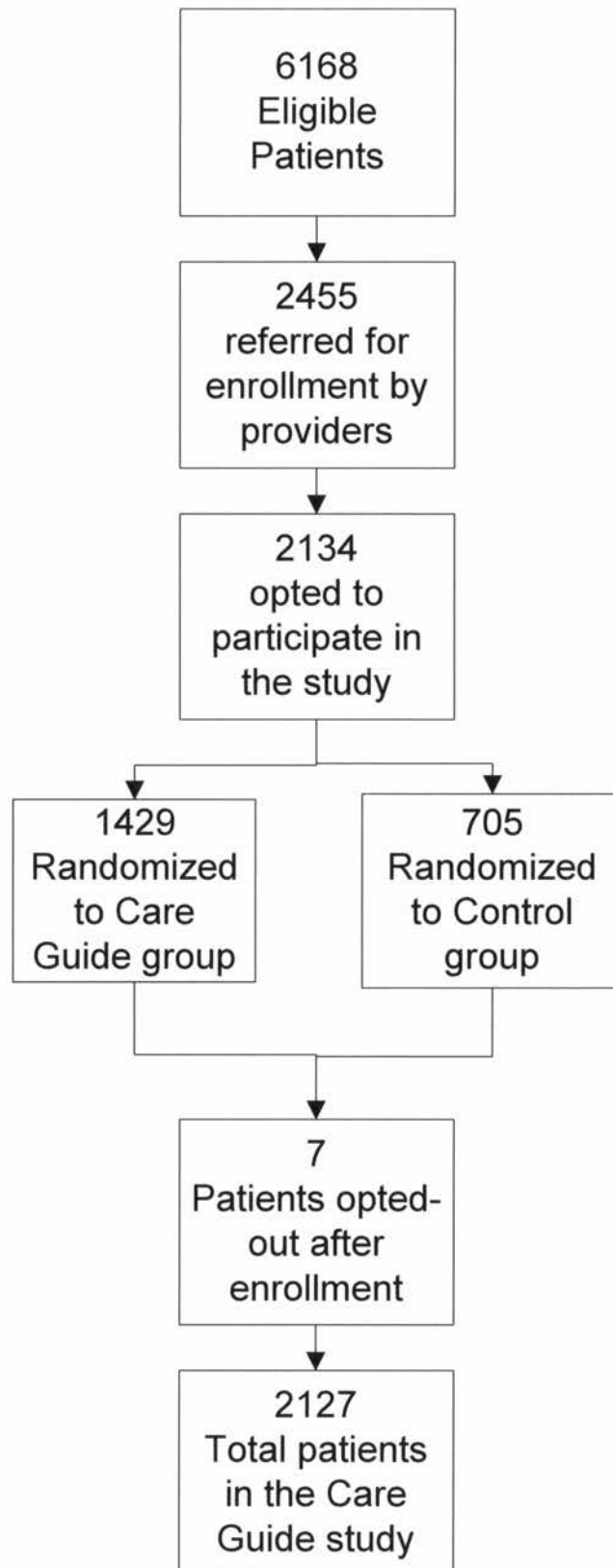
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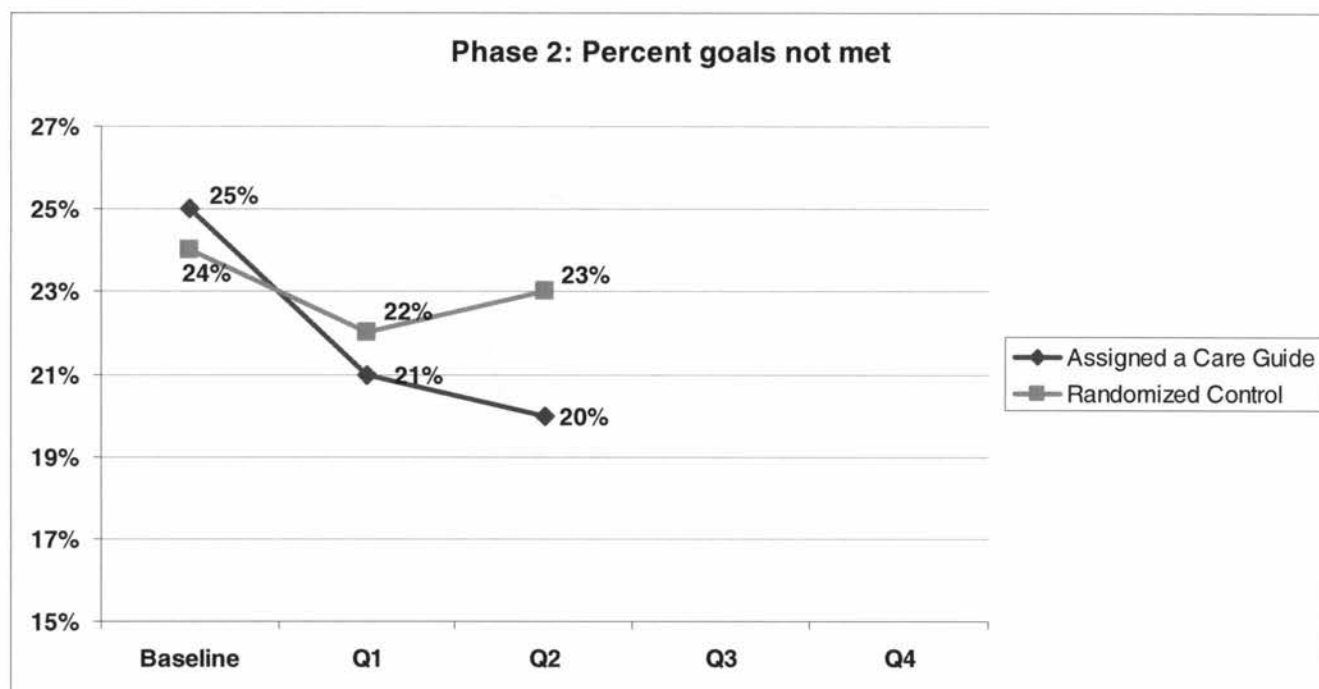
ALLINA
Hospitals & Clinics

Attachment 5





Attachment 7



Attachment 8

Conference/ Organization	Website	Rationale	2012 Dates	Mtg Location
Medical Practitioners, Educators, & Researchers				
American College of Physicians Internal Medicine http://www.acponline.org/	www.acponline.org	natl organization of internists; large attendance natl mtg	April 19 - 21	New Orleans
Society of General Internal Medicine (SGIM)	www.sgim.org	internal medicine; faculty teaching & research focus	May 9 - 12	Orlando
AAFP National Conference	www.aafp.org	primary care; vision of society: to transform care	July 26 - 28	?
Family Medicine Education Consortium	http://www.fmec.net/index.asp	Regional meeting (NorthEast US)	Oct ?	?
Society for Academic Primary Care	http://www.sapc.ac.uk/index.php	International; "Promoting excellent teaching, research, and critical reflection on primary care practice and policy"	July ?	?
WONCA Europe Conference	www.woncaeurope2012.org	European corollary of ACP	July 4 - 7	Vienna
Researchers: Social Science & Health Services				
MN Health Services Research Conference	http://www.sph.umn.edu/hpm/cor	MN health services researchers	March ?	St. Paul
AcademyHealth Annual Research Meeting	www.academyhealth.org	Natl health services researchers & policymakers	June 24 - 26	Orlando
Academy of Management Annual Meeting, Health Care Division	www.aomonline.org	Researchers & educators in management programs, health care division	Aug 3 - 7	Boston
Society for Studies in Organizing Healthcare	http://www.shoc.org.uk/index.php	SHOC aim: to promote, support and develop advancement in the organisation of healthcare	April 15 - 18	Dublin
Joint SDO (Service Delivery and Organisation)/HSRN (Health Service Research Network) conference	http://www.sdo.nihr.ac.uk/news2	International mtg - joint mtg of SDO and HSRN/ health services researchers and organization researchers	June ?	?
Other Target Audiences				
American Public Health Association Annual Meeting	www.apha.org	Annual Natl Public health mtg; large attendance	Oct 27 - 31	San Francisco
Medical Group Management Association	www.mgma.com	practice management mtg	Oct 21 - 24	San Antonio
American College of Healthcare Executives	www.ache.org	health care executives	March 19 - 22	Chicago
Other Venue				
Patient-Centered Primary Care Collaborative	www.pcpcc.net	webinar	as scheduled	On-line

Attachment 9

Phase 2 Budget for: Care Guides in the Primary Care Office

Budget Category/Item				Proposed Phase 2	Actual Phase 2
PERSONNEL	Base Salary	FTE actual	months	Jan 2010 - August 2012	Jan 2010 - June 2011
Care Guides					
RCT Phase II	\$35,360	16	21	\$990,080	\$466,975
Project Coordinators					\$254,700
RCT Phase II	\$85,000	1.00	30	\$212,500	
RCT Phase II	\$85,000	1.00	26	\$184,167	
Research Project Manager	\$85,000	1.00	32	\$226,667	
Assistant Project Coordinator	\$40,000	2.00	30	\$200,000	
Investigators					\$133,905
Principal Investigator: Adair	\$180,000	0.30	27	\$121,500	
Co-Investigator: clinic 1	\$180,000	0.20	27	\$81,000	
Co-Investigator: AMC:	\$180,000	0.05	27	\$20,250	
Co-Investigator: AMC: clinic 2	\$180,000	0.20	27	\$81,000	
Co-Investigator: AMC clinic 3	\$180,000	0.20	27	\$81,000	
Co-Investigator: Aspen: leader	\$180,000	0.05	27	\$20,250	
Co-Investigator: Aspen clinic 4	\$180,000	0.20	27	\$81,000	
Institute for Health & Healing					
Care Guide Training Faculty: Vitale	\$70,000	0.03	2 days/pp	\$3,500	
Additional Personnel					
Care Guide Trainers (3 MDs)	\$180,000	\$ 88	2/yr for 8 hrs	\$4,224	
Interviewing process (MD/project mgr)		\$ 70	32 hrs	\$2,240	
Translation Services	\$47,840	\$ 55	50hrs*4	\$11,000	
All Training personnel					\$95,656
Technical & Analytic Support					\$230,630
Clinical Decision Support	\$76,000	0.25	24	\$38,000	
Health Informatics	\$85,000	0.15	32	\$34,000	
Clarity Reporting	\$76,000	0.25	24	\$38,000	
Analytic	\$97,000	0.15	32	\$38,800	
IS/Excellian project manager	\$80,000	1.50	8	\$80,000	
Publication/Writing Support	\$92,500	0.15	32	\$37,000	
Operational/Financial Support	\$95,000	0.12	32	\$30,400	
HR/Communications/Marketing Support	\$75,000	0.05	32	\$10,000	
Benefits (29% of all above personnel)				\$761,707	
Total Salaries and Benefits					\$1,181,866
University of MN Advisors				\$448,192	\$351,636
Process Evaluation: Christianson, Wholey, White					
Health Economics: Town					
Research Assistant	\$35,360	2.0	7.5	\$44,200	
Personnel Total				\$3,880,677	\$1,533,502
ADDITIONAL COSTS					
Study Specific Clinic Visit Cost	\$115/visit		5,000 pts	\$575,000	\$498,684
Professional Meeting Attendance	ACP, AAFP, etc.		4 at each x 4	\$40,540	
Training Development				\$5,000	
Introductory video				\$15,000	
Communications Materials				\$20,000	
Patient & Family Advisory Council	1/qtr	\$581		\$27,888	
Box lunches for training and QI				\$10,000	
Other combine expenses					\$312,146
Furniture & Equipment, LCD projector	\$30,000/location	4		\$122,600	\$55,390
Research Support: IRB + SPA				\$4,000	
Mileage	\$2,177		21	\$45,716	\$15,438
Additional Costs Total				\$865,744	\$881,658

Phase 2 Project to Date	\$3,559,815	\$2,415,160
Total Phase 2 Project Costs	\$4,746,421	

Annual Evaluation Report to the Robina Foundation
Program on Law, Public Policy, and Society

August 1, 2011

Executive Summary

Over the course of the past year, we have made substantial further progress toward fulfilling the goals of the Robina-funded Program on Law, Public Policy, and Society (LaPPS). Among other things, we have hired an outstanding entry level faculty member in international human rights, as well as an executive director and a research fellow for the proposed Robina Institute on Criminal Law and Justice; held a series of annual public policy research conferences; largely completed the restructuring of the first-year curriculum and other curricular reforms; funded 19 student human rights and public policy internships; and placed 44 students from the class of 2010 in a very effective post-J.D. fellowship program.

LaPPS remains at the center of the Law School's plans for the next five years. After extensive internal deliberations, the faculty last November unanimously approved a Strategic Plan that targets four substantive areas for future investment and development. Three of those areas are the LaPPS strategic enabling areas: international law, law, science, and technology, and criminal law. (The fourth area in the Strategic Plan is law and business.)

With support from Robina, the Law School has attracted to Minneapolis what we believe is the strongest group of criminal law faculty in the country. The proposed Criminal Justice Institute will enable us to translate that faculty strength into research and policy work that will help transform key aspects of the American criminal justice system. We have also made considerable progress in the other two LaPPS areas and are advancing proposals for cross-university collaborations that will greatly augment what we can achieve in both areas.

Finally, we began in May to publicize opportunities for Robina scholarship matches. Robina's scholarship gift will help us leverage alumni giving and jump start the scholarship component of our recently launched \$70 million fundraising campaign. We have already secured \$255,000 in matching commitments from 13 donors.

We are excited about progress to date and grateful to the Foundation for making it possible.

1. Original Goals and Objectives

The Program, as described more fully in our June 20, 2008 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) build on our existing strengths in criminal law, international law, and law, science and technology to generate cutting-edge, policy-relevant research, teaching, and community outreach; and b)

transform the Law School's curriculum in ways that will enable our graduates to be more effective at solving complex social problems.

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

Specific subject area goals originally identified for the LaPPS Program include:

- hire one or more new faculty members in each of the three fields of strength;
- foster cutting-edge public policy-oriented research in each of the program areas; and
- hold annual high-profile conferences in one or more of the three areas that attract top scholars, stimulate new research, and generate new publications.

B. Transformation of Curriculum and Teaching

Specific curricular goals include:

- 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;
- 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 complex problem-solving strategies;
- highlight the ways in which law can be original and transformative, in drafting, application, and interpretation; and
- emphasize the professional values of social responsibility and public service.

2. Progress in Meeting Program Goals

The LaPPS Program is well under way, with significant new hires, research projects, conferences, and curricular reforms.

A. Progress on Building on Existing Strengths in Criminal Law, International Law and Human Rights, and Law, Science, and Technology

Criminal Law

In 2009, we hired Antony Duff, who is widely regarded as perhaps the world's leading authority on the philosophy of the criminal law. Antony joined an already exceptionally strong criminal law faculty and his arrival has helped spark a wide range of new policy-related work. As stated in our May 2011 proposal to create the Robina Institute on Criminal Law and Justice, the Law School is now poised to launch the preeminent program on criminal law and justice in the United States. We believe this program will help address many of the glaring deficiencies in the U.S. criminal law and criminal justice system. At the same time, the program will strengthen the Law School's national reputation, prepare students for leadership roles in the field, and strengthen relations with practicing lawyers and government policy makers.

This spring, we hired Michael Smith, who will join us as the Executive Director of the Institute in the fall. A Rhodes Scholar and graduate of Princeton and Harvard Law School, Michael comes to us from the University of Wisconsin Law School, where he served as the research director of the Frank J. Remington Center for Research, Education and Service in Criminal Justice. Prior to his faculty appointment at Wisconsin, Michael was President and Director of the Vera Institute of Justice in New York, which worked to devise, test and disseminate effective responses to pressing criminal justice policy problems. Michael has been the research director for the Governor's Task Force on Sentencing and Correction, research consultant to the Wisconsin Criminal Penalties Study Committee, and co-convenor of the National Institute of Justice's Executive Session on Sentencing and Corrections.

In addition, we have hired Zachary Hoskins as the first Institute Research Fellow. Zach has a PhD in Philosophy from Washington University in St. Louis and a Master's in Journalism and Mass Communication from the University of North Carolina at Chapel Hill. Zach works on punishment theory and related issues at the intersection of criminal law and philosophy. He will provide research and administrative support to the Institute directors and faculty.

International law and human rights

In the first year of the LaPPS Program, we hired John Borrows, one of North America's leading experts on indigenous rights and comparative constitutional law. This past year, we hired Chris Roberts, a JD with a PhD in Sociology, who is doing important and innovative work on the forces driving the evolution of human rights norms. John and Chris complement an already exceptionally strong group of faculty who work in the area of international law and human rights, not only in the Law School, but elsewhere in the University and community.

This year, we have begun working with colleagues in the College of Liberal Arts, Humphrey School of Public Affairs, and elsewhere to develop a University-wide human rights program. In particular, a core group of faculty is coming together to address the widespread perception that despite decades of drafting and ratifying human rights treaties, human rights violations are getting worse, not better. A focus on the "compliance gap" brings together Law School faculty strengths (Gross, Roberts, Schaffer, Ni Aolain, Weissbrodt, Wippman) with interdisciplinary strengths elsewhere in the University (Hilbink, Frey, Sikkink, Payne, Ron, Schwartz). We are discussing a multi-year research, teaching and outreach project designed to address the compliance gap through work in four areas: 1) measurement (how do we measure compliance in human rights?); 2) comparative analysis of existing enforcement mechanisms (with an emphasis on the intersection of domestic and international criminal law); 3) analysis of existing human rights tactics (identifying new and creative approaches); and 4) study of root causes of human rights violations.

Law, Science, & Technology

We continue to seek a star lateral in law, science, and technology. This rubric encompasses three distinct clusters within the faculty: health law, environmental and energy law, and intellectual property law. Unfortunately, the number of top scholars in these areas who may be moveable is very small.

In the course of our initial law and science search, we identified Hari Osofsky as a rising star in the area of international environmental law. Although too junior to fill a Robina chair, Hari was an ideal person to help build a bridge between two of our areas of emphasis – international law and law and science. We recruited her from Washington & Lee, and she has helped energize both our international and environmental law groups.

This past year we extended an offer to a leading health law scholar, who eventually declined for family reasons. We then shifted our focus to environmental and energy law, driven in part by Hari's arrival and newly emerging possibilities for collaboration with environmental scholars elsewhere in the University. Our appointments committee has assembled a list of prospective candidates; we interviewed one in the spring and will conduct further interviews this fall.

Already, the Law School has a core group of scholars working on issues at the intersection of environmental and energy law. They are partnering with colleagues across the University – in public policy, business, geography, and other key departments – to develop a unique cross-University collaboration aimed at developing innovative solutions to critical problems in U.S. energy law and environmental policy. Although clean energy is an acknowledged national priority, the United States lacks a coherent national energy policy and the infrastructure needed to transition to cleaner energy sources. We are exploring avenues for assembling the expertise needed to solve core law and policy problems in areas such as clean energy infrastructure, environmental and energy governance, and environmentally sustainable “smart growth.”

Robina Public Policy Annual Conferences

The Law School held eight major Robina-supported conferences this year, capitalizing on its growing strengths in criminal law and international law and human rights.

- In September, the Law School held a conference on “International Wrongs, International Rights: The Use of Criminal Law to Protect Human Rights.” The conference brought together leading experts on international criminal accountability, including the Prosecutor of the International Criminal Court.
- In October, the Law School hosted a group of leading criminal law scholars from around the world at a two-day conference in Amsterdam to discuss the causes of declining crime rates in western countries.
- In November, the Law School held a major, three-day conference on international economic law, co-sponsored by the American Society of International Law, with over 100 scholars participating and papers to be published in the Minnesota Journal of International Law.
- In April, the Law School held two international symposia, one on the theory and practice of criminal prosecution and the other on issues at the intersection of criminal law and human dignity.
- In May, Barry Feld convened a symposium of leading scholars to discuss his new book manuscript on the experiences of juveniles in the justice system; Richard Frase

led a similar symposium on his book manuscript dealing with “Just Sentencing: Principles and Procedures for the 21st Century.” Finally, leading scholars of international law, neuroscience, and psychology participated in a Law School Conference on “National Security, Human Rights and the ‘Other’.”

B. Progress on Curriculum and Teaching

Overview

As outlined in our last annual report, the Law School has launched a new Lawyering Program designed to integrate progressively the teaching of doctrine, legal skills, values, professional identity and role, and ethics. The first year now includes new courses and course components on Legal Writing, Statutory Interpretation, Professional Responsibility, and Practice and Professionalism (formerly “Work of the Lawyer”). Together, these courses introduce basic concepts and skills to first-year students and lay a foundation for the full integration of theory and practice. In the second and third year, students build on what they have learned in the first year, but also confront new professional challenges. Through externships, clinics, capstone courses, and other experiential learning opportunities, students are introduced to actual clients and in many cases assume the concomitant responsibility of making decisions with real consequences.

Specific Reforms

During the first year of the LaPPS program, the Law School 1) introduced electives on international law, corporate law, and perspectives on the law into the first year curriculum; 2) piloted Practice & Professionalism with a small group of first-year students; 3) integrated the teaching of professional responsibility into the first year; and 4) added a module on statutory interpretation into the Legal Writing curriculum.

During the second year of LaPPS, the Law School refined many of those new initiatives and made three major changes: 1) Practice and Professionalism became a required first-year, three-credit course, making Minnesota the only top-tier law school to offer an experiential first-year course with a transactional or non-litigation focus that complements (rather than replaces) the usual legal methods curriculum; 2) the Law School launched three highly successful Robina-supported capstone courses (and two new “policy clinics”); and 3) the Law School launched its new Robina-supported Human Rights Clinic.

This past year, the Law School further refined and expanded its curricular initiatives. In particular, we revised Practice and Professionalism and added three new concentrations and two new clinics.

Practice and Professionalism. Although the overall structure and content remained essentially the same as in the previous year, changes were made to emphasize the relationship between theory and practice, increase engagement with the bench and bar, and diversify the practice components. Student evaluations show increasing appreciation for the value of the course. Anecdotally, faculty report that students who have been through the course are far better prepared to engage with clients and embark on law practice than students who had not taken the course. The ABA site visit team noted its very favorable impressions of the program; one of the team’s members has proposed a curricular innovation to his home school modeled on the Minnesota program.

Next year, we plan to expand the simulation component and emphasize legal strategy and professional responsibility in the larger class component. The simulation groups run by adjunct professors will be reduced from 10 to 8 students, the class time will increase from one hour to at least 90 minutes, and we will separate the groups by represented party to allow for “cross-simulations” in which students meet each other as opposing counsel. Each individual student will be given the opportunity to complete a simulated deposition under supervision of either an adjunct or classroom faculty member.

New Concentrations. The Law School also approved three new concentrations this past year, in environmental law and energy, criminal law, and international law, each tied to one of the Robina focus areas. Concentrations offer students the opportunity to pursue specific interests in depth. In the environmental and energy law concentration, for example, students will combine core courses with a wide range of electives, including a new climate change capstone, two clinics, an Environmental Law Moot Court, interdisciplinary courses around the University, community-based internships, and journal writing opportunities.

New Clinics. Our new Environmental Sustainability Clinic, building on its success in the prior year, divided into two separate clinics, one focused on energy policy and the other on land use. Students in the energy policy clinic worked with the City of Falcon Heights to develop a residential renewable energy program and also worked with faculty in Civil Engineering and Public Health on a program to facilitate the availability of carbon credits for cook stove change-outs in developing countries. Students in the land use sustainability clinic worked with the Washington County Conservation District to apply development design standards that minimize environmental impacts and improve water quality.

Next Steps. The key components of the Lawyering Program described in our initial Robina proposal are now all in place. We will concentrate next year on refining the program and integrating it more fully with our Strategic Plan areas of excellence. We are also exploring the possibility of offering all students an intensive, short program (3-5 days) intended to develop leadership skills, probably with a business focus, to be offered during the intersession between the fall and spring semesters.

C. Progress on Student Internships and Post-JD Fellowships

Internships. This year the Law School funded twelve Robina Human Rights internships and seven Robina Public Policy internships. 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. Offering these internships and fellowships provides a form of experiential learning that meshes with the LaPPS emphasis on training the next generation of leaders with the skills to address complex public policy problems. Appendix I describes the individual internships and host organizations.

Post-JD fellowships. The Law School expanded this year its very successful Robina post-J.D. fellowship program. This program assists recent Law School graduates to gain practical experience working at a non-profit organization or a government agency on public policy issues. Each fellowship carries a \$5000 stipend. In the program’s first year, we placed 37 students from

the class of 2009 who were unable to find permanent employment on graduation. The program was deeply appreciated by the graduates and the organizations they served. Thirty-three of those students subsequently found full-time legal employment. Last year we placed 44 students from the class of 2010 in post-JD fellowships. Appendix II identifies the participating organizations. We are surveying those students now to identify their post-fellowship placements. Early this fall, we will place another group of roughly 40 students from the class of 2011 in new post-JD fellowships.

D. Progress on Scholarship Matches

As part of its most recent grant, the Robina Foundation is providing the Law School with \$1.25 million in scholarship support. This support comes at a critical juncture for the Law School. With state support largely gone, and the legal economy changing rapidly, scholarship gifts will help us continue to attract, support, and prepare the next generation of top students for leadership roles in the state and beyond.

To help jump start scholarship giving, we have established Robina scholarship match opportunities at two levels. A commitment of \$20,000 per year for three years with the match provides a full scholarship for an outstanding student. A commitment of \$5000 per year for three years with the match provides a significant partial scholarship. We have begun holding small group dinners and other events targeted at new donors and donors with a gift history suggesting they might be induced by the match opportunity to increase significantly their level of annual support. The program has gotten off to an excellent start, with 11 donors making \$255,000 in gifts (two at the \$20,000 per year level and nine at the \$5,000 per year level).

3. Unanticipated Results and Program Changes

So far, the LaPPS Program has largely taken shape as we had anticipated. All of the originally planned curriculum reforms are now in place, the faculty research projects are all well under way and in some instances completed, the Human Rights Clinic is both popular and successful, and two of the three chairs contemplated under our original proposal have been filled. Perhaps more important, the Program has helped galvanize faculty in the three focus areas, especially the criminal law faculty, helped attract outstanding new students and faculty, and stimulated new research and policy work. Accordingly, we are very pleased with progress so far.

The challenges we encountered initially with Practice and Professionalism require further modification of that course. From the outset, students loved the adjunct-supervised simulated lawyering exercises, but did not like the class sessions on lawyering theory. We have substantially revised the program to address student concerns without sacrificing the pedagogical goals of the program. We expect that with the further changes in process, the course will hit its stride fully next year.

We continue to find it challenging financially to offer more than a handful of capstone courses. Although those courses are extraordinary learning opportunities for the students and faculty who participate, they are expensive. Like clinics, they demand a substantial amount of faculty time for a small group of students. We are continuing to explore ways to shift some of the teaching load to adjuncts (who already play a major role in each capstone). We have added two capstone courses for next year, but ultimately more capstones will require a larger faculty.

We have found it more difficult than anticipated to fill the Robina Chair in Law, Science, and Technology. This stems from the limited pool of scholars with relevant expertise and the somewhat amorphous nature of the field. As indicated earlier, we have shifted our focus from health law to environmental and energy law, in part to take advantage of synergies between our faculty and faculty elsewhere at the University.

4. Sharing Results and Findings

Minnesota's curriculum reforms continue to generate great interest nationally. Most recently, in June, the program was highlighted at a joint plenary session of the American Association of Law Schools (AALS) Conference on the Future of the Law School Curriculum and the AALS Conference on Clinical Legal Education. The conferences were attended by over 700 registrants. In addition, some of our faculty made presentations on various aspects of the curriculum at a Society of American Law Teachers Conference on "Teaching in a Transformative Era: The Law School of the Future"; at a faculty development workshop at William Mitchell College of Law; and at a 2010 AALS clinical teaching conference, in sessions covering "Outcomes and Assessments" and "Building Consensus for Change." The Lawyering Program director has also presented related research papers at workshops hosted by New York University, the University of Valencia (Spain), UCLA and the University of London. In addition, the American Arbitration Association published a cover article on Laura Cooper's labor law capstone course in the *Dispute Resolution Journal*.

The Clinical Legal Education Association (CLEA), which published the book "Best Practices for Legal Education" in 2007, is in the process of developing a follow-up volume that will focus on implementation of best practices. The Minnesota program is expected to be featured in the book. In conjunction with the book project, CLEA is developing a team of experts to aid schools in implementing curricular innovations. Last fall, the Law School hosted a planning meeting for the consultancy project. The Lawyering Program director is one of the leaders in these initiatives and a contributor to the associated Center for Excellence in Law Teaching's Best Practices Blog.

The faculty research projects and conferences mentioned above are being and will be shared through the more conventional means of publication in books and articles. In addition, some of the conference proceedings have been 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 as Appendix III.

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.

Looking forward, we are already poised to make distinctive contributions to legal education and policy formation in each of the three LaPPS areas – criminal law, international law, and law and science. With the launch of the Robina Institute for Criminal Law and Criminal Justice, we aim to transform policy in key areas of the criminal justice system. We will be working in the months ahead to develop similar transformative programs in the other two LaPPS program areas. By doing so, we can make Minnesota a center for national and international networks of scholars and policy makers interested in collaborative work on pressing social problems at the heart of each discipline.

We will also continue our efforts to build a continuum from recruitment to placement that will make the Law School one of the leading centers in the country for training students in each of the program areas. Specifically, we will seek to attract top students interested in each of the program areas with new scholarships, provide them access to first-rate faculty and a complete range of courses under our new concentrations, offer them an expanded range of subject related clinics and other experiential learning opportunities, find them exciting summer internships, and place them in field-related positions upon graduation.

By 2015, we would like to be able to require every student to take at least one clinic, capstone, or externship with the longer-term objective of enabling every student to take at least two such courses. We would also like to incorporate skills-based exercises into at least half of all first-year sections. This will deepen the engagement of faculty and students in experiential learning and create a defining educational experience for our students.

As always, we are very grateful to Jim Binger and to the Foundation for the opportunity to launch the LaPPS Program.



David Wippman
Dean and William S. Pattee Professor of Law

Appendices

Appendix I

Robina Human Rights Summer Internships 2011

<u>Marianna Chaparova</u> Balkan Association of the Producers and Traders of Ecological Products <i>Sofia, Bulgaria</i>	Marianna Chaparova is a second year law student at the University of Minnesota. In the summer of 2010, Marianna attended the Asia-America Institute in Transnational Law in Hong Kong, where she studied international banking and arbitration with faculty from Duke University School of Law and Hong Kong University. Marianna is using her Robina Human Rights Fellowship to work in Sofia, Bulgaria, as a legal assistant for the Balkan Association of the Producers and Traders of Ecological Products (BAPTEP). BAPTEP provides the Bulgarian government with proposals of new strategies for management of organic waste and assists in the implementation of a new national standard for soil enhancers and fertilizers.
<u>Michael Divine</u> Association for Civil Rights in Israel <i>Tel Aviv, Israel</i>	Michael is a 3rd year law student at the University of Minnesota. In 2008, Michael received his B.A. <i>summa cum laude</i> from the University's Institute for Global Studies, with a concentration in Middle Eastern affairs. He has interned with the International Institute of Minnesota, where he assisted refugees at various stages of the immigration process. He also participated in the Asylum Law Project. During his fellowship, Michael will work as a legal intern with the Association for Civil Rights in Israel. While there, Michael will assist with cases concerning a broad range of issues, including freedom of movement, the separation barrier, building policies, access to water, and the right to bodily integrity.
<u>Kelsey Kelley</u> International Criminal Tribunal for Rwanda <i>Arusha, Tanzania</i>	Kelsey just completed her first year at the University of Minnesota Law School. She graduated from Iowa State University <i>magna cum laude</i> with a Bachelor of Arts in Political

	Science and International Studies and a double minor in English and German. Kelsey was a volunteer law clerk at the Minnesota AIDS Project throughout the past school year and is an active member of the Women's Law Student Association and the Amnesty International Student Chapter. Kelsey is using her Robina Human Rights Fellowship to provide legal assistance to the International Criminal Tribunal for Rwanda, an <i>ad hoc</i> tribunal created by the United Nations Security Council to prosecute perpetrators of the 1994 Rwandan genocide. She will be working in the Office of the Prosecutor.
<u>Gordon Knoblach</u> Hungarian Helsinki Committee <i>Budapest, Hungary</i>	Gordon Knoblach is a second-year law student at the University of Minnesota. Gordon earned his B.A. in Spanish & International Studies from Iowa State University. During his undergraduate studies, Gordon spent a year studying and working in Cáceres, Spain. During his first year of law school, Gordon served as Vice-President for the Asylum Law Project, coordinating three volunteer trips to El Paso, Texas. While in El Paso, Gordon worked at the Paso del Norte Civil Rights Project in their economic justice division. Gordon also served as a member of the 1L board for the Law School's Amnesty International chapter. He has volunteered at the Línea Legal Latina, helping Spanish-speaking clients gain access to the court system. Gordon is using his Robina Human Rights Fellowship to assist the Hungarian Helsinki Committee (HHC) in Budapest, Hungary, with their efforts to promote and defend human rights within the penal system of Hungary and other countries in Central-Eastern Europe through legislative reform and litigation. The HHC's main areas of activity are centered on protecting the rights of asylum seekers and foreigners in need of international protection, as well as monitoring the human rights performance of law enforcement agencies and the judicial system. It focuses particularly on the conditions of detention and the effective

	enforcement of the right to defense and equality before the law.
<u>Taehohn Lee</u> International Labour Organization (ILO) <i>Geneva, Switzerland</i>	Taehohn Lee is a dual degree student who has been working on his Juris Doctorate and Master of Public Policy at the University of Minnesota since 2008 and plans to graduate in 2012. Before that, Taehohn received his B.A. in Psychology from the University of California at Berkeley in 2002. Shortly thereafter, he served in the Korean army until 2005, participated in a Master program in International Relations at Seoul National University until 2007, worked with the National Human Rights Commission of Korea, and interned at the International Service for Human Rights. After coming to Minnesota, he worked with refugee resettlement agencies and other legal service providers, and was fortunate enough to work with the University of Minnesota Human Rights Center during summer 2010, which helped him get to know many wonderful people striving to make this world a better place. Taehohn will be interning this summer with the International Labour Organization based in Geneva, Switzerland. He will be assisting the work of the Office of the Legal Advisor, which will include working with the Administrative Tribunal, as well as assisting with general questions of law. He would like to work with the migration and evaluation departments should workload obligations permit. He is also personally excited to visit Geneva again, as he proposed to his wife in the same city three years ago.
<u>Michelle Lobo</u> Amnesty International <i>Quezon City, Philippines</i>	Michelle Lobo is a first year law student at the University of Minnesota, where her extra-curricular focus has been on human rights law and questions of equity and criminal justice. She is the founder and President of the University of Minnesota's Criminal Justice League, an organization dedicated to providing students with a forum to discuss and learn about issues relating to criminal justice. Prior to attending the University of Minnesota Law

	School, Michelle attended St. Stephens College, Delhi University, where she graduated with an Honours Degree in History. During this time she worked with various legal aid groups in New Delhi, concentrating on issues of women's rights with regard to social justice and equality. Michelle will be using her Robina Human Rights Fellowship to work with Amnesty International in Quezon City, Philippines, where she will be working on women's reproductive rights and issues of maternal health, as well as lobbying for the Philippine government's ratification of human rights treaties.
<u>Kiel McElveen</u> Foreclosure Relief Law Project <i>St. Paul, Minnesota</i>	Kiel McElveen is a student at the University of Minnesota Law School. He earned a B.S. in Political Science with a focus on African politics at the University of Wisconsin. In the past, Kiel worked as an intern at Cotlands AIDS Orphanage in Johannesburg, South Africa, and as a volunteer law clerk at DMRS in El Paso, TX. As a Robina Human Rights Fellow, Kiel will be working with the Foreclosure Relief Law Project in St. Paul, MN. While there, he will be assisting with litigation surrounding federal mortgage adjustment programs and with the Project's other programs including policy advisement.
<u>Claudia Ochoa</u> Human Rights Center <i>Minneapolis, Minnesota</i>	Claudia Ochoa graduated from the University of Texas, El Paso. She is now a third-year law student at the University of Minnesota. Claudia is interested in immigration issues, and as a first year law school student, she volunteered to take part in the Asylum Law Project. She is part of the Immigration and Human Rights Clinic at the Law School where she helps refugees file their asylum claims. Claudia has also worked with the Humphrey Fellowship and the Human Rights Law Clinic on a legislative research project on Arizona's anti-immigration laws, known as SB 1070.

	Claudia plans on using her Robina Human Rights Fellowship to expand on this legislative project. She seeks to explain the drawbacks of anti-immigrant laws, with an emphasis on their negative effects on the employment and law enforcement sectors. She will also explore the implications of what might happen if a similar bill were to be pushed in Minnesota. Claudia's ultimate goal is to create awareness and halt anti-immigration legislation within the state of Minnesota.
<u>Robert Painter</u> UN Independent Expert on the Right to Safe Drinking Water and Sanitation <i>Berlin, Germany</i>	Bobby is currently finishing his second year at the University of Minnesota Law School. In 2009, he received his B.A. in Political Science and International Studies, with a concentration in Human Rights & Humanitarianism, from Macalester College in St. Paul, Minnesota. He has worked on migrants' rights issues with the Asylum Law Project in El Paso, Texas, and the Advocates for Human Rights' Refugee & Immigrant Program in Minneapolis. He has also worked on economic, social and cultural rights with the UN Office of the High Commissioner for Human Rights in Geneva, Switzerland. Bobby is using his Robina Human Rights Fellowship to travel to Berlin, Germany, where he will work with the staff of the UN Independent Expert on the right to safe drinking water and sanitation. His work will focus primarily on articulating practical steps to promote the development and equitable distribution of water resources by developing a compendium of best practices. He will also be assisting with a variety of other tasks, including preparing for country missions and researching and drafting reports to be submitted to the UN Human Rights Council and General Assembly.

<u>Abigail Peterson</u> Mexico Appleseed <i>Mexico City, Mexico</i>	Abigail Peterson is a graduate of the University of Minnesota Law School and is currently pursuing a Master of Public Policy at the Humphrey School of Public Affairs. She earned her B.A. in political science from the University of Wisconsin-Madison. Abigail has a strong interest in immigration and international law. She has worked as an immigration law clerk for Fredrikson & Byron, served as a judicial clerk for the EOIR Immigration Court in Minnesota, and currently works as a graduate fellow for the Advocates for Human Rights. As a Robina Human Rights Fellow, Abigail will be working with Mexico Appleseed on immigration law and policy issues. She will assist Mexicans who have been deported back to Mexico with unresolved legal issues they have in the United States. Abigail will also help research, create, and translate a deportation manual to assist Mexicans who have been deported from the United States. The manual will explain the deportation process and also outline legal rights deportees have, particularly the rights of deported minors. In addition, Abigail will assist with policy advocacy to improve immigration policy in both the United States and Mexico.
<u>Claudia Vincze Turcean</u> Florence Immigrant and Refugee Rights Project <i>Phoenix, Arizona</i>	Claudia Vincze Turcean is a first-year law student at the University of Minnesota. She was born in Vulcan, Romania, and has lived in the United States for fourteen years. Claudia completed her undergraduate studies in Global Studies and Spanish Studies, as well as minored in English at the University of Minnesota. Claudia has worked with indigent clients and underrepresented communities by volunteering with Volunteer Lawyers Network and Casa de Esperanza in Minneapolis; Nuestros Ahijados in Antigua, Guatemala; and the Florence Immigrant and Refugee Rights Project in Florence, Arizona. Claudia will be interning with the Florence Immigrant and Refugee Rights Project in their Phoenix office in Arizona. She will work to

	educate, empower, and provide legal assistance to unaccompanied immigrant minors detained for removal proceedings before the Phoenix Immigration Court. The Florence Immigrant and Refugee Rights Project strives to address inequity in immigration removal proceedings through direct service, partnerships with the community, and advocacy and outreach efforts.
<u>Leo Esparza Twiggs</u> International Commission of Jurists (ICJ) <i>Geneva, Switzerland</i>	Leo is a third-year law student graduating in May 2011. Beginning in September 2011, Leo will work for the International Commission of Jurists (ICJ) based in Geneva, Switzerland. The International Commission of Jurists is dedicated to the primacy, coherence, and implementation of international law and principles that advance human rights. Leo will use his Robina Human Rights Fellowship to assist the organization in providing legal expertise at both the international and national levels to ensure that developments in international law adhere to human rights principles, and that international standards are implemented at the national level. In addition, Leo will gain first-hand experience with advocacy work on legislative reforms, human rights fact-finding missions, and interventions to protect human rights defenders.

Robina Public Policy Summer Fellows 2011

Organization	Position Description
Minnesota Coalition for Battered Women	Monitor current bills, and analyze their potential effects, both on the ability of abused immigrant women to access needed legal and social services, and the ability of these women to bring their abusers to justice. Research whether legislation has been proposed or enacted in other states and how it has affected, or is anticipated to affect battered women.
Human Rights Watch	Interact with domestic and international institutions, contributing to research designed to promote accountability for human rights violations. Independent research and collaborative work with senior counsel to produce advocacy materials in support of Human Rights Watch projects.
National Law Center on Homelessness and Poverty	Housing related policy work. Helping implement the HEARTH Act which would provide temporary housing assistance to thousands of Minnesotans. Expand homeless education program that would better serve Minnesota's homeless youth whose education is routinely interrupted because of unsecure housing.
Institute for Global Studies	Policy advocacy and public awareness campaigns designed to promote Occupational Safety and Health in the meat and poultry processing industry. Managing an ongoing public awareness campaign promoting increased food and worker safety through the greater USDA oversight of line speeds in meat and poultry processing.
Gender Justice	Develop Gender Justice's public education projects, such as presentations to local immigrant or labor groups, and assist with policy work, such as legislative proposals. Apply legal skills to work on a test case in which Gender Justice represents a Spanish speaking immigrant worker seeking to hold a national corporation accountable for workplace rapes by her manager.

Indian Law Resource Center	Work on projects that focus on providing legal aid to American Indians in an effort to improve the quality of life and legal position of Native peoples.
Public Health Law Center	Implementing a fifty state survey of the current laws concerning health and safety to child care. Developing a "Best Practices Toolkit" which contains model language for regulations and licensing schemes, relevant fact sheets, a training module designed to give an overview of the model best practices, a checklist that could be used by policy makers to integrate best practices.

Appendix II

Class of 2010 Post-Graduate Fellowship Summary

Host Organization	Position Description
American Civil Liberties Union of Michigan; Detroit, MI	Develop new cases and support existing cases by performing legal research, drafting memoranda, meeting and interviewing plaintiffs and witnesses. Support projects and staff attorneys including Legislative Director, LGBT Project Attorney, and Racial Justice Project Attorney.
Office of the Public Defender for the 2nd Judicial District, St. Paul, MN	Represent public defender clients in law and motion and trial practice.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
American Civil Liberties Union of Minnesota; St. Paul, MN	Research and update ACLU-MN position on law enforcement use of tasers and advocate for legislative changes regarding taser use.
Legal Aid Society of Minneapolis	Represent low-income taxpayers as part of Tax Law Project.
Minnesota State Bar Association	Coordinate SAGE Survey re: Diversity in the legal profession.
First Defense Legal Aid; Chicago, IL	Develop resources to inform community about services of First Defense, which provides free legal assistance to arrested persons.
Public Law Center of Orange County, CA	Conduct client interviews, follow up with potential and existing Center clients, conduct research prepare memoranda in housing and bankruptcy matters, and assist with development of a consumer debt clinic.
Tubman Family Alliance; Minnesota	Provide legal research and writing for attorneys on family law matters, draft legal documents, interview clients, and provide court assistance at nonprofit organization supporting victims of domestic violence.
Grafton County Attorney's Office; North Haverhill, NH	Focus on prosecution of violent and sexual assault offenses. Prepare cases, assist in law and motion practice, and appear in Court upon admission to practice.
Volunteer Lawyers Network; Minnesota	Support development of VLN's services for bankruptcy clients by updating referral information, developing resources for clients, create bankruptcy information session for clients, survey volunteer attorneys regarding Clinic effectiveness, and develop a pilot one-stop Bankruptcy Clinic.
Legal Aid Society of Minneapolis	Represent low-income clients in Government Benefits matters

Legal Aid Society of Minneapolis	Represent low-income clients for Seniors Law Project.
Ramsey County Attorney's Office, Appeals Division; Minnesota	Research legal issues and draft appellate briefs and motions in criminal appellate matters.
Legal Aid Society of Milwaukee, Low-Income Taxpayer Clinic	Assist clients at Clinic and provide resources for use in tax matters including non-filers, audits, offers of compromise, collections, bankruptcy, and tax court cases.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
Environmental Law Institute; Denver, CO	Research and draft materials for publication regarding post-conflict peacebuilding through natural resource management.
Justice Thomas E. Hollenhorst, California Court of Appeals, 4th Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
United States Equal Opportunity Employment Commission; Minneapolis, MN	Assist Senior Trial Attorneys of the EEOC in labor and employment cases.
Chicago Volunteer Legal Services	Represent low-income homeowner clients facing foreclosure with Foreclosure Mediation Program.
Office of the Public Defender for the 2nd Judicial District, St. Paul, MN	Represent public defender clients in law and motion and trial practice.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
CentraCare Health System; St. Cloud, MN	Draft responses to employment complaints, review and edit CentraCare contracts, engage in risk management, and other duties on behalf of non-profit healthcare organization.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
Legal Aid Society of Minneapolis	Represent low-income clients with Immigration Project.
Advocates for Human Rights; Minneapolis, MN	Handle asylum cases and advise clients on immigration matters.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
Office of the Public Defender for the 2nd Judicial District, St. Paul, MN	Represent public defender clients in law and motion and trial practice.
Legal Aid Society of Minneapolis	Represent low-income clients with Tax Law Project.
Minnesota Coalition Against Sexual Assault	Research emerging public policy issues and analyze new laws to inform MNCASA's 2011 advocacy action agenda. Develop training materials for advocates, prosecutors, and law enforcement as well as respond to technical assistance requests from MNCASA member programs. Observe and participate in agency's work supporting community-based multidisciplinary sexual assault response teams.

Legal Aid Society of Minneapolis	Represent low-income clients with Housing Discrimination Project.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
Innocence Project of Minnesota	Screen cases to determine eligibility for post-conviction DNA testing and work with attorneys on non-DNA based innocence cases. Summarize documents, interview inmates and witnesses, and prepare legal documents.
Council on Crime and Justice; Minneapolis, MN	Identify concerns in the criminal justice system as they relate to individuals with mental health issues. Research issues surrounding incarcerated individuals with mental illness, including: gathering data on dispositions of persons with mental illness, data concerning judicially-determined departures from the sentencing guidelines based on lack of mental capacity or identification of Severe and Persistent Mental Illness, and identifying policies in mental health and drug courts throughout the state that might prevent higher enrollment and success rates.
Minnesota District Court, Fourth Judicial District	Judicial Law Clerk duties including legal research, drafting memoranda and orders.
Score NYC; New York	Assist nonprofit devoted to counseling small businesses by counseling clients on issues concerning incorporation, financial requirements, and other issues.
Minnesota AIDS Project	Support MAP's new medical-legal clinic initiative to develop infrastructure for supervising law student volunteers. Develop e-community resource materials. Staff existing legal clinics and provide direct client services.
Empire Justice Center; Albany, NY	Support mortgage foreclosure prevention project by analyzing mortgage contracts, negotiating mortgage modifications, drafting pleadings, and observing court proceedings.
Public Justice Center; Baltimore, MD	Research state laws for Civil Right to Counsel Coalition, research enforcement liens for Workplace Justice Project, and assist attorneys in Tenants in Foreclosure Project.
Office of the General Counsel of the University of Minnesota	Assist General Counsel in addressing issues of cultural property and other legal matters faced by University museums including Bell Museum of Natural History and Weisman Art Museum.

Appendix III

ROBINA EXPENDITURES

Fiscal Year 2011: Fourth Quarter Report

7/1/2010 - 6/30/2011

	BUDGET	Expenditures 7/1/2010-6/30/2011	Notes
Center of Excellence Hires	840,047	686,981	
John Borrows		46,857	
Bert Kritzer		299,278	
Jennie Green		154,987	
Antony Duff		185,859	
Capstone Courses	100,000	106,319	
Public Policy Internships and Post JD Fellowships	320,000	260,855	
Robina Supported Faculty Public Policy Research and Conferences	171,465	196,728	
Research Support		74,947	
F. Ni Aolain (D. Weissbrodt, O. Gross)		6,992	
M. Orfield (K. Reitz)		32,196	
S. Meili		4,689	
S. Wolf		0	
G. Shaffer		0	
M Tonry (R. Frase, K. Reitz, B. Feld, F. Ni Aolain)		11,225	
F. Ni Aolain		13,457	
R. Okediji		6,388	
G. Shaffer		0	
Conference Support		121,781	Scheduled
M. Tonry		12,111	April 7-9, 2011
G. Shaffer		861	Feb. 2012
A. Duff, F. Ni Aolain		44,489	April 15-16, 2011
C. Hill, F. Ni Aolain		16,040	May 20-21, 2011
R. Frase		12,459	multiple
A. Duff		7,224	multiple
M. Goodwin		28,597	
TOTAL BUDGET/EXPENSES	1,431,512	1,250,883	
TARGET	1,400,000		
Annual Commitment Unspent/(Overspent)	-31,512		

UNIVERSITY OF MINNESOTA

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*file
u of m
2011 proposal*

August 10, 2011

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

Dear Penny,

Many thanks for giving us an opportunity to comment on Professor Jeffrey Fagan's, Judge Diana Murphy's, and President Thomas W. Ross's reviews of the Law School's proposal. We are heartened by their positive assessments and grateful for their suggestions and cautions. In this note, I reiterate one of their core assertions and respond to a number of their suggestions concerning timelines, start-ups, benchmarks, and subject-matter emphasis.

The core assertion, and also the fundamental premise of our proposal, is that, in Ross's words, "there has been a dearth of attention given to critical criminal justice policy issues in the last quarter century." This has led to historically unprecedented imprisonment rates, breathtakingly severe punishments, and massive racial and ethnic disparities. It has also led to a policy environment that is largely impervious to influence by evidence, and to atrophy in the intellectual capital available to catalyze and support development of rational and cost-effective public policies. The Law School's proposal aims to assist in addressing both policy problems and structural conditions that have led to them. Although we readily acknowledge Judge Murphy's observation that sentencing has multiple purposes, we do believe that the severity of American punishment policies and the numbers of people in confinement are among the problems to be addressed.

Ross particularly emphasizes time lines and start-up. Concerning the first, he urges realism about logistical issues of organization, hiring, and project initiation. Concerning the second, he urges that great and early attention be paid to marketing the institute and, in his words, getting the word out to criminal justice leaders that the institute exists and intends to be a player.

We've given a great deal of consideration to these issues and intend to hit the ground running. Plans for space and facilities have been made. Michael Smith, the former and long-time director of New York's Vera Institute of Justice, the nation's most influential criminal justice policy institute, has agreed to become executive director. Zachary Hoskins, a first-rate young criminal law theorist, has agreed to become the institute's first full-time research fellow. We are hard at work on recruitment of additional criminal law faculty. Planning is under way for an October brainstorming conference of leading scholars to fine-tune the criminal law theory agenda and strategy. Planning is also under way for a public inaugural conference of state and national scholars and practitioners in November 2011 to promote the institute and to solicit views and

advice on its aims and ambitions. Planning is underway for a first Robina Annual Conference in April 2012 on "American Criminal Justice, 1975-2025." Matching funding for that conference has been promised by the U.S. Department of Justice. More generally, working closely with Michael Smith when he comes on board, we will develop and implement a marketing strategy. We do not underestimate the challenges Ross raises but we are working hard to anticipate and overcome them.

We've wrestled with benchmarks, the third general issue raised. The major difficulty is that policy processes are complex, contingent, and often shaped by ideological and partisan political considerations. It would be unrealistic for us to identify changes in policy and practice we hope to influence in specific ways by specific dates. It doesn't work that way. More importantly, significant changes require involvement and a sense of ownership by practitioners and elected officials, including particularly judges, prosecutors, and legislators. Development of ideas and proposals requires formation of partnerships whose composition necessarily will influence what is proposed. This is one of the ways we intend to work.

An alternative benchmarking system would focus on processes and outputs—people hired, conferences held, books and articles published. We plan, of course, regularly to report on these things but worry that benchmarking in this way could degenerate into bean counting. We don't want that, partly because it would create pressure to set work agendas too quickly in stone. That is why we plan to convene the early consultative conferences described above and others on sentencing law and practice and on criminal justice policy. To be effective the institute will need to have objectives and planned program activities, but it will also need to be able to respond to opportunities and problems as they arise. As a result, the proposed budget sets out broad spending categories, as Judge Murphy noted, rather than detailed sub- and sub-sub budget lines. Our proposal is that the Foundation invite the Law School by year's end to prepare short reports setting out milestones—primarily outputs and processes—for the first 24 months in some detail for the three program areas (theory, practice, policy) and, in lesser detail, setting out more substantive aspirational goals for the following three years.

Fagan's and Murphy's reviews raise a considerable number of suggestions about substantive focus, activities, and expansion in disciplinary and substantive focus. We will be happy to address all of them in detail in person or in writing. For this letter briefer comment seems appropriate. Some issues raised, such as emphasis on issues of ethnicity, race, and gender, administrative law, and legislation are integral components of current plans about which perhaps we should have elaborated more fully in the proposal. Feld, Frase, Reitz, and Tonry have written about all these subjects—including distinctive experiences of Hispanics—and equally importantly have worked extensively with administrative agencies and legislatures on sentencing and correctional subjects. A few of Fagan's suggestions, for example, concerning empirical research, are unrealistic. Ambitious empirical research is very expensive, and beyond the scope of the funds available. More importantly, the comparative advantages of the Law School's senior criminal law faculty are in the three areas identified—theory, practice, and policy—and not in original empirical research. Choices of emphasis needed to be made and that seemed a straightforward one.

To Penny Hunt
August 10, 2011
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I've tried to address what seemed to us those of the reviewers' observations that the Foundation would find of greatest salience. We will be happy to address any of these subjects, or others, in greater detail and in whatever form would be most helpful to the Foundation.

All best regards,

A handwritten signature in black ink, appearing to be 'DW' or 'Wippman'.

David Wippman
Dean and William S. Pattee Professor of Law

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Executive Summary

Annual Report International Institutions and Global Governance Program

During FY2011, the International Institutions and Global Governance (IIGG) program of the Council on Foreign Relations (CFR) advanced its core aims and objectives: identifying the requirements for effective multilateral cooperation; proposing reforms to strengthen or replace international institutions; and promoting effective responses by the United States and its partners to today's daunting global challenges.

What we did

In FY2011, the IIGG program focused on four substantive areas: (1) protecting and governing the global commons; (2) enhancing peace and security; (3) strengthening the global financial system; and (4) integrating emerging powers. Additionally, we launched two award-winning components of the Global Governance Monitor (GGM) on public health and armed conflict.

What we learned

(1) *Protecting and governing the global commons*

- Norms governing cyberspace are inadequate. U.S. leadership will be indispensable for creating a global regime for cybersecurity, as well as for protecting the core principle of internet openness.
- The failure of United Nations (UN) member states to agree to a post-Kyoto climate regime in Copenhagen and Cancun suggests that progress on climate change will increasingly occur through voluntary arrangements.
- Although the United States once dominated outer space, that domain is increasingly “congested, contested, and competitive,” as emerging “space-faring” nations take their place alongside traditional space powers.

(2) *Enhancing peace and security*

- The membership of the UN Security Council (UNSC) is outdated. Expanding its permanent membership to include major powers will advance global peace and security and promote a world order in U.S. national interests.
- International organizations pay disproportionate attention to conflict response, neglecting conflict prevention as a tool for mitigating and managing armed violence.

(3) *Strengthening the global financial system*

- The eurozone crisis highlighted a lack of European political leadership, a growing divergence of national interests, an insufficiency of European Union (EU) institutions to enact policy reforms, and a waning German support for regional integration.
- The Group of Twenty (G20) struggles in its transition from an emergency crisis committee to a standing global steering group. On major economic issues, the 2010 G20 summits exposed widening fissures among members.

(4) *Integrating emerging powers*

- Emerging powers—like China, India, and Brazil—have not offered a positive, alternative vision of world order. Accordingly, many states still orient their strategies around the actions of the United States.
- Emerging powers are inclined to enjoy the privileges of power without assuming its obligations, preferring to free ride on the contributions of established nations.

What we proposed

(1) *Protecting and governing the global commons*

- U.S. cyber policy should be based on “informal multilateralism,” and should promote a variety of flexible formats and frameworks.
- An effective climate governance regime will require complementary actions among the United Nations process and a wider range of smaller multilateral negotiating venues (formal and informal), as well as parallel domestic efforts.

(2) *Enhancing peace and security*

- President Obama should support UNSC expansion, laying out a roadmap to incorporate major aspirant countries to new permanent seats, based on concrete criteria commensurate with the weighty obligations of membership.
- The United States should lead in reforming the global architecture for conflict prevention by undertaking global risk-reduction initiatives and promoting the emerging norm of the responsibility to protect.

(3) *Strengthening the global financial system*

- The eurozone crisis suggests that the EU's foundation in the Maastricht treaty is insufficient, and that serious fiscal and monetary policy reforms are needed, as well as deeper political integration.
- The United States should encourage the G20 to expand its horizons so that it can shift from a crisis committee to an enduring global steering group. The Obama administration should work with G20 partners to clarify the group's membership and mechanisms for inclusion and its agenda, among other things.

(4) *Integrating emerging powers*

- The United States should preserve the core of the postwar order by seeking a "grand bargain" with emerging powers, and ceding some influence within existing frameworks.
- The United States must encourage emerging powers to contribute to global public goods. At the same time, it must also be more willing to allow other states to assume leadership.

How we shared our findings

- During FY2011, the IIGG program shared its findings by sponsoring meetings and publications on global governance issues to reach a wide range of audiences, including policymakers, educators, and students. Some of our marquee promotional efforts included launching the eurozone essay series in time for the twentieth anniversary of German unification and releasing them in an ebook format; and launching a new working-level meeting series, Making Multilateralism Work, that engages high level policymakers on practical steps to improve the United Nations.
- The IIGG program aggressively marketed the Global Governance Monitor through social media, the IIGG website, and promoting it at the International Studies Association meeting—where it was showcased on a widescreen TV to over 4,000 scholars. For maximum impact, new launches and annual updates of the GGM were pegged to major events on the international calendar.
- IIGG launched a quarterly newsletter that provides a summary of major IIGG meetings and publications. The newsletter is disseminated to 4,000 interested citizens around the world.
- IIGG director Stewart Patrick launched a blog "The Internationalist," which has allowed IIGG to reach out to a wider audience. In addition, IIGG created a Facebook page for Patrick's newest book *Weak Links*. Both the blog and the Facebook page are regularly promoted by CFR's marketing and communications department through twitter feeds.
- IIGG director Stewart Patrick held several off-the-record meetings with senior White House, State Department, and foreign officials on strategies for engaging emerging powers, the G20 agenda, and UN Security Council reform. These officials included Samantha Power, senior director for multilateral affairs at the National Security Council (NSC); Esther Brimmer, assistant secretary of state for international organization affairs; and the lead South Korean, French, and Mexican G20 officials.

What we are doing next year

In FY2012, the IIGG program will focus on four substantive areas: (1) making global institutions more effective; (2) enhancing the capabilities of regional organizations; (3) identifying new institutions; (4) and exploring the future of U.S. sovereignty. In addition, the IIGG program will complete three additional components of the Global Governance Monitor on terrorism, human rights, and transnational crime.

COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

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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: July 1, 2010 – June 30, 2011

Report Due: August 1, 2011

Overview

The Council on Foreign Relations is pleased to submit the third annual report of the International Institutions and Global Governance program. During the past year, the program has advanced its core mandate of identifying glaring gaps in the architecture of multilateral cooperation; proposing concrete steps to reform old institutions or create new ones; and promoting these recommendations strategically within influential policy and academic circles at home and abroad.

CFR launched the IIGG program in 2008 to respond to deficiencies in the post-World War II institutional architecture in responding to twenty-first century global challenges. From the outset, our work has been informed by three overriding goals: providing a forum for dialogue and debate where influential policymakers can think through tough global issues affecting the United States and other nations; generating ideas and disseminating innovative solutions to transnational challenges through a wide range of activities and publications; and enriching public understanding of global challenges through compelling multimedia tools.

The international events of the past year—from the dramatic struggles for democracy in Egypt, Libya, and the broader Middle East to the financial crisis in the eurozone—have reinforced the value of the IIGG program. During the 2011 fiscal year (FY2011), we focused on four substantive areas: (1) protecting the global commons; (2) enhancing peace and security; (3) strengthening the global financial system; and (4) integrating emerging powers.

In carrying out these initiatives, IIGG enlisted more than twenty CFR fellows and external experts to provide rigorous, independent analysis, which they presented through a combination of meetings, publications, and award-winning interactive web features. In a recent, independent, external review of the IIGG program commissioned by

CFR, government officials, academics, think tank scholars, and CFR members attested to the program's significant impact on official policy discussions and its value as a leading platform for discussing global governance matters. As the authors of that review noted, the IIGG program has "opened up useful political space" for discussing issues of multilateral cooperation and "elevate[d] the salience and prestige of global governance issues," both within CFR and the broader foreign policy community. More importantly, the program "gets high marks among government officials for impact on actual policy."

The program has also had a transformative effect on CFR. Perhaps the most prominent example is our meeting series on emerging powers and international institutions. That collaborative initiative, which seeks to better understand the strategic interests of rising powers, has enlisted more than a dozen of CFR's regional and issue area experts. One fellow remarked that "IIGG . . . fostered the most exchange among fellows of any program within his sixteen years with [CFR], largely as a result of multiple trips among the same group of fellows to the capitals of emerging powers." IIGG funding and sponsorship has also allowed CFR fellows to expand the scope of their research to new international institutions, and to communicate their findings through cutting-edge publications like the Policy Innovations Memorandum. A case in point is Adam Segal's work on multilateral frameworks for governing cyberspace. For each of these products, the IIGG program has pursued an aggressive marketing and outreach strategy to target general and specialized audiences through distribution lists, newsletters, promotional events, a new IIGG blog, and a redesigned webpage.

This annual report summarizes IIGG's progress during FY2011 in advancing its three main goals, as outlined in the original grant application. It explains the main insights the program has identified in the past fiscal year, the recommendations IIGG has proposed for U.S. and international policy, and our extensive efforts to promote and disseminate IIGG finding to senior policymakers at home and abroad.

To accompany this narrative, we attach a financial statement for the current grant period. For your interest, we also include two annexes summarizing the program's FY2011 research projects and initiatives, and our anticipated work plan for the program's fourth year.

1. Briefly outline your original goals and objectives as stated in your proposal, summarize your progress in meeting these goals and objectives, and outline your plans to share your results and findings.

We created the IIGG program because the institutional architecture created after World War II had not kept pace with evolving transnational challenges like climate change and financial instability, to the rise of new powers like India and China, and to the emergence of nonstate actors. We recognized that existing frameworks and instruments of multilateral cooperation must adapt to new threats and challenges—or fade into irrelevance. Policymakers in the United States and abroad need new ideas for how to update multilateral arrangements—and the IIGG program strives to provide them.

The program's mandate is threefold: (1) it identifies strengths and weaknesses of existing multilateral frameworks; (2) it proposes specific reforms to improve these frameworks and advance U.S. interests; and (3) it promotes its recommendations to audiences in the United States and abroad through its publications, multimedia guides, and senior-level meetings.

Over the past year, the IIGG program made great strides in advancing all three objectives. CFR evaluates the success of its projects through: the quality of its publications and meeting series; the response of government officials,

international institutions, and nongovernment actors to its work; and traffic to the IIGG website and to the Global Governance Monitor.

During FY2011, the IIGG program focused on four substantive areas that it considered particularly ripe for research and policy engagement: (1) protecting and governing the global commons; (2) enhancing peace and security; (3) strengthening the global financial system; and (4) integrating emerging powers.

Focus Area 1: Protecting and Governing the Global Commons

Protecting and regulating our global commons—climate, oceans, cyberspace, and outer space—are among the most daunting global governance challenges of the twenty-first century. The lack of shared normative and regulatory standards is threatening both the global environment and U.S. national security. Global warming continues to proceed, posing a potentially existential threat to human societies. The global oceans face dizzying challenges to their health, from rising pollution to overfishing. In the case of both cyberspace and outer space, new stakeholders are emerging, with distinct interests not always consistent with U.S. ones. During FY2011, IIGG sought to define the requirements for effective cooperation in cyberspace, and to explore how traditional and new “space-faring” nations might negotiate global standards for the use of outer space. IIGG also dispatched CFR fellows and disseminated publications during the UN climate conference in Cancun, proposing more effective strategies for officials to pursue in curbing global emissions.

During FY2011, the IIGG program completed several major projects in this field including:

- Policy Innovation Memorandum: *Cyberspace Governance: The Next Step*
- Council Special Report: *Internet Governance in an Age of Cyber Insecurity*
- IIGG Working Paper: *After Copenhagen: Climate Governance and the Road Ahead*
- Multimedia guide annual update: *Global Governance Monitor: Climate Change*
- Multimedia guide annual update: *Global Governance Monitor: Oceans*
- Roundtable series: *U.S. Policy on Cyberconflict and Cybersecurity*
- Meeting series: *Making Multilateralism Work: U.S. Space Policy: The Challenge of Integrating Emerging Powers*

The IIGG program identified several challenges in updating global institutions, proposed steps to overcome these obstacles, and promoted these actions among influential policymakers.

CHALLENGES IDENTIFIED:

- Norms governing cyberspace are inadequate. A cyberattack—the use of computer power to attack computer, communication, transportation, and energy networks—could disrupt the economy, destroy critical infrastructure, or degrade military capabilities. U.S. leadership will be indispensable for creating a global regime for cybersecurity, as well as for protecting the core principle of internet openness. However, on the international stage, the United States is being outmaneuvered by emerging powers, who are promoting a vision of state-controlled cyberspace.
- While international cooperation is necessary to ensure cybersecurity, certain characteristics of cyberspace make reliance on traditional arms control-type agreements unrealistic. To begin with, there is no consensus about what constitutes a cyberattack. In addition, the technologies used in most attacks are widely available, creating dilemmas of attribution.
- The failure of UN member states to agree to a post-Kyoto climate regime at the Conference of Parties (COP) in Copenhagen demonstrated the difficulty of reaching substantive breakthroughs on complex international treaties at massive global conferences. The subsequent COP meeting in Cancun suggested that progress on mitigation and adaptation will increasingly occur through voluntary arrangements tackling discrete aspects of the challenge.

- China and the United States are responsible for more than forty percent of global emissions of carbon dioxide, the main greenhouse gas. Neither has done nearly enough to address its contribution to the problem. Progress on global climate governance will depend on breaking through political barriers to action in each country.
- Although the United States once dominated outer space, that domain is increasingly “congested, contested and competitive,” as emerging “space-faring” nations like China, Brazil, India, and South Korea take their place alongside traditional space powers.

STEPS PROPOSED:

- U.S. cyber policy should be based on “informal multilateralism.” That is, the United States should promote a variety of flexible formats and frameworks, from the UN to the Group of Twenty, regional organizations, and public-private partnerships with nongovernmental groups. By adopting such a decentralized strategy, the United States will be better positioned to shape the norms and rules of interstate behavior in cyberspace.
- The United States should hold states and their citizens accountable for their actions in cyberspace, while taking steps to clean up its own national network. The White House should strengthen its leadership on cyberspace within the U.S. government, and the State Department should create a new bureau focused on cyber affairs.
- Addressing the challenge of climate change will require countries to embrace a diverse array of international institutions and instruments. An effective climate governance regime will require complementary actions among the United Nations Framework Convention on Climate Change process and a wider range of smaller multilateral negotiating venues (formal and informal), as well as parallel domestic efforts. Collectively, countries will need to identify those institutions best suited to: provide scientific information, coordinate international policy, mobilize and disperse financing and technology, monitor and evaluate compliance, and develop emissions-trading schemes.
- U.S. domestic as well as international leadership remains central to resolving the climate crisis. Of particular importance is congressional passage of domestic climate legislation; without it, confidence in the Copenhagen Accord will likely dissipate. Federal enforcement, including Environmental Protection Agency regulation of greenhouse gas restrictions, and state level actions, remain second-best alternatives.
- The United States and other traditional space powers must forge agreement with emerging space powers on common rules of the road, including norms pertaining to space debris, collision avoidance, and transparent and peaceful uses of outer space. The European Union’s Code of Conduct on outer space activities provides a promising template for a global multilateral agreement.

PROMOTIONAL ACTIVITIES AND IMPACT:

- The IIGG program launched its cybersecurity initiative at a time of surging official and public interest in the issue, and its two publications on the topic gained widespread attention among policymakers, the press, and the blogging community. Michael Chertoff, former secretary, U.S. Department of Homeland Security, and General Keith Alexander, commander of U.S. Cyber Command (and former director of the National Security Agency), have both commended CFR for its Special Report on the topic. Its author, Robert Knake, conducted two congressional briefings to discuss the report’s recommendations. The report has also been viewed online nearly 10,000 times.
- The IIGG-sponsored roundtable series on cybersecurity gathered prominent experts from Google, the National Research Council of the National Academies, and private legal practitioners working on the issue.
- Joshua Busby’s IIGG working paper on climate change was mentioned in several news sources, including Andy Revkin’s *New York Times* blog, climateWire, and *The Hill*. Since its launch, the paper has been viewed more than 1,600 times and downloaded more than 600 times.
- IIGG distributed annual updates of its Global Governance Monitor components on Climate Change and Oceans to more than 8,000 targeted experts and journalists, providing a background for the UN Climate meeting in Cancun and the 2011 Earth Day commemoration.

- IIGG plans additional meetings and outreach activities to follow up on its June 2011 workshop on “U.S. Space Policy: The Challenge of Integrating Emerging Powers.”

Focus Area 2: Enhancing Peace and Security

Armed conflict continues to kill and destroy the lives of thousands of people around the world. Attention to the challenges of conflict prevention, peacekeeping, and peacebuilding have increased recently, but international institutions that attempt to prevent the outbreak of conflict, or end fighting, remain unwieldy and, at times, ineffective. Over the past year, IIGG projects have exposed gaps in global efforts to prevent and respond to armed conflict, offered concrete solutions to reinvigorate multilateral action, and engaged policymakers to enact these reforms.

During FY2011, the IIGG program’s major projects in this field included:

- Council Special Report: *UN Security Council Enlargement and U.S. Interests*
- IIGG Working Paper: *The Proliferation Security Initiative: Lessons for Using Nonbinding Agreements*
- Article: “*Prudent Multilateralism in Libya*”
- Article: “*A New Lease on Life for Humanitarianism*”
- Multimedia guide: *Global Governance Monitor: Armed Conflict*
- Multimedia guide annual update *Global Governance Monitor: Nuclear Nonproliferation*
- Meeting series: *Making Multilateralism Work: The United States and the Future of Peacekeeping*
- Roundtable series: *The United States and the United Nations*

CHALLENGES IDENTIFIED:

- The membership of the UN Security Council is outdated, threatening to render it ineffective in addressing today’s complex security challenges. Skillfully accomplished, expansion of the permanent membership of the UNSC to include major power centers promises to advance global peace and security and promote a stable world order in U.S. national interests. Yet, notwithstanding its surprise announcement of support for India’s candidacy, the Obama administration has remained guarded in its support for renovating the UNSC.
- International organizations pay disproportionate attention to conflict response, neglecting conflict prevention as a tool for mitigating and managing armed violence. The United Nations and major regional organizations like the African Union lack robust tools and the political authority to help reduce political instability in violence-prone countries.
- The crisis in Libya has illuminated the challenge of multilateral intervention to prevent mass atrocities. While Operation Odyssey Dawn gave new life to the principle of “the responsibility to protect,” the coalition’s performance in implementing (and in the view of some overstepping) its UNSC mandate risks discrediting that principle.
- The surge of peacekeeping deployments over the last decade has exposed important structural weaknesses in the UN’s capacity to respond to violent conflict. Most peacekeeping efforts do not have enough manpower, money, or equipment to fulfill their ambitious mandates. Further, relations among major UN member states remain strained—particularly between the UN Security Council, which creates missions’ mandates, and troop-contributing countries, which provide personnel to implement them.

STEPS PROPOSED:

- President Obama should build on his India announcement by publicly supporting UNSC expansion, laying out a long-term roadmap to incorporate several major aspirant countries to new permanent seats, based on concrete

criteria commensurate with the weighty obligations of membership. By advocating for this long-term process, the United States can ensure a reform that demands that aspirants accept the responsibilities—not just the privileges—of power.

- The United States should lead in reforming the global architecture for conflict prevention by undertaking global risk-reduction initiatives and promoting the emerging norm of the responsibility to protect. The United States and other leading nations should bolster the UN's capacity for peace operations, including niche capabilities like policing and the rule of law.
- The UN should support greater contributions by emerging powers to peace operations, in the form of troop contributions and financial resources. The UN should develop capabilities tailored to the requirements of heavy peacekeeping for civilian protection missions, as well as "light footprint" missions for ceasefire monitoring and peace-building.
- To improve the effectiveness of UN peace operations, the UNSC should work with the UN Department of Peacekeeping Operations (DPKO) to ensure the feasibility of mission mandates and to develop realistic exit strategies tailored to the complexity of the conflict circumstances. This effort should include improving linkages between peacekeeping and peace-building stages of any UN operation.

PROMOTIONAL ACTIVITIES AND IMPACT:

- The IIGG program disseminated the Council Special Report on UNSC enlargement to a wide range of prominent U.S. and international policymakers. Samantha Power, senior director for multilateral affairs at the National Security Council, noted that the "report on Security Council reform encapsulated the factors we were incorporating into our internal process, and shed light on what additional steps we might consider going forward." In addition to Power, Patrick briefed Esther Brimmer, assistant secretary of state for international organization affairs, U.S. Department of State; Manuel Lafont-Rapnouil, political counselor at the French Embassy; and Alexis Lamek, deputy director of the UN division at the Quai d'Orsay.
- Patrick also briefed congressional staff on the report's main recommendations and held two well-attended roundtables—one in DC and one in New York—to promote the release of the report. Since its launch, the report has been viewed more than 8,000 times online.
- Beyond its work on the Security Council, IIGG launched a new working-level meeting series, Making Multilateralism Work, to evaluate practical steps to improve the UN system's performance in priority areas. Each of these workshops has convened prominent experts working on peace and security issues at the UN, within the U.S. government, and in think tanks. The first meeting, featuring Victoria Holt, deputy assistant secretary of state for international organization affairs, focused on overcoming persistent challenges in UN peacekeeping and bolstering U.S. support for UN missions. A follow-up meeting evaluated opportunities for U.S. collaboration in UN peacekeeping. Izumi Nakamitsu, policy director of UN DPKO, lauded CFR for providing such a unique venue for UN officials to exchange ideas with their U.S. counterparts.
- In the past year, the U.S.-UN roundtable series has engaged U.S. officials and foreign diplomats on the UN's role in peace and security. IIGG events have featured Margot Wallström, special representative of the UN secretary general on sexual violence in conflict; Susan Bissell, chief of child protection, program division, UNICEF; Boubacar Gaoussou Diarra, special representative of the chairperson of the African Union commission for Somalia, African Union Mission in Somalia; and Philip Alston, professor, New York University Law School, and United Nations special rapporteur on extrajudicial, summary or arbitrary executions.
- With the launch of its new Armed Conflict component, the Global Governance Monitor has exceeded 100,000 page views since its initial launch. We have received praise from staff at the UN and a wide range of educators at universities and high schools. Most of the GGM's traffic is driven by the IIGG program's advertising campaigns on Facebook and Google. Significant traffic has also been driven organically through course syllabi, twitter, and Wikipedia postings. CFR staff has also promoted the GGM internally, with James Lindsay and John Campbell

featuring it on their blogs. In the review period, the IIGG program also marketed the GGM at the International Studies Association conference in Montreal with a dedicated booth showcasing the GGM videos on a widescreen TV, as well as a large banner to attract walk-in traffic.

Focus Area 3: Strengthening the Global Economy

The global economy—more integrated and sophisticated than ever before—continued to show signs of strain over the past year. The pressures have been particularly pronounced in the European Union, where Europeans struggled to deal with a spreading sovereign debt crisis that threatened the ties binding EU members. At the international and regional level, multilateral institutions have struggled to tackle the global financial and economic crisis, and to address longstanding imbalances within the global economy. Although the G20 has emerged as the premier forum for global economic coordination, internal divisions threaten its viability as an enduring global steering group.

During FY2011, the IIGG program's major projects in this field included:

- Policy Innovation Memorandum: *Managing the World's Dollar Dependency*
- IIGG essay series: *Crisis in the Eurozone: Transatlantic Perspectives*
- IIGG Working Paper: *Improving Energy Market Regulation: Domestic and International Issues*
- Article: "The G20 and the United States: Opportunities for More Effective Multilateralism"
- Article: "Hitting Singles in Seoul"
- Article: "The G8 Proves Its Relevance"
- Multimedia guide annual update: *Global Governance Monitor: Finance*

CHALLENGES IDENTIFIED:

- The extraordinary crisis in the eurozone has posed an unprecedented challenge to the integrity of the EU. The IIGG program's essay series on the topic highlighted several findings, including a lack of European political leadership, growing divergence of national interests among member states, insufficiency of EU institutions to enact policy reforms, and waning German support for regional integration.
- While the EU will persevere, the European project will likely stall, absent a renewed sense of purpose, clearly defined goals, and a greater commitment from national leaders and publics.
- The G20, though designated as the premier forum for international economic cooperation, has recently struggled in its transition from an emergency crisis committee to a standing global steering group. On the big issues—like tackling global imbalances, reconciling exchange rate policies, and advancing global trade liberalization—the G20 summits in Toronto and Seoul exposed widening fissures among the world's economic heavyweights. Although the G20 has expanded its involvement in the field of development, it has not yet widened its agenda to broader global issues, including climate change or peace and security. Moreover, the recent G8 summit in Deauville has reaffirmed the continued relevance of that narrower grouping of like-minded states in tackling sensitive political and strategic issues, from the "Arab Spring" to nonproliferation.
- As countries have integrated into the global economy, many have pursued a policy of accumulating U.S. dollars as a reserve currency, with China being the premier example. While this has insured countries against financial crises and underpinned export-led growth, it has also contributed to macroeconomic imbalances and global mispricing of financial risk.
- High commodity prices and volatility are placing severe pressure on the U.S. and global economy. Consumers are burdened with steeper food, gasoline, electricity, and heating bills. Higher energy prices are also driving inflation, with broader economic consequences. Effective international regulation and policy coordination are needed to mitigate the risks of high commodity prices in a globally integrated market.

STEPS PROPOSED:

- The crisis in the eurozone suggests that the EU's foundation in the Maastricht treaty is insufficient, and that serious fiscal and monetary policy reforms will be necessary to kick-start economic growth and ensures the sustainability of the European project. Simultaneously, political integration must deepen in order to catch up with high levels of economic integration.
- The United States should encourage the G20 to expand its horizons so that it can shift from a crisis committee to an enduring global steering group. The Obama administration should work with G20 partners to clarify the group's membership and mechanisms for inclusion; its agenda; its division of labor with other consultative fora; its relationship to formal organizations; its internal structure and processes; and its mechanisms for evaluation and accountability.
- Managing the world's dollar dependency should be a task taken on by the International Monetary Fund (IMF). The IMF should establish benchmarks for adequate reserve holdings, and have the right to initiate a sanctions procedure against noncompliant countries. Policymakers must also work to lower the level of reserves that countries need to feel safe. To this end, the private sector should be discouraged from borrowing in foreign currency, particularly when loans are short term and easily recalled in a crisis.
- Commodity markets should enhance transparency to mitigate the risks of high prices and extreme volatility. To this end, the United States should seek an international framework to apply and enforce a set of consistent reporting standards for all significant oil consuming and producing countries. It could do so by supporting an expansion of the scope and activities of the International Energy Agency to act as an energy policy adviser for its member constituents on the demand side, and the Joint Oil Data Initiative on the production side.
- Simultaneously, to improve financial transparency for commodity markets, policymakers should enhance the quality of statistical reporting and make statistics more accessible by creating a real-time data depository.

PROMOTIONAL ACTIVITIES AND IMPACT:

- The five essays from the Crisis in the Eurozone series ranked in the top-twenty CFR.org downloads in October 2010 when they launched, and two were in the top ten. The IIGG program released the essay collection in time for the twentieth anniversary of German unification, and pursued an innovative and aggressive marketing strategy by publishing a related op-ed for *Spiegel Online International*. The essays have been quoted by external experts, such as Daniel Drezner on his Foreign Policy blog, and they have gained impressive web traffic, having been viewed nearly 7,000 times since launch. In addition, the essay series is part of CFR's foray in new media and is available for purchase as an ebook on the Amazon Kindle, Barnes & Noble Nook, Apple iPad, and Sony Reader.
- Providing expert advice on the G20, Stewart Patrick traveled to South Korea to speak at the G20 Seoul International Symposium—a major international conference held ahead of the G20 meeting in Seoul. On the margins of the conference, Patrick participated in a six-hour briefing with lead South Korean G20 officials on strategies for the Seoul summit. In Washington, Patrick met with the French director general for global affairs to discuss G20 priorities for France, the group chair, in 2011. Patrick's article "Hitting Singles in Seoul" has been viewed more than 1,300 times since its publication on the CFR website, and his article "The G20 and the United States: Opportunities for More Effective Multilateralism" has been viewed more than 800 times since publication.
- In marketing the new Policy Innovations Memorandum "Managing the World's Dollar Dependency," IIGG worked closely with the CFR marketing and communications department to develop a report template that would be eye-catching and easily accessible to busy policymakers. The report was sent to more than 1,000 journalists and economics bloggers. The publication was also featured on CFR's Facebook, twitter, and on CFR's weekly newsletter "The World This Week." Since its launch in February, the report has been viewed close to 1,000 times.
- CFR's communications department promoted the IIGG-sponsored working paper on improving global energy markets, distributing it to one thousand targeted experts. In addition, the author conducted interviews with major media outlets, including Bloomberg radio. The report has been downloaded nearly 500 times, its page attracting

over 1,100 views. To further promote his work, the author held a corporate member roundtable and a briefing for congressional staff.

Focus Area 4: Emerging Powers and World Order

Prospects for effective multilateral cooperation on global and transnational problems in the twenty-first century will depend on the distinct national interests and visions of the great powers. But the identities and number of the world's leading states are changing, creating new challenges and opportunities for global governance. The world order that ultimately results from this transitional period will reflect bargaining and negotiations between established powers—including the United States, European Union, and Japan—and emerging ones—most notably China, India, and Brazil. To better understand the priorities of today's emerging powers, and their potential contribution to resolving global problems, the IIGG program has convened conferences in the United States, Germany, Brazil, China, and India.

Relevant activities include:

- *Foreign Affairs* Article: Irresponsible Stakeholders? The Difficulty of Integrating Rising Powers
- Meeting Series: Emerging Powers and International Institutions
- Workshop: The Atlantic World and Rising Global Powers (conducted with Stiftung Wissenschaft und Politik)
- Workshop: Rivalry and Partnership—The Struggle for a New Global Governance Leadership (conducted with Princeton University, University of Toronto, and the Stanley Foundation)

CHALLENGES IDENTIFIED:

- The dramatic rise of emerging powers—like China, India, and Brazil—is testing the sustainability of the Western liberal world order and the United States' status as a global leader. However, despite these tectonic shifts, none of the emerging powers has offered a positive, alternative vision of world order. Accordingly, many states still orient their strategies around the actions of the United States.
- Emerging powers are inclined to enjoy the privileges of power without assuming its obligations, preferring to free ride on the contributions of established nations. Principled differences on sovereignty, nuclear proliferation and disarmament, and the global economy, among other areas, further complicate the relationship between established and rising powers.
- Over the next decades, integrating emerging powers into existing international institutions will be a major strategic challenge for the United States. Emerging powers will seek to alter existing international norms, rules and institutions to meet their strategic interests and needs. Authoritarian China, which has emerged as the world's second largest economy, will pose the biggest challenge to Western liberal order.
- Perhaps no rising power has generated as much U.S. enthusiasm as India, which many experts regard as a natural strategic partner. However, India has wavered on its responsibilities, citing constraints posed by widespread poverty, internal security concerns, coalition politics, and regional preoccupations.
- One of the biggest obstacles to integrating rising powers into the world order may come from within the United States. Making room for emerging players will require psychological adjustments on the part of U.S. officials. They will have to reevaluate the touchstones that have defined U.S. foreign policy since 1945.
- The durability of the Western liberal order will depend heavily on solidarity between the United States and Europe. The transatlantic partnership continues to erode, however, thanks to divergent threat perceptions, domestic preoccupations, and disagreements over burden-sharing.

STEPS PROPOSED:

- The United States and other established powers must strive to preserve the core of the postwar order by seeking a “grand bargain” with emerging powers. By ceding some influence within existing multilateral frameworks and

accommodating the aspirations of emerging powers, they can lock in broad support for an international order based on the Western model.

- The United States should be prepared to pursue a long-term, flexible strategy that includes updating existing formal institutions, exploring ad hoc multilateral arrangements, and bargaining bilaterally with key players. The United States will need to convene different clubs for different purposes, balancing encompassing arrangements such as the G20 with smaller affinity groupings such as the G8, which permit the United States to collaborate with longtime partners that broadly share its fundamental political and economic values.
- The United States must encourage emerging powers to contribute to global public goods. The United States must also be more willing to allow other states to assume leadership.
- The United States and Europe should deepen strategic coordination in their engagement with rising powers. This is particularly critical with respect to authoritarian or semi-authoritarian countries like China and Russia.

PROMOTIONAL ACTIVITIES AND IMPACT:

- The IIGG program expanded its outreach beyond CFR's traditional audience in the past fiscal year by holding meetings in India and Germany on integrating emerging powers. Beyond meeting with senior government officials (such as the Indian national security advisor) and leading academics in not-for-attribution sessions, CFR fellows engaged news outlets in the host countries. These sessions have contributed to strategic thinking both within rising powers and U.S. transatlantic partners.
- Patrick's *Foreign Affairs* article, "[Irresponsible Stakeholders? The Difficulty of Integrating Rising Powers](#)," received widespread recognition from educators and policy experts, including the World Affairs Council, which included the article in its reading list for over 3,000 students participating in a national competition on global issues.
- In addition, Patrick briefed Ambassador Gregory Schulte, deputy assistant secretary of defense, and Frank Rose, deputy assistant secretary of state, on strategies for integrating emerging "space-faring" nations like India, Brazil, and China into a common set of norms for uses of the outer space—a meeting stimulated by Patrick's *Foreign Affairs* article.
- Several CFR senior fellows, including Sebastian Mallaby, Charles Kupchan, Michael Levi, and Stewart Patrick, have written articles or blogged on the basis of the emerging powers meeting series. Relevant articles are listed in Annex I.

Other Notable IIGG Projects:

Beyond the four main substantive areas, in FY2011 the IIGG program produced meetings, multimedia features, and other products. Although Annex I provides a full list of these products and activities, several initiatives bear special mention due to their unique role in stimulating policy discussion in Washington, DC, on core challenges of global governance. The most noteworthy include:

- Book: *Weak Links: Fragile States, Global Threats, and International Security*
- Symposium: [Food and Drugs: Can Safety Be Ensured in A Time of Increased Globalization?](#)
- Roundtable series: [The United States and the Future of Global Governance](#)
- Roundtable series: Global Stakes in Human Rights Roundtable series
- Roundtable series: Global Health Governance Roundtable Series
- Multimedia guide: [Global Governance Monitor: Public Health](#)
- Multimedia initiative: Blog: [The Internationalist: World Order, State Sovereignty and Multilateral Cooperation](#)

The CFR-sponsored book *Weak Links: Fragile States, Global Threats, and International Security* challenges the conventional wisdom that weak and poorly governed states are the source of the world's most pressing security threats. Examining five global issues—terrorism, transnational crime, energy insecurity, weapons of mass destruction, and pandemic disease—author Stewart Patrick argues that while some global threats emerge in fragile states, the negative impact of dysfunctional governance in the developing world is largely felt within the borders of weak states themselves. Moreover, many global threats originate in wealthier and more stable countries around the world. The book received widespread accolades from notable experts, such as Gareth Evans, former foreign minister of Australia, who praised it as a “brilliantly researched book [that] is an overdue corrective to some of the overwrought claims about the problems posed by failing, failed, and phantom states.” The book was aggressively marketed by both CFR and Oxford University Press. CFR hosted well-attended book launch parties in Washington, DC, and New York. Patrick also gave book talks at several other North American venues, including in Cambridge, Massachusetts; Atlanta, Georgia; and at the annual convention of the International Studies Association (ISA) in Montreal—an academic conference devoted to the study of international relations that attracts more than four thousand scholars from around the globe. In addition, to reach a broader audience, CFR launched a dedicated [Facebook](#) page for the book and distributed a press release. Finally, CFR designed and printed a promotional flyer for the book and featured it in a story in “The Chronicle,” the monthly newsletter for CFR members.

The IIGG program also launched several initiatives examining the state of global health. In January, CFR Senior Fellow for Global Health Laurie Garrett hosted a high-level symposium, “[Food and Drugs: Can Safety Be Ensured in a Time of Increased Globalization?](#)” featuring the U.S. Food and Drug Administration Commissioner Margaret Hamburg. The half-day symposium convened regulators, industry representatives, and civil society experts from around the world, who debated how globalization has changed the food and drug trade, and how national capacity and the current global governance architecture are insufficient to safeguard an increasingly complex system of food and drug production and distribution. Participants explored mechanisms to harmonize and improve regulatory capacities for global food and drug production and distribution, particularly in the developing world. As part of a new initiative on global drug safety, the IIGG program is collaborating with Laurie Garrett on additional meetings to address gaps in drug safety regulatory frameworks with the aim of reaching consensus on policy recommendations for the 2012 G8 and G20 meetings. In FY2012, a small, high level group of experts will meet virtually over several months to prepare these policy recommendations, and then present them to a larger group of stakeholders. This process will facilitate the formation of what Margaret Hamburg has called an “alliance of regulators” by allowing officials and experts to interact and discuss issues on a regular basis.

The IIGG program also launched the *Global Governance Monitor: Public Health*, ahead of the UN Summit on the Millennium Development Goals. This interactive package illustrates how advances in global health continue to be undermined by acute pandemics, neglected tropical diseases, noncommunicable diseases, and a new, man-made threat—biological attacks. The Monitor offers recommendations to strengthen global health government, including by improving coordination between donors and recipients of foreign aid. This multimedia project was awarded two bronze Telly Awards for excellence in web videos, and selected as an official honoree for the Webby Awards—the “leading international award honoring excellence on the Internet.”

Additionally, the IIGG program held sessions of the “United States and the Future of Global Governance” roundtable series. Several included prominent U.S. government officials and academic experts, including Anne Marie Slaughter, the director of policy planning at the U.S. Department of State; Jose Fernandez, assistant secretary for economic, energy, and business affairs at the U.S. Department of State; and G. John Ikenberry, the Albert G. Milbank professor of politics and international affairs at Princeton University. Two parallel roundtable series on global health

governance and international human rights provided additional venues for policymakers, scholars, and experts to share ideas and debate priority issues on the intersection of U.S. foreign policy and global health and human rights.

Lastly, in FY2011 Stewart Patrick launched a new blog, "[The Internationalist](#)." Offering fresh perspectives on foreign affairs, "The Internationalist" looks behind the headlines to reveal the deeper forces, dilemmas, and stakes at play in the emerging world order. Since its launch in May 2011, "The Internationalist" has been visited over 13,000 times, with close to 500 page views in its first week alone.

2. Describe any unanticipated results, either positive or negative, what you have learned from implementation of the program, and any changes made or planned based on these results.

Over the past year, the IIGG program adjusted its research and policy agenda, cutting back or dropping three initiatives, and adding a new one.

- The IIGG program deferred its planned initiative on regionalism and global governance to FY2012. The initiative was designed to explore the increasingly important role of regional and subregional organizations as complements to—and sometimes substitutes for—universal membership organizations. The IIGG program postponed this project largely for logistical reasons. The crisis in the Middle East had made a workshop in Egypt unrealistic, and setbacks and cancellations from speakers from Latin America and Asia also added to logistical challenges. The deferred meetings were kick-started in FY2012 with a workshop in July on the regional dimensions of the crisis in Afghanistan and Pakistan, and additional meetings are planned in the fall on regionalism in the Middle East and Latin America.
- The IIGG program decided not to organize an annual symposium in FY2011 on the theme of understanding regional organizations, given deferral of the regionalism initiative to FY2012. The IIGG program will plan to host a conference on regionalism in FY2012 following the series of roundtables and workshops discussed in the previous paragraph.
- The IIGG program decided to produce fewer components of the Global Governance Monitor series than originally anticipated, focusing instead on releasing annual updates of existing components. The program produced two, rather than five, new issue packages and updated four existing packages pegged to major international events. For instance, we updated the Nuclear Nonproliferation component to reflect the outcome of the Nuclear Summit and Nonproliferation Treaty review conferences; the Climate Change component ahead of the UN climate meetings in Cancun; the Finance component prior to the annual IMF-World Bank meetings; and the Oceans component for launch on Earth Day. For each update, IIGG added new content to the issue brief, matrix, timeline, and map. These improvements, in conjunction with a more aggressive marketing campaign, have increased viewership of the Global Governance Monitor from roughly 50 page views per day to 150 page views per day.
- The IIGG program launched a new publication series, the Policy Innovations Memorandum. The program recognized the need to produce shorter, more focused pieces that are better targeted for influential policymakers. This new publication format offers concrete and actionable policy proposals to enhance multilateral action on global challenges, providing busy decision-makers and opinion leaders with creative ideas for establishing new arrangements and renovating existing institutions. In FY2011 IIGG released two cutting-edge reports on cybersecurity and the U.S. dollar, and will aim to follow up with five new reports in FY2012.

3. Attach an income and expense statement for this grant period as well as your original budget. Please include a narrative explanation for any line item differences between the original budget and actual expenses.

The IIGG program had a balance of \$170,184.60 at the end of the third year. This figure will be applied to year four activities.

In year three IIGG was able to deliver on an ambitious agenda while pursuing new and innovative strategies that resulted in lower expenditures than initially budgeted. Outreach expenditures were significantly lower due to a greater use of effective social media tools, including Facebook and blogs, which promoted IIGG activities while requiring no capital outlays. IIGG also used smart marketing strategies by showcasing its multimedia features and disseminating its publications at meetings both inside CFR and externally, such as at the well-attended annual convention of the International Studies Association. Working alongside various CFR departments, IIGG was also able to better target new and important constituents including bloggers, journalists, and academics.

To maximize the value of its activities, IIGG stretched several initiatives into year four, including the project on regionalism and global governance and the global drug and safety initiative. Doing so will permit IIGG to engage influential speakers and participants who were otherwise unavailable to participate in meetings during FY2011. The application of savings to fourth year programs should result in the projects coming in at budget over the two year period as a whole. In addition, the IIGG program operated part of the year with a streamlined core staff, with the departure of a project coordinator and a research associate, positions which have since been filled. The program has also deferred hiring an IIGG-affiliated fellow for refugees and migration to year four.

Finally, a busy events schedule, including successful overseas meetings that engaged experts from around the world at conferences in India and Germany, resulted in higher than expected expenses for meetings and research travel. The program has also put considerable efforts into the Global Governance Monitor, thereby running above budget for the multimedia category.

4. Please distinguish the work funded by the Robina Grant from your broader, ongoing work on the subject. Include a list of additional funders, including amounts received, for this program.

The generous grant from the Robina Foundation has permitted CFR to expand its research and policy agenda on the problems raised by globalization—and to propose innovative solutions for more effective multilateral cooperation. The IIGG program has emerged as a unique focal point for such work within the U.S. think tank community. The Robina Foundation remains the sole source of funding for CFR's IIGG program.

Over the past year, the IIGG program has reinforced CFR's leadership as a primary venue for U.S. and international dialogue on global governance issues. An independent assessment commissioned by CFR, undertaken by Anne-Marie Slaughter of Princeton University and Chester Crocker of Georgetown University, concluded that IIGG has had a valuable "multiplier effect" in Washington, by convening prominent officials and experts and shaping the conversation about global challenges and global institutional reform. Steve Feldstein of the Senate Foreign Relations Committee staff noted: "IIGG has been very helpful in bringing together a series of important policy dialogues on the evolving role of international organizations, especially in light of the Obama administration's new emphasis on multilateralism." Prominent government officials participating in IIGG activities in FY2011 have included Victoria Holt, deputy assistant secretary of state for international organization affairs at the U.S. Department of State; Samantha Power, special assistant to the President for national security affairs; and Margaret Hamburg, commissioner of the U.S. Food and Drug Administration.

The Robina funds have also “amplified... [CFR’s] ability to co-fund conferences and initiatives with other institutions,” according to Slaughter and Crocker. Cosponsorship of meetings such as the annual Princeton workshop on global governance and the January 2011 symposium on Food and Drugs: Can Safety Be Ensured in a Time of Increased Globalization? has brought together a “network of scholars and policy experts” to discuss vital challenges of multilateral cooperation.

The IIGG program has also transformed CFR’s research agenda and internal working methods. IIGG has used Robina funds to recruit new scholars and expand the activities of existing fellows. The program has also sponsored several initiatives that allow cross fertilization of ideas among CFR scholars, such as the IIGG-sponsored Emerging Powers and International Institutions meeting series, which brings together CFR regional experts and CFR thematic experts on issues ranging from updating major multilateral institutions to fixing global finance to mitigating climate change.

During FY2012, Robina funding will support the ongoing participation in IIGG activities of several CFR fellows (including Laurie Garrett, Mark Lagon, and Micah Zenko), as well as the additional involvement of several full time, adjunct, and visiting fellows (including Matt Waxman and John Bellinger). Finally, the IIGG program has dedicated a portion of Robina Funding during FY2012 to support the hiring of a fellow on migration and refugee issues. The new fellow’s arrival will permit the IIGG program to deepen its work on these subjects.

Additionally, Robina funding has permitted CFR to expand its multimedia presence dramatically, so that CFR’s work reaches audiences well beyond its membership. The Global Governance Monitor—supported entirely by Robina resources—has become the single most useful source of information and analysis available on the internet on the status of multilateral cooperation in addressing the critical global challenges of nuclear proliferation, financial instability, oceans governance, climate change, public health, and armed conflict. Academics and presidents of Washington think tanks have referred to the GGM as “a one-stop shopping portal for a wide range of information,” adding that “Stewart and CFR are to be commended for having the skill and good fortune to be able to pull this off.” CFR would not have been able to launch this award-winning multimedia project without the Robina Foundation’s resources.

Finally, the IIGG program has broadened the range of initiatives, meetings, and programs available to CFR members. Alongside traditional foreign policy concerns, CFR members are increasingly considering and debating the impact of emerging powers; the value of multilateral institutions; and how to manage new and evolving transnational challenges, such as cybersecurity. Thus Robina funding has thus helped to broaden and enrich intellectual debates on U.S. foreign policy.



International Institutions and Global Governance Program

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International Institutions and Global Governance Program

Annex I: FY11 Activities and Outputs

Program Director: **Stewart Patrick**, *senior fellow and director of the International Institutions and Global Governance program*

Reporting Period: July 1, 2010-June 30, 2011
Report Due: August 1, 2011

A. Protecting the global commons

- 1) **Policy Innovation Memorandum: *Cyberspace Governance: The Next Step* (March 2011)**
Author: Adam Segal, Ira A. Lipman senior fellow for counterterrorism and national security studies

Cyberspace Governance: The Next Step can be found on CFR.org at:
<http://i.cfr.org/cybersecurity/cyberspace-governance-next-step/p24397>

In this Policy Innovation Memorandum, CFR senior fellow Adam Segal writes that by focusing on some of the norms of interstate cyberconflict, and on thresholds and legitimate targets in particular, the United States will be better able to begin shaping international cyberspace governance.

Related meetings and briefings:

- “Communist Chinese Cyber-Attacks, Cyber-Espionage, and Theft of American Technology,” Testimony before the House Committee on Foreign Affairs, (April 15, 2011).
- “Cybersecurity Talk,” Senate chiefs of staff foreign affairs dinner, (June 27, 2011).

- 2) **Council Special Report: *Internet Governance in an Age of Cyber Insecurity* (September 2010)**
Author: Robert K. Knake, former international affairs fellow in residence

Internet Governance in an Age of Cyber Insecurity can be found on CFR.org at:

cfr.org/cybersecurity_csr/

Internet Governance in an Age of Cyber Insecurity responds to the growing danger of cyber attacks as society becomes ever more dependent on the internet for commerce, communication, military action, and governance. While no fewer than six United Nations bodies and multiple regional and national forums have sought to build a consensus on the future of Internet governance, there has been little progress thus far. Arguing that the United States can no longer cede the initiative on cyber issues to countries that do not share its interests, the author outlines an agenda that the United States can pursue in concert with its allies on the international stage.

Related meetings:

- Knake briefed the staff of Senator Kristin Gillibrand (D-NY) about cybersecurity and internet governance (August 31, 2010).
- IIGG and the CFR corporate program worked together to organize a conference call on the role of public-private partnerships in ensuring cybersecurity (September 8, 2010).
- Knake spoke at a U.S. Congressional senior staff roundtable about *Internet Governance in An Age of Cyber Insecurity* (September 10, 2010).

3) Working Paper: *After Copenhagen* (August 2010)

Author: Joshua W. Busby, assistant professor at the Lyndon B. Johnson School of Public Affairs at the University of Texas at Austin

After Copenhagen can be found on CFR.org at: <http://www.cfr.org/AfterCopenhagen>

Climate change is the most difficult collective action problem the world has ever faced, yet global governance frameworks have failed to yield progress toward a solution. The Copenhagen conference in 2009 set the stage for ambitious action by both developed and developing countries, but failed to result in a binding treaty. This Working Paper examines alternatives to large-scale multilateral agreements, evaluates financing and monitoring structures, and recommends smaller and more varied negotiating venues.

4) Annual update to Global Governance Monitor: Climate Change (November 2010)

Project director: Stewart Patrick, senior fellow and IIGG director

In anticipation of the United Nations climate conference in Cancun, Mexico, the IIGG program re-launched an updated version of the climate change chapter of the Global Governance Monitor. The updated chapter reflected shifts in the climate change regime since the package's initial launch in 2009.

5) Annual update to Global Governance Monitor: Oceans (April 2011)

Project director: Stewart Patrick, senior fellow and IIGG director

On Earth Day 2011, the IIGG program re-launched an updated version of the oceans chapter of the Global Governance Monitor. The updated chapter reflected shifts in the oceans governance regime since the package's initial launch in 2009.

6) Cybersecurity and Cyberconflict Roundtable Series

Directors: Adam Segal, Ira A. Lipman senior fellow for counterterrorism and national security studies; James Dougherty, adjunct senior fellow for business and foreign policy

This roundtable series brings together policymakers, scholars, and private sector specialists to explore the growing threats in cyberspace to the U.S. economy and security.

Meetings included:

- “Intelligence Community Meets Foreign Investors,” CFR roundtable with Stewart Baker, (October 12, 2010).
- “Legal and Policy Implications for Cyberspace,” CFR roundtable with Catherine Lotrionte, (January 28, 2011).
- “Understanding Cyberattack as an Instrument of U.S. Policy,” CFR roundtable with Herbert Lin, (May 9, 2011).
- “The Business Impact of a Changing Cyber Landscape,” CFR roundtable with Edward Amoroso, (June 15, 2011).

Related publications:

- Adam Segal, “Joint Efforts for a Secure Cyberspace,” *The Economic Times* (November 30, 2010).
- Adam Segal, “Curbing China's Cyber Espionage,” CNN (May 9, 2011).

7) IIGG-sponsored General Meetings

a. The Diplomacy of Climate Change (September 27, 2010)

This meeting featured William Hague, secretary of state for foreign and commonwealth affairs, member of parliament for Richmond, United Kingdom of Great Britain and Northern Ireland; and Christine Todd Whitman, the former administrator of the U.S. Environmental Protection Agency. Experts and policymakers joined them to discuss international energy security, global environmental pollution and degradation, and international energy and resource supplies.

b. Prospects for Climate Cooperation: A Cancun Summit Preview (November 22, 2010)

This meeting featured experts and policymakers as they offered a preview of the climate change summit in Cancun and discussed likely outcomes. Participants included Eileen B. Claussen, president, Pew Center on Global Climate Change; Michael A. Levi, David M. Rubenstein senior fellow for energy and the environment and director, Program on Energy

Security and Climate Change, Council on Foreign Relations; and Paula J. Dobriansky, former undersecretary of state for democracy and global affairs.

c. World Energy Outlook 2010 (December 1, 2010)

This meeting featured Fatih Birol, the chief economist and head of the economic analysis division of the International Energy Agency. Experts and policymakers joined him for a discussion on international energy supplies, global resources and environmental developments, as well as the management of natural resources.

B. Enhancing peace and security

1) Council Special Report: *UN Security Council Enlargement and U.S. Interests* (December 2010)

Authors: Stewart Patrick, senior fellow and IIGG director; Kara C. McDonald, former international affairs fellow in residence

UN Security Council Enlargement and U.S. Interests is available at:
http://cfr.org/un_security_council_csr.

UN Security Council Enlargement and U.S. Interests argues that the United States should take the lead to institute reform to the United Nations Security Council (UNSC). The authors argue that the UNSC remains for the premier guardian of international peace and security but there are many who question how long its legitimacy will last without additional members that reflect twenty-first century realities. They advocate a criteria-based process of UNSC enlargement that will gauge aspirant countries on a variety of measures, including political stability, the capacity and willingness to act in defense of international security, and the institutional wherewithal to participate in a demanding UNSC agenda. They further recommend that this process be initiated and implemented with early and regular input from Congress; careful, private negotiations in aspirant capitals; and the interim use of alternate multilateral forums such as the Group of Twenty (G20) to satisfy countries' immediate demands for broader participation and to produce evidence about their willingness and ability to participate constructively in the international system.

Related meetings:

- Patrick led a discussion in a breakout panel at the CFR Term Member Conference on “Security Council Enlargement: Now? Or Never?” (October 29, 2010).
- Patrick briefed the senior director of the National Security Council, Samantha Power, on the findings of the UN Security Council enlargement Council Special Report (December 7, 2010).
- Patrick spoke at two CFR meetings on *UN Security Council Enlargement and U.S. Interests* (December 6, 2010 in New York and December 8, 2010 in Washington, DC).
- Patrick spoke at a U.S. Congressional senior staff roundtable on *UN Security Council Reform and U.S. Interests* (January 21, 2011).
- Patrick participated in an academic conference call organized by the CFR National Program on the main findings of *UN Security Council Enlargement and U.S. Interests*, (March 2, 2011).

- Patrick presented the findings to a group of experts and students at Georgetown University (March 3, 2011).
- Patrick met with Kentaro Fujimoto, Japanese political officer, to discuss prospects for pushing forward on the UN Security Council enlargement agenda (March 4, 2011).

2) *Weak Links: Fragile States, Global Threats, and International Security* (April 2011)

Author: Stewart Patrick, senior fellow and IIGG director

Weak Links: Fragile States, Global Threats, and International Security can be found on CFR.org at: http://www.cfr.org/weak_links/.

Conventional wisdom holds that weak and failing states are the source of the world's most pressing security threats. After all, the 9/11 attacks originated in an impoverished, war-ravaged country and transnational crime appears to flourish in weakly governed states. However, our assumptions about the threats posed by failing states are based on anecdotal arguments, not on a systematic analysis of the connections between state failure and transnational security threats. Analyzing terrorism, transnational crime, weapons of mass destruction, pandemic diseases, and energy insecurity, Stewart Patrick shows that while some global threats do emerge in fragile states, most of their weaknesses create misery only for their own citizenry. Moreover, many threats originate farther up the chain, in wealthier and more stable countries like Russia and Venezuela. *Weak Links* will force policymakers to rethink what they assume about state failure and transnational insecurity.

Related publications:

- Stewart M. Patrick, "[Why failed states shouldn't be our biggest national security fear](#)," *The Washington Post* (April 15, 2011).
- Stewart M. Patrick, "[The Brutal Truth](#)," *Foreign Policy* (July/August 2011).

Related meetings:

- Patrick presented *Weak Links* at the New York "Weak Links Book Party" presided by Gideon Rose, editor of *Foreign Affairs* (New York, June 7, 2011).
- Patrick presented *Weak Links* at the CFR "Weak Links Book Reception," presided by Paul Stares, General John W. Vessey senior fellow for conflict prevention and director of the center for preventive action (Washington, May 9, 2011).
- Patrick presented *Weak Links* at the "Boston National Program Roundtable: Fragile States and Implications for U.S. Foreign Policy" (May 24, 2011).
- Patrick presented *Weak Links* at the "Atlanta National Program Roundtable: Fragile States and Implications for U.S. Foreign Policy" (May 26, 2011).
- Patrick was interviewed by Eric Felten about *Weak Links* on Voice of America's television program *On the Line* (June 14, 2011).

3) *Working Paper: The Proliferation Security Initiative: Lessons for Using Nonbinding Agreements* (July 2011)

Author: Emma L. Belcher, Stanton nuclear security fellow

The Proliferation Security Initiative: Lessons for Using Nonbinding Agreements can be found on CFR.org at: http://www.cfr.org/PSI_paper.

In this working paper, Emma Belcher explains the success of the Proliferation Security Initiative (PSI), a nonlegally binding agreement designed to improve global nuclear nonproliferation efforts. Belcher argues that the PSI's track record suggests that nonlegally binding agreements can be useful instruments to spur rapid international cooperation on critical global security challenges. The PSI has mobilized cooperative nonproliferation activities, led to international legal developments, and been adopted to promote new nonproliferation initiatives. Moreover, it has been influential in developing new international legal arrangements, such as the Suppression of Unauthorized Acts (SUA) Protocol and the Beijing Convention, as well as UN resolution 1540 and the Iran and North Korea sanctions-specific resolutions—all of which were developed after the PSI. Finally, Belcher recommends that the United States strengthen the PSI, while keeping it informal, in order maintain the PSI as an effective and flexible component of the nonproliferation regime.

Related meetings:

— Patrick participated in the advisory committee for CFR Stanton fellow Emma Belcher's IIGG working paper on the Proliferation Security Initiative (December 10, 2010).

4) Global Governance Monitor: Armed Conflict (February 2011)
Project director: Stewart Patrick, senior fellow and IIGG director

In February 2011, the IIGG program released a new component of its interactive feature, The Global Governance Monitor, which focuses on armed conflict. This sixth component evaluates multilateral efforts to prevent and respond to armed conflict. It uses an interactive video, timeline, and map to track the international community's attempts to mitigate war and its effects. In particular, it highlights how armed conflict and its aftermath corrode virtually every aspect of society: law and order, economic development, human rights, and the environment.

5) Annual update to Global Governance Monitor: Nuclear Nonproliferation (August 2010)
Project director: Stewart Patrick, senior fellow and IIGG director

In August 2010, the IIGG program re-launched an updated version of the nuclear nonproliferation chapter of the Global Governance Monitor. The updated chapter reflected shifts in the nuclear nonproliferation regime since the package's initial launch in 2009, including the Nuclear Security Summit and the Non-Proliferation Treaty Review Conference.

6) The United States and the United Nations Roundtable Series
Project directors: Stewart Patrick, senior fellow and IIGG director; Micah Zenko, fellow for conflict prevention

The roundtable series can be found on CFR.org at:

www.cfr.org/project/1418/center_for_preventive_action_united_nations_roundtable_series.html

This not-for-attribution U.S.-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 invitees from member state governments, the private sector, and nongovernmental communities participate in these discussions. The goal of these roundtable meetings is to raise awareness of the role of the United Nations in addressing critical issues of peace and security.

Meetings included:

- “Drones on Trial: The United States before the Human Rights Council,” featuring Philip Alston, professor, New York University Law School, and former United Nations special rapporteur on extrajudicial, summary or arbitrary executions; and Ashley Deeks, academic fellow, Columbia Law School, and former assistant legal adviser for political-military affairs, U.S. Department of State (November 11, 2010). Cosponsored with the CFR Center for Preventive Action.
- “The UN’s role in Protecting Women and Children in Conflict,” featuring Susan Bissell, chief of child protection, Program Division, UNICEF; and Margot Wallstrom, UN special representative of the secretary-general on sexual violence in conflict (February 24, 2011). Cosponsored with the CFR Center for Preventive Action.
- “Assessing AMISOM: A Progress Report on the African Union Mission in Somalia,” featuring Bronwyn Bruton, former CFR international affairs fellow and fellow at the One World Future Foundation; and Boubacar Gaooussou Diarra, the special representative of the chairperson of the African Union Commission for Somalia, AMISOM (March 11, 2011). Cosponsored with the CFR Center for Preventive Action.
- “The United States and the Future of Peacekeeping,” featuring Annie Pforzheimer, Bureau of International Organizations, U.S. Department of State (May 13, 2011). Cosponsored with the CFR Center for Preventive Action.

Related publications:

- Micah Zenko and Rebecca R. Friedman, “[Help for Sudan: Bombing Africa to Save It?](#)” *Christian Science Monitor* (November 23, 2010).
- Micah Zenko and Rebecca R. Friedman, “[UN Early Warning for Preventing Conflict](#),” *International Peacekeeping* (February 2011).
- Micah Zenko, “[No Go: a No-Fly-Zone over Libya Will Not be Easy or Painless](#),” *foreignpolicy.com* (March 4, 2011).
- Micah Zenko, “Not until We Know What We’re Getting Into,” *foreignpolicy.com* (March 18, 2011).
- Micah Zenko, “[A Negotiated End to a Civil War](#),” *New York Times* website (March 22, 2011).
- Micah Zenko, “[The Mythology of Intervention](#),” *ForeignAffairs.com* (March 28, 2011).

7) The United States and the Future of Peacekeeping Workshop (December 15, 2010)
Project director: Stewart Patrick, senior fellow and IIGG director

“The United States and the Future of Peacekeeping Workshop” brought together stakeholders from the UN, the U.S. government, think tanks, and academia to discuss the United States and the

future of peacekeeping. Due to engagements in Iraq and Afghanistan, as well as the threat of terrorism from conflict zones around the world, the United States has renewed its interest in peace operations. Washington has increased capacity building and logistical support for UN, regional, and bilateral peacekeeping forces. Nevertheless, the United States has not yet articulated an updated peacekeeping strategy that takes into account the current strains on U.S. forces and likely sources of future conflict. As the primary funder of UN peacekeeping—contributing 27 percent of the budget—the United States has a vested interest in increasing its effectiveness and efficiency. However, internal politics on both sides have impeded robust synergy between the United States and the UN. After the workshop, IIGG published a [meeting note](#) on the CFR website, and held a follow-up roundtable in May 2011 as part of the U.S.-UN Roundtable Series.

Related Publications:

- Micah Zenko and Rebecca R. Friedman, “[The Case for UN Peacekeeping](#),” *Expert Brief* for CFR.org (March 2, 2011).

8) Related publications by Stewart Patrick

- “[Crisis of Relevance at the United Nations](#),” interview with CFR.org (September 20, 2010).
- “[A Moment for UN Security Council Reform](#),” *First Take* for CFR.org (November 8, 2010).
- “[A New Lease on Life for Humanitarianism](#),” *Foreign Affairs* (March 24, 2011).
- “[Prudent Multilateralism in Libya](#),” *First Take* for CFR.org (March 29, 2011).

9) Related meetings and briefings by Stewart Patrick

- Met with Matt Burrows, counselor and director, analysis and production staff, National Intelligence Council (July 19, 2010).
- Met with Government Accountability Office officials conducting a study of U.S. government policies toward terrorist safe havens (January 20, 2011).
- Spoke to an audience of 250 at the National War College on global governance and international organizations (February 25, 2011).
- Spoke to *Washington Diplomat* regarding the responsibility to protect (May 11, 2011).
- Traveled to Beijing to speak at the MacArthur Foundation’s Asia Security Initiative International Workshop on “US-China Relations and the World Order,” at Peking University, presenting a paper on the United Nations, multilateralism and collective security, (June 9- June 12, 2011).

10) IIGG-sponsored General Meetings

a. A Conversation with Benjamin Netanyahu (July 8, 2010)

Experts and policymakers joined Israeli prime minister Benjamin Netanyahu to discuss international law and global cooperation and transnational agreements pertaining to weapons of mass destruction and nuclear terrorism.

b. A Conversation with Ekmeleddin Ihsanoglu (September 27, 2010)

George Rupp, the president of the International Rescue Committee presided over a meeting featuring Ekmeleddin Ihsanoglu, the secretary general of the Organization of the Islamic

Conference. Experts and policymakers joined them for a discussion of international peace and conflict prevention.

c. A Conversation with Walter L. Sharp (June 24, 2011)

Experts and policymakers joined Walter L. Sharp, the commander of the United Nations Command (South Korea) to discuss international security and transnational cooperation to fight terrorism.

d. A Conversation with Michael Mullen (February 4, 2011)

Michael Mullen, chairman of the Joint Chiefs of Staff, U.S. Department of Defense; presided by Thomas Shanker, national security and foreign policy correspondent, *New York Times*

e. A Conversation with Jean-Louis Bruguere (April 6, 2011)

Featuring Jean-Louis Bruguere, representative of the European Union and French presidency of the terrorism finance tracking program; presided by Maurice Sonnenberg, senior international advisor, JP Morgan.

f. A Conversation with Michelle Bachelet

Featuring Michelle Bachelet, UN undersecretary general and executive director of UN Women and former president of Chile; presided by Harriet Babbitt, vice chair, World Resources Institute

g. A Conversation with the Right Honorable Tony Blair (April 7, 2011).

Featuring former British Prime Minister Tony Blair; presided by CFR President Richard Haass

C. Strengthening the global financial system

1) IIGG essay series: “Crisis in the Eurozone: Transatlantic Perspectives” (September 2010)

Project director: Stewart Patrick, senior fellow and IIGG director

The full collection of reports can be found on CFR.org at:

<http://www.cfr.org/thinktank/iigg/crisis/index.html>

Crisis in the Eurozone: Transatlantic Perspectives includes essays from five experts on both sides of the Atlantic examining the extraordinary crisis in the eurozone and the unprecedented challenge it poses to the integrity of the European Union (EU). The authors examine issues such as the divergence between national interests and EU interests, the importance of the EU to the United States, and implications of the EU crisis for regionalism around the globe.

Contributed essays included:

- “Eurozone Crisis as Historical Legacy: The Enduring Impact of German Unification, Twenty Years On” by Mary Elise Sarotte, professor, University of Southern California (September 2010).
- “The Eurocrisis, History, and the Uncertain Future of European Integration” by Kathleen R. McNamara, associate professor, Georgetown University (September 2010).
- “The Potential Twilight of the European Union” by Charles A. Kupchan, Whitney Shepardson senior fellow, Council on Foreign Relations (September, 2010).
- “A New Reality for the European Union” by Katinka Barysch, deputy director, Centre for European Reform (September, 2010).
- “The European Union as a Model for Regional Integration” by Fraser Cameron, senior adviser, European Policy Centre, and adjunct professor, Hertie School of Governance (September, 2010).

Related publications by Stewart Patrick:

- “Euro-Zone Crisis Presents Opportunity for Greater Unity,” *Der Spiegel* (October 13, 2010).

2) IIGG/Center for Geoeconomic Studies Policy Innovation Memorandum: *Managing the World’s Dollar Dependency* (February 2011)

Author: Moritz Schularick, professor of economics, John F. Kennedy Institute, Free University of Berlin

Managing the World’s Dollar Dependency can be found on CFR.org at:
http://www.cfr.org/dollar_dependency_memo/.

Managing the World’s Dollar Dependency responds to a weakness exposed by the global financial crisis: under-priced risk is partly caused by excess reserve accumulation of one currency in surplus nations. The author proposes that in order to avoid a repeat of the global financial crisis, a two-pronged international strategy must be implemented. Countries should agree to implement a novel tool to discourage imprudent reserve accumulation in concert with cooperation to lower the perceived need for currency reserves.

3) Working Paper: *Improving Energy Market Regulation: Domestic and International Issues* (February 2011)

Author: Daniel P. Ahn, adjunct fellow for energy

Improving Energy Market Regulation: Domestic and International Issues can be found on CFR.org at:
http://www.cfr.org/energy_market_report.

Improving Energy Market Regulation examines a range of policy options to respond to volatile energy prices that have driven the regulation of commodity financial markets to the forefront of the U.S. and Group of Twenty (G20) policy agendas. It recommends that policymakers prioritize better-understood areas to improve market efficiency, particularly improved physical and financial transparency and centralized clearing, over stricter capital and margin requirements and position limits.

4) Annual update to Global Governance Monitor: Finance (October 2010)

In anticipation of the International Monetary Fund and World Bank's annual meeting, the IIGG program relaunched the Global Governance Monitor chapter on finance. The updated chapter reflected shifts in the global financial regime since the package's initial launch in 2009.

5) Related publications by Stewart Patrick

- "[The G20 and the United States: Opportunities for More Effective Multilateralism](#)," *The Century Foundation* (October 28, 2010).
- "[Hitting Singles in Seoul](#)," *First Take* for CFR.org (November 12, 2010).

6) Other related meetings and briefings by Stewart Patrick

- Met with Nishinaga Tomofumi of the Embassy of Japan to discuss the status of the Group of Twenty (G20) and prospects for the Seoul summit in November (August 27, 2010).
- Met with Douglas Rediker, U.S. alternate executive director, the International Monetary Fund (IMF), to discuss IMF reform and the role of the G20 at the IMF (September 10, 2010).
- Spoke at CFR meeting "From the UN General Assembly to Seoul: The Future of UN-G20 Relations" (September 22, 2010).
- Spoke at the G20 Seoul International Symposium, cosponsored by the Korea Development Institute, the Brookings Institution, and the Korean newspaper *Dong a Libo* (September 28-29, 2010).
- Met with French director general of global affairs Christian Masset and deputy chief of mission Rivassau to discuss France's G20 agenda (October 8, 2010).
- Spoke as featured speaker at an event in New York sponsored by the Century Foundation and the Friedrich Ebert Stiftung, "G20 Summitry and Seoul: Policy Powerhouse or Multilateral Talk Shop" (October 27, 2010).
- Spoke at CFR meeting, "G20 Summit Preview: Challenges and Opportunities," featuring Timothy Dees Adams, managing director of the Lindsey Group (November 9, 2010).
- Featured speaker at a conference on "The G20 and Global Governance: Challenges for the French Presidency," co-hosted by L'Institut Francais des Relations Internationales and the Center for International Governance Innovation (December 1, 2010).
- Participated at an Organization for Economic Cooperation and Development (OECD) workshop on the role of the OECD in the emerging global economy (November 30, 2010).
- Met with Lourdes Aranda, the Mexican G20 sherpa (December 1-2, 2010).
- While in Paris, briefed the French G20 sherpa, as well as the French team from the Ministère de Finance led by Ramon Fernandez (November 29, 2010).
- Attended dinner at the French embassy on the Quadrennial Diplomacy and Development Review, with French Ambassador and U.S. policy planning director Anne-Marie Slaughter (December 9, 2010).
- Spoke at an event at the French Consulate in New York, attended by nearly 150 people, on "Restoring Trust in the Global Economy: What role for the G20?" (January 19, 2011).

7) IIGG-sponsored General Meetings

a. Fostering Economic Recovery: EU Moves from Crisis Management to Reform Agenda (September 23, 2010)

European Commission president, José Manuel Barroso spoke to experts and policymakers to discuss international reactions to the eurozone crisis, and the internal consequences for the European Union.

b. G20 Summit Preview: Challenges and Opportunities (November 9, 2010)

Experts and policymakers gathered to preview the upcoming G20 summit in Seoul and discuss G20 agenda items such as the pace of global economic recovery, foreign exchange issues, and IMF reform. Speakers included: Timothy D. Adams, former undersecretary of the treasury for international affairs and managing director of the Lindsey Group, and Karen Johnson, the former undersecretary of treasury for international affairs and former director of the division of international finance of the Federal Reserve System.

D. Integrating emerging powers

1) Emerging Powers, International Institutions, and World Order Meeting Series
Project director: Stewart Patrick, senior fellow and IIGG director

The “Emerging Powers and International Institutions” meeting series can be found on CFR.org at: www.cfr.org/emergingpowers/.

Historically, accommodating the rise of new powers has been a perennial challenge of world politics, with failure to negotiate such transitions often contributing to regional and global instability. In addition, few of today’s global threats, from climate change to nuclear proliferation, can be addressed without the involvement of major emerging powers. Accordingly, the United States and other established powers have a long-term interest in ensuring that rising powers become pillars of a rules-based international order. Likewise, major emerging powers are gaining positions of increased international influence and have a natural interest in engaging established powers on reforming outdated institutions of global governance. To better understand the priorities of today’s emerging powers, and their potential contribution to resolving global challenges, IIGG sponsored two meetings this year, in Berlin and New Delhi, in addition to previous meetings in Washington, Rio de Janeiro, and Beijing.

Meetings included:

- “Rising India: Implications for World Order and International Institutions,” New Delhi, India (October 20-21, 2010).
- “Transatlantic Perspectives on Emerging Powers and International Institutions,” Berlin, Germany (May 15-17, 2011).

Other related meetings:

- Patrick attended a dinner hosted by Indian deputy chief of mission Arun Singh in preparation of the IIGG workshop in New Delhi (September 7, 2010).

- Patrick and CFR fellows also met with the Indian National Security Advisor and Deputy National Security Advisor in New Delhi.
- Patrick and CFR fellows met with a delegation of retired Indian Generals and Ambassadors at the United Service Institute in New Delhi

2) Conference: Rivalry and Partnership—The Struggle for a New Global Governance Leadership (January 14-15, 2011)
Project director: Stewart Patrick, senior fellow and IIGG director, in collaboration with Princeton University, the University of Toronto, and the Stanley Foundation.

The conference summary can be found on the Stanley Foundation website at:
<http://www.stanleyfoundation.org/resources.cfm?id=456>.

This workshop gathered an intimate group of experts from academia, government, and think tanks to follow up on the 2010 "Princeton Conference on New Foundations for Global Governance." With the theme of "Rivalry and Partnership—The Struggle for a New Global Governance Leadership," participants examined America's future role in the world, the integration of rising powers, the configuration of global governance, struggles over international norms and legitimacy, and the success or failure of the G20.

3) Meeting series: Making Multilateralism Work: U.S. Space Policy: The Challenge of Integrating Emerging Powers (June 30, 2011)
Presiders: Stewart Patrick, senior fellow and IIGG director; Micah Zenko, fellow for conflict prevention

In recent years, the number of countries engaged in outer space activities has skyrocketed. While the United States remains the leader in space, it now shares that domain with emerging nations possessing distinct interests, capabilities, and intentions. The result, as Deputy Secretary of Defense William Lynn observes, is a domain that is increasingly "congested, competitive, and contested." To preserve U.S. national security and freedom of access to outer space, the United States and other established powers must work to integrate new space-faring nations into a common institutional framework, with accepted rules of the road.

The workshop featured remarks from the deputy undersecretary for international affairs from the U.S. Air Force, the U.S. deputy assistant secretary of defense for space policy, senior State Department officials, a representative of the Australian space agency, and leaders from private sector corporations that conduct international satellite negotiations. They joined CFR fellows, representatives from Brazil, Europe, and Japan as well as space experts to debate how best to cultivate new space-faring nations as "responsible stakeholders" in the evolving global space regime.

Related Meetings:

- Stewart Patrick met with the U.S. assistant secretary of defense for space policy Greg Schulte, at his request, to discuss the implications of his *Foreign Affairs* article, "Irresponsible

Stakeholders?” for engaging emerging players in the formulation of new norms for the peaceful uses of outer space (December 9, 2010).

- Stewart Patrick met with the U.S. deputy assistant secretary of state Frank Rose of the Bureau of Verification, Compliance, and Implementation to discuss the challenges of integrating new “space-faring nations” into a new regime for governing the peaceful uses of space (January 13, 2011).

4) U.S.-India Vital National Interests Dialogue (ongoing)

Project director: Robert D. Blackwill, Henry A. Kissinger senior fellow

The “U.S.-India Vital National Interests Dialogue” held its first session in New Delhi in May 2011. The group’s U.S. participation under the Council on Foreign Relations is funded by the Robina Foundation, and Indian participation is under the banner of Aspen Institute India. Ambassador Blackwill is co-chairing the group with Naresh Chandra, a former Indian ambassador to the United States. A first draft of the report has been prepared, and we are compiling comments and additional recommendations. The participants will meet again from September 15-16 in New York. The final group report will provide policy recommendations on U.S.-Indian collaboration in seven areas: the rise of Chinese power, the status of Pakistan, the future of Afghanistan, ongoing changes in the Middle East, opportunities for global and bilateral economic cooperation, joint efforts on climate change and energy technology development, and possibilities for defense cooperation. Findings will be released following the concluding meeting on September 16.

5) Related publications by Stewart Patrick:

- “Brazil Seeking Security,” *National Interest* (June 28, 2010).
- “Irresponsible Stakeholders? The Difficulty of Integrating Rising Powers,” *Foreign Affairs* (November/December 2010).

6) Other meetings and briefings by Stewart Patrick

- Met with Sam Daws, senior adviser to the United Nations, to discuss UN Security Council reform (August 19, 2010).
- Featured speaker at the National Defense University (NDU) Senior Seminar of NDU’s Near East/South Asia program on the challenges of integrating rising powers (February 24, 2011).

E. Other notable projects

1) Global Governance Monitor: Public Health (August 2010)

In August 2010, the IIGG program launched a new public health chapter of the Global Governance Monitor ahead of the UN Summit on the Millennium Development Goals. This new component of the Monitor features: a short film that explains the challenge of improving public health; a graphic timeline tracing the history of public health initiatives from 1851 through the present; an issue brief summarizing the current status of the global health regime (including gaps in the regime and related U.S. policy); a matrix cataloging all relevant international agreements, mechanisms, institutions, and initiatives related to global health, including their coverage, strengths, and shortcomings; an interactive map detailing the public health challenges that plague

each region in the world, as well as the main international agencies that manage these challenges; and a list of resources, including foundational texts, essential documents, recent articles, and relevant CFR scholars on the subject.

2) United States and the Future of Global Governance Roundtable Series

Project director: Stewart Patrick, senior fellow and IIGG director

The roundtable series can be found on CFR.org at: www.cfr.org/futureglobalgovernance/.

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 six sessions of this roundtable series in New York and Washington, DC, on issues ranging from the future of the Group of Eight (G8) and Group of Twenty (G20) to prospects for global energy governance, evolving norms of human rights, and the challenges of transnational organized crime.

Meetings included:

- “The G8, the G20, and the Future of Global Economic Coordination,” with Robert Hormats, undersecretary for economic, business, and agricultural affairs, U.S. Department of State (May 14, 2010).
- “U.S. Human Rights Policy: Progress and Obstacles in Multilateral Fora,” with Michael Posner, assistant secretary for democracy, human rights, and labor, U.S. Department of State; and Tom Malinowski, Washington director, Human Rights Watch (June 4, 2010).
- “Transnational Organized Crime as a Threat to Peace and Security,” with Antonio Maria Costa, former undersecretary-general, United Nations; and Cherif Bassiouni, professor, DePaul University College of Law (June 16, 2010).
- “From the UN General Assembly to Seoul: The Future of UN-G20 Relations,” with IIGG director Stewart Patrick (September 22, 2010).
- “The UN Human Rights Council: The Fruits of Engaging,” with Suzanne Nossel, deputy assistant secretary for the bureau of international organization affairs, U.S. Department of State; and Mark Lagon, adjunct senior fellow for human rights, Council on Foreign Relations (October 12, 2010).
- “Rules of Engagement: A Conversation with our UN Ambassadors in Vienna, Rome, Geneva, Nairobi, and Montreal,” featuring Esther Brimmer, assistant secretary for international organization affairs; Glyn Daives, U.S. permanent representative to the International Atomic Energy Agency and UN offices in Vienna; Ertharin Cousin, U.S. representative to the UN agencies for food and agriculture in Rome; Betty King, U.S. representative to the office of the United Nations and other international organizations in Geneva; Joseph Murphy, U.S. permanent representative to the UN Environment Program in Nairobi; and Duane Woerth, U.S. representative to the International Civil Aviation Organization in Montreal (February 1, 2011).
- “Book Discussion with G. John Ikenberry: *Liberal Leviathan*,” with G. John Ikenberry, Milbank professor of politics and international affairs, Princeton University; presided by Charles

Kupchan, Whitney Shepardson senior fellow for Europe, Council on Foreign Relations. CFR President Richard Haass participated in the roundtable (June 2, 2011).

3) IIGG–sponsored symposium: “Food and Drugs: Can Safety Be Ensured in a Time of Increased Globalization?” (January 31, 2011)

Project director: Laurie Garrett, senior fellow for global health

Written transcripts, audio, and video of the meeting are available on CFR.org:

<https://secure.www.cfr.org/projects/world/cfr-symposium-on-food-and-drugs-can-safety-be-ensured-in-a-time-of-increased-globalization/pr1526>.

The Council on Foreign Relations hosted a half-day symposium, “Food and Drugs: Can Safety Be Ensured in A Time of Increased Globalization?” with regulators from the United States, Brazil, and Nigeria in addition to representatives of industry, multilateral organizations, and civil society. The first session of the meeting, “The Scale of the Challenge: Overview and Case Studies,” presented a broad overview of how globalization has changed the food and drug trade, what this change has meant for national regulators and industry, and how it has affected consumer health globally. During the second session, “Policy Challenges in a Globalized Era,” speakers highlighted the paradox faced by policymakers of a world where the international movement of food and drugs is growing increasingly complex, but national capacity and current global governance remain lacking. The third session, “Potential Solutions,” focused on mechanisms that could possibly move global food and drug regulation to greater harmonization and improve regulatory capacity, particularly in the developing world.

Related publications:

- Laurie Garrett and Yanzhong Huang, “CFR Symposium Backgrounder on Food and Drugs: Can Safety Be Ensured in a Time of Increased Globalization?” *Backgrounder* for CFR.org (January 31, 2011).

4) Global Health Governance Roundtable Series

Project director: Yanzhong Huang, senior fellow for global health

The goal of the series is to examine the changing landscape of global health governance in the context of emerging powers, empowered non-governmental actors, and shifting health priorities. Questions being discussed include: What effect will the growing burden of noncommunicable diseases have on the economic growth of India and China? Can the World Health Organization (WHO) maintain a central role in global health governance, with competition from other actors (e.g., World Bank, World Trade Organization, multinational corporations, Gates Foundation) and the proliferation of new initiatives not housed by WHO (e.g., Global Fund)? How will the emerging powers (e.g., China, India, Brazil) and the rising nonstate actors affect the international community's ability to set priorities and define the upper limits of acceptable action? How does the entrance of health into the realm of “high politics” affect our way of handling transnational health threats?

Meetings included:

- “The Challenge of Noncommunicable Disease in Emerging Powers,” with Jean-Paul Chretien, adviser to the commanding general, Second Marine Expeditionary Force; Rachel Nugent, deputy director of global health, Center for Global Development; and Dereck Yach, senior vice president of global health policy, PepsiCo., Inc. (October 26, 2010).
- “The World Health Organization in a Shifting Global Governance Landscape,” with Jack Chow, distinguished service professor, Carnegie Mellon University; and Jennifer Ruger, associate professor, Yale School of Public Health (November 16, 2010).
- CFR senior fellow Yanzhong Huang spoke at the University of Texas, Austin Lyndon B. Johnson School on “China and Global Health Governance” (November 29, 2010).
- “Governing Health in Fragile States: The Military’s Role,” with Sheri Fink, senior fellow, New America Foundation; and Lynn Lawry, health stability and humanitarian assistance specialist, U.S. Department of Defense (February 23, 2011).
- “A Decade of Securitized Health: Lessons Learned,” with Mark Abdoo, U.S. National Security Council, and Julie Fischer, Stimson Center (March 29, 2011).
- “Nongovernmental Organizations and Global Health Governance,” with Helene Gayle, Care USA (April 13, 2011).
- “A Preview of the World Health Assembly,” with Larry Gostin, Georgetown University Law Center (May 12, 2011).

Related publications:

- Yangzhong Huang, “[Comparing the H1N1 Crises and Responses in the U.S. and China](#)”, Non-Traditional Security Working Paper Series No. 1, Singapore: RSIS Centre for Non-Traditional Security Studies (November 2010).
- Yangzhong Huang, “[Weighing an Ambitious QDDR](#)” contribution to an *Expert Roundup* for CFR.org, (December 16, 2010).
- Yangzhong Huang and Laurie Garrett, “[Backgrounder: Food and Drugs: Can We Ensure Safety in a Time of Increased Globalization](#),” *Backgrounder* for CFR.org (January 31, 2011).
- Yanzhong Huang, “[Managing Biosecurity Threats in China](#),” *Biosecurity and Bioterrorism: Biodefense Strategy, Practice, and Science* (March 11, 2011).
- Yangzhong Huang, “[Does the United States Have the Leverage to Press China to Become a Full Global Health Donor?](#)” “Asia Unbound” blog, CFR.org (March 16, 2011).
- Yangzhong Huang, “[Contributing to Global Health](#),” *China Daily* (March 17, 2011).
- Yanzhong Huang, “[The Global Fund, China, and Civil Society](#),” “Asia Unbound” blog, CFR.org (June 1, 2011).

5) Global Stakes in Human Rights Roundtable Series

Project Director: Mark Lagon, Adjunct senior fellow for Human Rights

Meetings included:

- “Global Leadership and the Promotion of Liberal Values,” with Henry Nau, professor of political science, Elliott School of International Affairs at George Washington University; and David Shorr, program officer, Stanley Foundation (September 27, 2010).

- “The UN Human Rights Council: The Fruits of Engaging,” with Suzanne Nossel, deputy assistant secretary of state for international organization affairs, U.S. Department of State (October 12, 2010).
- “The Gender of Atrocity: Peace vs. Justice in Sudan and Beyond,” with Catharine MacKinnon, special gender adviser to the International Criminal Court (December 14, 2010).
- “Good Governance and Prosperity: An Unfinished Global Revolution and Multilateral Effort,” with Mark Malloch-Brown, former United Nations deputy secretary-general (February 25, 2011).
- “The Right of Children to Be Free from Labor Exploitation,” with Sandra Polaski, deputy undersecretary for international affairs at the U.S. department of Labor; and Dawn Conway, senior vice president at Lexis Nexis (May 5, 2011).
- “Assisting Democratization: Tools in the Toolbox after the Arab Winter Wave,” with Lorne Craner, president of the International Republican Institute; and Ken Wollack, president of the National Democratic Institute (May 10, 2011).
- “Democracy and Human Rights Promotion: The Case of the Middle East” with Ambassador Zalmay Khalilzad, counselor, Center for Strategic and International Studies (June 13, 2011).
- “Humanitarian Intervention: Lessons from Libya and Cote d’Ivoire,” with Francoise Delattre, ambassador of France to the United States, and Tod Lindberg, editor of *Policy Review*, Hoover Institution, Stanford University (June 29, 2011).

6) International Studies Association conference (March 16-19, 2011)

In March 2011, Stewart Patrick traveled to Montreal for the annual International Studies Association convention, where he presented his upcoming book *Weak Links: Fragile States, Global Threats, and International Security*. Patrick also spoke on three panels on the topics of global governance and ungoverned spaces: “World Order and Security Governance in the Post-Transatlantic Age,” “Global Black Spots Research Approach as an Intelligence Support Activity: Towards Early Warning System,” and “Alternatives to State Sovereignty in an Era of Softened Sovereignty.”

7) Relevant publications by Stewart Patrick

- “The Tricky ‘New American Moment’,” *First Take* for CFR.org (September 8, 2010).
- “Assessing Obama’s Asian Tour,” *Expert Brief* for CFR.org (November 15, 2010).
- “Obama’s Timely Transatlantic Message,” *First Take* for CFR.org (May 25, 2011).
- “The G8 Proves Its Relevance,” *Expert Brief* for CFR.org (May 27, 2011).

8) Other meetings and presentations by Stewart Patrick

- Served as a discussant at a presentation by Esther Brimmer, assistant secretary for international organization affairs, U.S. Department of State, “The Obama Administration’s Multilateral Agenda,” hosted by the National Security Network (July 20, 2010).
- Spoke at a roundtable discussion at the Atlantic Council on the *Global Governance 2025* report (September 20, 2010).
- Participated on the opening panel of an American University conference, “Global Governance in the 21st Century” (September 24, 2010).

- Spoke at a forum on the U.S. foreign policy agenda at the World Affairs Council, televised on C-SPAN, other discussants included David Rothkopf of the Carnegie Endowment, Parag Khanna of the New America Foundation, and Kori Schake of the Hoover Institution (November 5, 2010).
- At the request of former Italian Prime Minister Giuliano Amato, travelled to Rome to speak at the Institute for American Studies conference on the implications of mid-term elections for U.S. foreign policy (November 16-20, 2010).
- Chaired meeting on “Nonbinding Agreements: Lessons from the Proliferation Security Initiative,” with CFR Stanton Nuclear Security Fellow Emma Belcher (December 10, 2010).
- Participated at the inaugural meeting of the National Intelligence Council’s “Global Trends 2030” project (December 13, 2010).
- At the request of Anne-Marie Slaughter, former director of policy planning at the U.S. Department of State, held a meeting on “New Paradigms for Development,” featuring assistant secretary of state for economic and business affairs Jose Fernandez; Michael Kremer of the U.S. Agency for International Development; and presided over by CFR Paul A. Volcker senior fellow for international economics and director of the Maurice R. Greenberg Center for Geoeconomic Studies, Sebastian Mallaby (January 12, 2011).
- Met with Reuben Brigety, deputy assistant secretary of state for population, refugees, and migration, to discuss a possible IIGG initiative on improving the delivery of U.S. and UN humanitarian assistance (February 11, 2011).
- Travelled to Grand Rapids, Michigan, at the invitation of the World Affairs Council of Western Michigan, to deliver an address, “Needed: A New World Order” (February 14, 2011).
- Participated in a study group for CFR Whitney A. Shepardson senior fellow in international affairs Charles Kupchan’s forthcoming book, *No One’s World*, (February 28, 2011).
- Met with Manuel Lafont-Rapnouil, political counselor at the French embassy; and Alexis Lamek, deputy director of the UN division at the Quai d’Orsay (February 28, 2011).
- Presided at a CFR Corporate program roundtable, “Global Challenges of Urbanization: Risks and Opportunities” with James Smither of Control Risks and Jaana Remes of the McKinsey Global Institute (March 10, 2011).
- Attended the Norwegian Nobel Institute symposium on “Twenty Years of International Relation: Some Key Dimensions,” (June 21- June 27, 2011). Patrick’s presentation paper looked at the evolving structure of world politics from 1991-2011.

9) Media interviews by Stewart Patrick:

Over the past year, Patrick has been interviewed by numerous print, radio, television, and web outlets seeking his opinions on international institutions and global governance challenges. Media exposure hit a peak in preparation for and during the United Nations General Assembly (UNGA) debate in September. Appearances included interviews on CBS News’ *Early Show*, CNN International, BBC’s *The World* radio program, and Voice of America; and interviews with *Bloomberg* and Radio Free Europe. Patrick also submitted an op-ed to *China Daily* on the G20 summit at their request. Throughout the rest of the reporting period, Patrick estimates media contacts at a steady rate of five per week. Other media contacts include interviews with *Deutsche Welle* on the United States, Europe, and future of multilateral cooperation; and with the Colombian magazine *Semana* on Ban Ki-moon’s tenure.

Media exposure was also particularly high during the UN and International Criminal Court response to violence in Libya; the 2010 G20 summit; U.S. mid-term elections; and Obama's trip to India as well as the resultant interest in UN Security Council (UNSC) reform, with the potential for a permanent Indian UNSC seat. Interviews included the Associated Press, Politico, the *Boston Globe*, NPR, the *Los Angeles Times*, Bloomberg, CBS Evening News and the CBS Early Show, the *National*, the *Washington Times*, *Foreign Policy*, Thomson Reuters, *China Daily*, *Folha de Sao Paolo*, the *Christian Science Monitor*, Financial Times Deutschland, Daily News and Analysis India, and Politiken (Denmark).

10) Other meetings sponsored by IIGG:

- Ray Takeyh, senior fellow for Middle Eastern studies, Council on Foreign Relations, spoke at a U.S. Congressional senior staff roundtable on “The Impact of Sanctions on Iran’s Nuclear Ambitions” (September 24, 2010).
- “International Migration Policy for the Twenty-First Century,” featuring Eric Paul Schwartz, assistant secretary of state for population, refugees and migration (November 2, 2010).
- Charles Kupchan, Whitney Shepardson senior fellow, Council on Foreign Relations, spoke at a U.S. Congressional senior staff roundtable on “Dissecting the NATO Lisbon Summit” (December 3, 2010).
- Charles Kupchan, Whitney Shepardson senior fellow, Council on Foreign Relations conducted a expert briefing with the office of Representative Ted Deutch (D-FL) on “The EU and European Issues” (February 9, 2011).
- U.S. Congressional staff conference – Breakout sessions (March 4, 2011):
 - “Technology, Cybersecurity and International Affairs,” with Neal Pollard, principal, PRTM Management Associates; former senior officer, Office of the Director of National Intelligence and former CFR international affairs fellow.
 - “Rising Powers and the United States” with Evan Feigenbaum, CFR adjunct senior fellow for East, Central, and South Asia; Julia Sweig, CFR Nelson and David Rockefeller senior fellow for Latin America studies and director for Latin America studies.
- Micah Zenko, fellow for conflict prevention, Council on Foreign Relations, conducted an Expert Bank Briefing with the office of Representative Howard Berman (D-CA) on “The United Nations” (March 29, 2011).
- CFR Fellow Micah Zenko led National Program roundtables in Boston, San Francisco, Seattle, and Los Angeles on the effectiveness of limited uses of military force (September 2010-June 2011).
- CFR senior fellow Sebastian Mallaby led National Program roundtables in Seattle, San Francisco, Los Angeles, Houston, and Dallas on the history of hedge funds (September-December 2010).
- CFR senior fellow Adam Segal led National Program roundtables in San Francisco, Seattle, San Diego, Los Angeles, Dallas, Houston, Austin, Boston, and Atlanta on Asian Innovation and American Competitiveness (February-June 2011).
- CFR Fellow Steven A. Cook led a briefing on Egypt with the American Council of Young Political Leaders (September 17, 2010).

- CFR senior fellow Michael Levi led a panel at New York University Law School on “Natural Resources & National Security: Facing the Future” (November 9, 2010).
- CFR Fellow Micah Zenko briefed the Canadian Forces College on the United Nations (January 29, 2011).
- “UN Women,” featuring Michelle Bachelet, the executive director and under secretary-general of UN Women (April 6, 2011).
- “A Conversation with His Excellency Jean Ping,” featuring Jean Ping, African Union commission chairperson (April 19, 2011).
- “The AIDS Pandemic at 30: Can it be Stopped?” featuring Paul DeLay, deputy executive director of UNAIDS; Michelle Bachelet, the executive director and under secretary-general of UN Women; and Robert Orr, the assistant secretary-general for policy planning at the United Nations. Seth Berkley, founder, president, and chief executive officer of the International AIDS Vaccine Initiative, presided (June 6, 2011).

11) **Multimedia initiative: “The Internationalist: World Order, State Sovereignty and Multilateral Cooperation” blog**

Author: Stewart Patrick, CFR senior fellow and IIGG director

IIGG is constantly exploring how to freshly engage our audiences with evolving media. In his new blog, Patrick analyzes pressing issues and events in the news through the lens of three overarching themes: how rising powers are altering world politics—and the prospects for international cooperation; how globalization is testing national sovereignty—including in the United States; and how multilateral institutions can adapt to these trends—while advancing U.S. interests.

Tectonic power shifts are shaking the foundations of the Western liberal order created after 1945 under U.S. leadership. The sovereign state, bedrock of the international system, is under siege. And inherited multilateral institutions are straining to deliver stability, peace and prosperity in the face of new threats. Debates are raging over whether sovereignty should be contingent on fulfilling fundamental obligations—like the “responsibility to protect” one’s own citizens—which has aroused such controversy from Sudan to Libya. As new realities take shape, Patrick candidly evaluates the international consequences and how the U.S. should react.

FY11 entries included:

- “The G8—It’s Baaaaaack!” (May 24, 2011).
- “‘I’m Not Dead Yet’: Long Live the G8,” (May 27, 2011).
- “BRICS, or Straw Men? Why the Next IMF Head Will Be European,” (May 31, 2011).
- “Summer Reading: Ikenberry’s Liberal Leviathan,” (June 3, 2011).
- “The Trials of International Tribunals,” (June 7, 2011).
- “The Dragon and the Eagle at the UN: Limits to Cooperation,” (June 10, 2011).
- “The SCO at 10: Growing, but Not into a Giant,” (June 14, 2011).
- “U.S.-UN Relations: Back to the Future?” (June 20, 2011).
- “Sea Change: Our Dying Oceans,” (June 22, 2011).
- “Qaddafi’s Arrest Warrant: The False Peace-Justice Tradeoff,” (June 28, 2011).
- “Don’t Tread on Me: July 4th and U.S. Sovereignty,” (July 1, 2011).

COUNCIL *on* FOREIGN RELATIONS

International Institutions and Global Governance Program

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

International Institutions and Global Governance Program

Annex II: FY12 Anticipated Activities

Project director: **Stewart Patrick**, *senior fellow and director of the International Institutions and Global Governance program*

Reporting Period: July 1, 2010-June 30, 2011
Report Due: August 1, 2011

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

Generating Ideas and Solutions

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

Making Global Institutions More Effective

During the 2012 fiscal year (FY2012), the IIGG program will continue to generate ideas on how to improve the performance of global institutions such as the International Monetary Fund (IMF), the World Bank, the World Health Organization, and the International Atomic Energy Agency (IAEA). In

developing reform proposals, the IIGG program will convene numerous meetings and consultations with senior officials across the U.S. government, foreign governments, international organizations, and civil society groups. In turn, the IIGG program will advise these same officials on the practical steps they can take to turn reform ideas into reality. In the past year, the IIGG program has already hosted workshops on strengthening UN peacekeeping and on engaging emerging “space-faring” nations. Promising topics for FY12 include reforming the Human Rights Council, improving the UN’s Counterterrorism Committee, and increasing the ability of the IMF, the Group of Twenty (G20), and the World Trade Organization to deal with currency and trade issues.

Enhancing the Capabilities of Regional Organizations

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

Identifying New Institutions

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

Exploring the Future of U.S. Sovereignty

Deepening global interdependence poses challenges to traditional conceptions of national sovereignty, including in the United States. Many Americans are concerned that by participating in international institutions and other global governance arrangements, the United States may sacrifice too much freedom of action, find its domestic policy autonomy constrained, or find its constitutional democracy subordinated to unaccountable and anonymous international organizations. The IIGG program will soberly assess the impact of various forms of multilateral cooperation on these diverse aspects of U.S. sovereignty, involving legal scholars, political experts, and current U.S. officials in

wide-ranging discussions of the trade-offs that may be involved in embedding the United States in new international rules and institutions.

Making a Difference

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

Expanding the Policy Innovations Memorandum Series

The IIGG program launched its Policy Innovations Memorandum series in FY11 to better reach busy policymakers who need policy recommendations delivered in a form in which the diagnosis and prescription can be easily digested. Written by CFR fellows and outside experts, these 1,000- to 1,500-word essays provide policymakers with short, action-oriented analyses and recommendations to deal with specific global challenges. As is the case with other IIGG program products, the Policy Innovation Memorandums are aggressively marketed to executive-branch policymakers in the United States and abroad. Release of the memos is also carefully coordinated with CFR’s Congress and U.S. Foreign Policy Program, which arranges personalized briefings and seminars for members of the House and Senate and their staffs on a wide range of international and economic issues. The memos are also posted on CFR’s award-winning website, CFR.org. During FY12, the IIGG program plans to launch five Policy Innovation Memorandums. Promising topics include creating a global energy regime; equipping the IAEA for a new era; and establishing a new code of conduct for the peaceful uses of outer space.

Building a Transnational Network to Champion Solutions to Global Problems

Creating more effective international institutions requires more than persuading U.S. officials to act. It also requires persuading other leading governments to act. To this end, the IIGG program plans to use CFR’s convening power and reputation to bring together representatives of major policy institutes from twenty of the world’s most important countries to participate in candid, off-the-record discussions on how best to promote global cooperation. The first of what we hope will be annual meetings of the “Council of Councils” will be held in March 2012 at CFR’s Washington, DC office. The tentative topics for deliberation are combating climate change and building a stable global financial system. The objective of the discussions will be to solicit the thoughts of our partners and to disseminate the ideas generated by the IIGG program’s research. We hope that the assembled opinion leaders will bring the IIGG program’s proposals back to their home governments and thereby promote the emergence of the multilateral consensus needed to spur to action. We would also invite officials from relevant international organizations so that they, too, could channel ideas back to their home institutions.

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

Grading the Performance of the International Community

During FY12, IIGG will create the first installment of an Annual Global Governance Scorecard, designed to assess the international community's performance in addressing and resolving the most serious global and transnational challenges over the past year. These assessments will also include an evaluation of the U.S. role in contributing to the effective management of particular issues. The annual scorecard will include an overview piece summarizing and assessing trends in global governance and multilateral cooperation. The first installment will focus on six major issues: Nuclear Nonproliferation, Global Finance, Climate Change, Global Health, Armed Conflict, and Terrorism. The scorecard will build on inputs from CFR senior fellows, as well as baseline data from the Global Governance Monitor and other sources.

Deepening Public Understanding of Global Challenges

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

Summary Financial Budget

Robina Foundation

July 1, 2011 – June 30, 2012

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

COUNCIL ON FOREIGN RELATIONS

Financial Statement

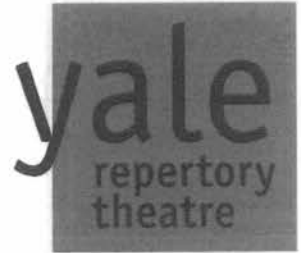
Robina Foundation

July 1, 2010 - June 30, 2011

Year three award	\$2,000,000
Balance as of June 30, 2011 to be applied to year four activities	\$170,120

	Year Three Budget	Actual Expenses (7.1.10-6.30.11)
Core Staff	\$565,400	\$409,728
Senior Fellows/Studies Staff	\$592,600	\$464,245
Meetings	\$100,100	\$130,668
Research Travel	\$68,600	→ \$176,232
Publications	\$35,000	\$46,180
Multimedia	\$42,700	(\$84,070)
Professional Services	\$21,500	\$22,790
Research Materials	\$7,500	\$5,038
Administrative	\$67,300	→ \$88,883
Outreach	\$227,500	→ \$126,446
Project Management	\$279,300	→ \$283,100
Total	\$2,007,500	\$1,837,380

Call 8/16: 10:30



JAMES BUNDY,
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VICTORIA NOLAN,
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August 1, 2011

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

Dear Penny,

I am pleased to enclose our year-end report for FY2011, the third year of Robina Foundation funding for the Center for New Theatre.

Though I expect there will be few surprises for you, given our quarterly reports and follow-up conversations throughout the year, I hope you will appreciate the cumulative growth of our commissioning, development, and production activities. I look forward to discussing this year's work with you and Peter Karoff in August.

Next year will bring even more activity. Soon, we will announce the world premiere of *Good Goods* by Christina Anderson, a recent graduate of the School of Drama, whom you and the board met two years ago during your visit to New Haven. This play, which Christina wrote while she was a student, joins two other new works in the 2011-12 Yale Rep season: Amy Herzog's *Belleville* and Will Eno's *The Realistic Joneses*, both commissioned and developed at Yale.

To give you a sense of what that means: you would have to go back at least 20 seasons in Yale Rep history to find three new plays in the same year! Truly, Robina Foundation support is leading to profound changes at our theatre, and we could not be more grateful.

As always, thank you for your kind and generous consideration, and please let me know if I can answer any questions.

Sincerely,

A handwritten signature in cursive script, appearing to read "James", written in dark ink.

James Bundy

Enclosures

8/16

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NYT Renew - view not public.

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

The Center for New Theatre is an initiative to commission, develop, and produce new work for the stage, thereby cultivating the skills and nurturing the talents of playwrights and other theatre professionals.

Goals

- To keep writers of outstanding potential engaged in the profession.
- To establish a new standard of artist-centered development and production.
- To create a pipeline of new talent and new works for theatre companies across the country.
- To broaden the experiences and expertise of Yale students and embolden them to imagine new possibilities for the stage.
- To serve as a model for the training of theatre professionals in the production of new work.

Objectives

- To support a significant number of Yale Rep-commissioned plays and musicals and provide commissioned artists with readings and workshops, as well as residencies at the School of Drama.
- To produce work of the highest possible artistic standards at Yale Rep and to encourage the advancement of plays commissioned, developed, and produced through the Center for New Theatre.
- To promote partnerships through the Production Enhancement Fund, a mechanism that helps to underwrite multiple productions of Yale-commissioned plays and musicals at theatres across the country.
- To introduce writing-centered, collaborative, and integrated workshops, laboratories, and short courses to the Yale School of Drama curriculum, focusing specifically on musical theatre (including libretto, lyric and music composition for the stage).

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

The third year of the Center's work has been productive and rewarding. We maintained the robust level of commissioning and development activities of FY10 and expanded the reach of the program to peer theatres and new play development organizations across the country.

Commissions

- In FY11, we commissioned five new plays and one musical:
 - Original plays by Amy Herzog, Branden Jacobs-Jenkins, Aditi Brennan Kapil, Lucy Thurber, and Alice Tuan.

- Carson Kreitzer and Matt Gould's musical based on the life of Art Deco painter Tamara de Lempicka, a co-commission with New Dramatists as part of their Full Stage USA program.
- We anticipated awarding seven commissions in FY11, but conversations for the seventh project—a commission of the award-winning ensemble The Rude Mechs—have extended beyond the fiscal year because of the group's busy touring schedule in the spring. Although discussions began this past year, the contract will not be completed and the first commission payment will not be posted until FY12.
- We raised the base commission fee to \$25,000 (up from \$22,500 in FY11).
- Two commissioned plays are scheduled for production in the 2011-12 season: Amy Herzog's *Belleville* and Will Eno's *The Realistic Joneses*.
- The first draft of Kirsten Greenidge's commissioned play, *Little Row Boat*, was submitted, and it will be developed further by the Center in FY12.
- In consultation with playwright Paula Vogel, we agreed to convert her previously awarded commission to a co-commission with Rebecca Taichman. We have partnered with the Oregon Shakespeare Festival to co-commission this new project, which will chronicle the stormy journey of Sholem Asch's play, *The God of Vengeance*.
- David Adjmi's commissioned play, *Marie Antoinette*, was originally slated to premiere at Yale Rep in the 2011-12 season, but we moved it forward to the 2012-13 season to allow us the flexibility to seek co-production opportunities. We are currently planning to produce the world premiere in FY13 with the American Repertory Theatre (ART) in Cambridge, MA.

Workshops, Retreats, and Residencies

The Center's development opportunities continue to provide resources for our commissioned artists and their collaborators. This year, we conducted five workshops and six retreats/residencies.

- Workshop of Will Eno's *The Realistic Joneses* (New York, July 2010)
- Writers' Retreat: Paula Vogel and Rebecca Taichman in collaboration with the Oregon Shakespeare Festival (Ashland, Oregon, July 2010)
- Yale School of Drama Boot Camp residency, which included three commissioned writers (David Nugent, Lina Patel, Julie Marie Myatt) and nine playwriting students (New Haven, August 2010)
- Writer's Retreat: Lina Patel (New Haven, November 2010)
- Workshop of Amy Herzog's *Belleville* (New York, February 2011)
- Workshop of Will Eno's *The Realistic Joneses* (New York, February 2011)
- Writer's Retreat: Dan LeFranc (New Haven, April 2011)
- Writers' Retreat: Carson Kreitzer and Matt Gould (New Haven, May 2011)
- Writers' Retreat: Paula Vogel and Rebecca Taichman (New Hampshire, May 2011)
- Workshop of Octavio Solis's *Jonny Que-Onda* (New York, June 2011)

- Workshop of David Nugent's musical, *Her Lightness* (New York, June 2011)

New Play Production

In FY11, Yale Repertory Theatre produced two world premieres:

- Adam Bock and Todd Almond's musical *We Have Always Lived in the Castle* opened the Yale Rep 2010-11 season. The production received six Connecticut Critics Circle Award nominations:
 - Outstanding Actress in a Musical (Jenn Gambatese)
 - Outstanding Actress in a Musical (Alexandra Socha)
 - Outstanding Actor in a Musical (Sean Palmer)
 - Outstanding Director of a Musical (Anne Kauffman)
 - Outstanding Lighting Design (Stephen Strawbridge)
 - Outstanding Production of a Musical
- Kirsten Greenidge's *Bossa Nova* ran at Yale Repertory Theatre November 26 to December 18, 2010. Although no subsequent productions of *Bossa Nova* are yet scheduled, Kirsten's career is gaining momentum. Upcoming productions include *Milk Like Sugar* at La Jolla Playhouse (August 30 to September 25, 2011) and *Luck of the Irish* (March 30 to April 29, 2012) at Huntington Theatre Company.

Production Enhancement Fund

In FY11, the Production Enhancement Fund supported the west coast premiere of Dostoevsky's *Notes from Underground*, adapted by Bill Camp and Robert Woodruff, at La Jolla Playhouse (September 17 to October 17, 2010) and the New York premiere at the Baryshnikov Arts Center in collaboration with Theatre for a New Audience (November 7 to November 28, 2010).

3. Describe any unanticipated results, either positive or negative, what you have learned from implementation of the program, and any changes made or planned based on these results.

Commissions

In FY11, Yale Rep adopted a new subsidiary rights policy. For playwrights, subsidiaries can be very costly; for theatres, they are of marginal value. Yale Rep no longer seeks to take a portion of a playwright's future earnings for plays or musicals supported by the Center for New Theatre.

Press and Publicity

The world premiere of Adam Bock and Todd Almond's *We Have Always Lived in the Castle* received mixed critical response in the local and national press. *Variety* praised the production and musical values, calling it "impressive." The *New Haven Register* called it "adventurous, different and refreshing." And *TalkinBroadway.com* raved, "*We Have Always Lived in the Castle* is a dark, complicated musical which fully evidences the blazing talents of its creators." In stark contrast, Charles Isherwood's review in *The New York Times* was widely negative. He writes, "There's

nothing wrong in the new musical *We Have Always Lived in the Castle* at Yale Repertory Theatre, and that's exactly the problem."

Our experience with *Castle* reinforced what many of our commissioned writers and their agents have argued for quite some time: the lead critics of *The New York Times* wield a disproportionate amount of power to help or hurt the future life of a new American play. One bad review in *The New York Times* can essentially lead to the death of a play, and it can hurt the reputation of a writer over the long term. Given Yale Rep's proximity to New York, and our history of producing new work, it had been our policy to pursue *New York Times* reviews—especially for world premieres. After much consideration, we have altered that policy; we will now make the decision about whether to pursue *New York Times* reviews of world premieres in consultation with the playwrights. Given the significant investment the Center for New Theatre is making in the careers of writers, it makes sense to evaluate the impact the press may have on the play and to prioritize the needs of our commissioned artists over our own need as a theatre to generate revenue through ticket sales.

Production Enhancement Fund

We have seen the impact the Production Enhancement Fund (PEF) can have when relatively modest amounts are put towards seeding multiple productions after a premiere at Yale Rep (as in the case of *Notes from Underground*). Looking ahead, we see the potential to make a larger impact in the life of a new play by leveraging the PEF earlier in the production process. For example, it is our intention to make a more significant expenditure (approximately \$60,000) from the PEF in FY13 to underwrite a production of David Adjmi's *Marie Antoinette* at the American Repertory Theatre in the fall of 2012. Extraordinary production capacity is required to realize the physical world of the play, particularly with respect to costumes appropriate for the court of Versailles. By leveraging the resources of the PEF to offset the extensive costume design and labor costs, we can guarantee this worthy play will be produced at two of America's leading theatres.

Our original plan for the PEF anticipated making numerous payments of \$5,000 to \$20,000 available to support productions of plays commissioned by Yale Rep at theatres across the country. We projected that the \$600,000 fund would be spent across four years, starting in FY11 and extending through FY14. While we have no current plans for enhancement in FY12, we will use the funds if meaningful opportunities emerge. Based on our experiences to date, we can foresee a slower rate of expenditure than the \$150,000 per year originally envisioned. We believe enhancement opportunities will grow as the body of completed commissioned plays expands, and we propose extending the life of the original \$600,000 fund through FY18.

4. Outline your plans to share your results or findings.

Now three years into our program, the Center's brand is known and respected in the field. Peer theatres and new play development centers such as Berkeley Rep, Oregon Shakespeare Festival, and

New Dramatists have approached us, not only seeking opportunity for collaboration, but also to discuss concepts behind the Center as they anticipate expanding their own new play programming. In January 2011, Associate Artistic Director Jennifer Kiger participated in a national convening on new play development and production in Washington, D.C. The mission and activities of the Center for New Theatre were highlighted in a round table discussion at the convening.

In 2010-11, Yale Rep launched a page dedicated to the Center for New Theatre on its website (http://yalerep.org/about_rep/center.html). The page will be updated regularly with background information about commissioned artists, productions, and news about the Center.

- 5. *Attach an income and expense statement for this grant period as well as your original budget. Please include a narrative explanation for any line item differences between the original budget and actual expenses.***

See attached document.

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

In addition to the work of the Center for New Theatre, Yale 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.

Also separate from the work funded by the Robina grant is the Yale Institute for Music Theatre (YIMT). YIMT nurtures young music theatre artists—no more than five years out of school—at a crucial stage in their artistic development. This year, YIMT provided two-week workshops at Yale for three original music theatre pieces. The Institute began as a partnership between the School of Music and the School of Drama and has operated without funds from the Robina Foundation over the past three years. The School of Music is no longer in a position to continue its support, but the School of Drama and Yale Rep see this program as providing a critical contribution to the field.

Other funding for the Center includes a five year \$1 million grant from the Andrew W. Mellon Foundation, a significant gift from an anonymous individual donor, and the continued support of Yale School of Drama and Yale University. In FY11, the Center secured an endowment pledge of \$250,000. Additionally, we received a 2010 Edgerton Foundation New American Play Award

(\$12,000) for our world premiere production of *Bossa Nova*, which provided funding for an extra week of rehearsal.

Summary

We successfully pursued the original goals and objectives of the Center in its first three years. While investing in some of the most creative minds in the American theatre, we have gained a reputation as a highly respected and desired home for artists. The key to our success has been our commitment to flexibility in every aspect of the Center's operations. Our unique ability to tailor each new play development activity to meet the writer's specific needs, to provide production opportunities at Yale Rep and beyond, and to prioritize competitive compensation has positioned Yale Rep as a leader in the field.

Fiscal Year?

Yale Center for New Theatre FY10-FY12

RF pd \$1,350,000 in
9/10

	FY2010 Robina Grant Actual	FY2010 Other Sources Actual	FY2010 Center for New Theatre Total	FY2011 Robina Grant Actual	FY2011 Other Sources Actual	FY2011 Center for New Theatre Total	FY2012 Robina Grant Projected	FY2012 Other Sources Projected	FY2012 Center for New Theatre Total
Income									
Robina Foundation	859,513		859,513	529,346		529,346	950,000		950,000
Robina Production Enhancement Funds	19,100		19,100	20,600		20,600			
Andrew W. Mellon Foundation					199,895	199,895		200,000	200,000
Other (Foundation, Individual, Royalties, Tuition, University Support)		404,765	404,765		815,500	815,500		286,287	286,287
Grand Total Income	878,613	404,765	1,283,379	549,946	1,015,395	1,565,341	950,000	486,287	1,436,287
Expenses									
Literary Manager: Salary plus Benefits	75,684		75,684	76,654		76,654	129,775		129,775
Commissions (including musicals)*	86,000		86,000	83,750		83,750	200,000		200,000
New Play and Musical Workshops	59,704	98,038	157,742	52,012	180,059	232,071	75,000		75,000
Production Expenses	558,252	54,265	612,517	266,934	413,579	680,514	450,225	214,359	664,584
YSD Lecturers for Musical Theater/Playwriting Fellowships		82,672	82,672		37,874	37,874		68,281	68,281
YSD Key Staff Time		169,790	169,790		183,987	183,987		203,646	203,646
Production Enhancement Fund**	19,100		19,100	20,600		20,600			
Robina Indirect Costs	79,874		79,874	49,995		49,995	95,000		95,000
Grand Total Expenses	878,613	404,765	1,283,379	549,946	815,500	1,365,446	950,000	486,287	1,436,287

*Commission fees are fluid and may extend over fiscal years.

**FY11 expenses include fees paid to La Jolla Playhouse (\$15,000) and Theatre for a New Audience (\$5,600) for their productions of *Notes from Underground*.

RF Grant

750,000 (4/08)

750,000 (9/09)

1,350,000 (9/10)

950,000 -
2011

Yale School of Drama/Yale Repertory Theatre
Center for New Theatre
Annual Report
August 1, 2011



Yale Law School

KATHERINE R. NORTON
Associate Director of Development

August 1, 2011

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

Dear Penny,

In lieu of a formal update, I am pleased to present the information below regarding the final allocation of the funds from the Robina Human Rights Fellowship Initiative at the end of Year 3 of the grant period (on June 30, 2011). I hope that you will enjoy reviewing this information.

UPDATED FINANCIAL REPORT

Below is a report of the funds that have been expended from the Robina Human Rights Fellowship Initiative through the end of Year 3 on June 30, 2011.

<u>Actual Expenses</u>	<u>Year 1</u>	<u>Year 2</u>	<u>Year 3</u>	<u>Total Expenses (Year 1-3)</u>	<u>Variance</u>
Robina Human Rights Scholarships	\$253,000	\$254,130	\$258,300	\$765,430	\$15,430
Robina Summer Fellowships & Travel Support	\$210,486	\$206,890	\$189,862	\$607,238	\$7,238
Robina Post-Graduate Fellowships	\$18,333	\$96,776	\$155,626	\$270,735	(\$89,265)
<i>Includes salary and benefits</i>					
Robina Visiting Fellows	\$198,212	\$321,788	\$427,241	\$947,241	\$167,241
<i>Includes salary and benefits</i>					
Robina Human Rights Coordinator	\$27,899	\$29,823	\$68,900	\$126,622	(\$173,378)
<i>Includes salary and benefits</i>					
Clerical Support & Associated Expenses	\$70,000	\$70,000	\$1,985	\$141,985	(\$68,015)
Total	\$777,930	\$979,407	\$1,101,913	\$2,859,250	(\$140,750)

Explanation of Financial Report for Year 3 of the Robina Human Rights Initiative

The *Robina Human Rights JD Scholarships* include the support provided to ten JD students chosen as 2010-11 Robina Human Rights JD Scholars. The scholarships ranged in value from \$32,400 to \$16,750; the average scholarship amount provided to students was \$25,000.

The *Robina Summer Fellowships and Travel Support* includes all of the travel, living, and related expenses associated with providing summer support to 37 students working in human rights jobs throughout Africa, South America, the Middle East, Asia, Europe, and North America. The fellowships ranged from \$1,200 to \$6,904, with the average fellowship costing \$5,021.

The *Robina Post-Graduate Fellowships* include the salary and benefits for Terra Gearhart-Serna '10 JD, Jason Pielemeier '07 JD, and Aaron Zelinsky '10 JD as the 2010-11 *Robina Foundation Post-Graduate Fellows*.

The *Robina Visiting Human Rights Fellows* costs include the salary, benefits and associated expenses of Professors Alice Miller, Yitzhak Benbaji, Daniel Bonilla '00 JSD, Lucas Guttentag, and Samuel Moyn, as well as Jeffrey Kahn '10 JD as the 2010-11 *Robina Foundation Visiting Human Rights Fellows*.

The *Robina Human Rights Coordinator* expenses reflect the salary and benefits of Katy Lawder in her role as the Robina Human Rights Coordinator. Ms. Lawder began this role in late August 2010 and will continue in the position in the coming year.

The *Clerical Support and Associated Expenses* include only the direct costs of supplies associated with the Robina Initiative this year. (Please note that this is a change from previous years. In Years 1 and 2 of the grant, this line item included the costs of administrator Barbara Mianzo as well as the associated supplies and facility expenses necessitated by the Robina program.) The reason that the expenses are much lower this year than in previous years is because Robina Human Rights Coordinator Katy Lawder has taken on much of the work associated with facilitating the Robina Initiative that was previously handled by administrator Barbara Mianzo. Accordingly, we did not charge any portion of administrator Barbara Mianzo's salary to the grant this year. We hope that the Robina Foundation will be pleased with the fact that we have been able to save valuable resources in this way.

→ In light of our past discussions with the Robina Foundation, we plan to carry over the balance of \$89,263 associated with the Robina Post-Graduate Fellowships to support similar fellowships in the future. Per the permission of the Robina Foundation, we have reallocated the unexpended funds from the Robina Human Rights Coordinator and the Clerical and Associated Expenses line items to cover the increased expenses of the Robina Visiting Human Rights Fellows and other categories.

We are very grateful for the Robina Foundation's support of this impressive initiative, which is having a valuable impact on the Law School's human rights program. Please feel free to contact me with any questions that you may have. Thank you!

Best regards,

Kate Norton

ROBINA FOUNDATION

file - ArtPlace

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

May 10, 2011

Janet Thompson
Interim President and CEO
Nonprofit Finance Fund
70 West 36th Street
11th Floor
New York, NY 10018

*Approved
on May 18, 2011
Bd mtg*

Dear Ms. Thompson:

I am writing on behalf of the Robina Foundation to provide the Foundation's commitment to provide a grant in the amount of \$500,000 to support the ArtPlace Initiative. The Robina Foundation is delighted to join other leading foundations and the National Endowment for the Arts to develop and implement this groundbreaking initiative to promote arts and culture to help build living, sustainable communities.

Upon completion of the necessary paperwork in connection with the Robina Foundation's grant, we will provide our twelve month grant for the first year of the initiative. We understand that for the inaugural year of operation, the Ford Foundation has agreed to pay the administrative expenses of ArtPlace so that the Robina Foundation's \$500,000 grant will directly support ArtPlace investments in the four program areas that are the focus of the initiative.

We understand that this commitment letter will remain in effect until such time as the Robina Foundation becomes a party to an addendum to that certain Master Funding and Participation Agreement between Nonprofit Finance Fund and the funders of the ArtPlace Initiative (the "Master Agreement"). Once the Foundation has signed the Master Agreement, the terms and conditions of the Master Agreement will govern the Robina Foundation's grant to NFF.

Emily Guthman has been very helpful in providing information on the ArtPlace Initiative to enable the Robina Foundation to process this grant. Please let me know if you need more information from the Robina Foundation at this point. I look forward to working with the funders' attorneys to complete the execution of the Master Agreement and proceed with the payment of Robina's grant.

Sincerely,

Penny A. Hunt
Executive Director

Cc: Emily Guthman
Tom Crosby

*Approval of Yale Law
Proposal 08.29.11
\$3m (3 yrs)*

Email to Dean Robert Post at Yale Law School

August 29, 2011

Dear Dean Post,

At its Board Meeting last week, the Board of Directors of the Robina Foundation considered two proposals from Yale Law School aimed at improving human rights at home and worldwide: a proposal for the continuation of "The Robina Foundation Human Rights Fellowship Initiative" and a proposal for "The Development of a Center for Immigration and Migrants' Rights."

The Board has been pleased to provide four years of funding for the Human Rights Fellowship Initiative and approved annual funding of \$1 million for three additional years as outlined in your proposal. As you requested, payments will be made in May 2012, 2013 and 2014. Board Members had several comments and suggestions that may help you with the initiative, as well as with YLS's total human rights programming.

The chart mapping the various programs, fellowships, projects, events and activities that make up the whole of YLS's human rights program helped us understand the complexity of Yale's activities and where Robina's funding fits into the picture. We have been aware that Robina's visibility and recognition in connection with the human rights program are rather opaque and are not commensurate with the level of Robina funding when compared with funding from other sources. Board Members are comfortable with that and aren't seeking greater recognition. The Robina Foundation welcomes the opportunity to fund parts of the program as we are doing now. Board Members do wonder, however, if there is a way to make the overall program more coherent or to somehow "brand" the program so that it is more understandable to all.

Our sense is that the glue that makes this diverse programming work is James Silk, who because of his close relationships with students is able to help them navigate the various alternative programs. Professor Silk is clearly a wonderful asset to Yale. He would be very, very hard to replace. So we wonder if the complexity and diversity of these many programs dilutes the impact, the desired sense of community and the potential opportunity for a life-long network of human rights activists. (An example of a life-long network with staying power is the network of Peace Corps alumni.) We also wonder if more clarity about the overall organization and vision for human rights at Yale would increase the potential for YLS to seek other funders for human rights programming. Robina won't be around forever, and we would like to do what we can to assure that YLS will continue to have the resources to support young lawyers in a subject area we care about. We fear that you will miss opportunities if you don't codify in a more cohesive fashion the excellent work the school is doing. A comprehensive description of human rights activities would include aggregate funding over a specified period of time. We recognize that we may be unaware of your efforts in this regard and would appreciate learning more.

The Board also discussed funding for the Center for Immigration and Migrants' Rights.

Unfortunately, the Board decided not to fund the center. This was a hard decision, particularly because we know that you put funding the center high on your list of priorities and because we are well aware of Lucas Guttentag's important work at Yale and elsewhere. In the end, Board

Members preferred to stay focused on international human rights and the programs that are part of the Robina Foundation Human Rights Fellowship Initiative. We are hopeful that armed with the Ford Foundation commitment, you will be able to develop and implement the center and bring Lucas Guttentag to Yale full-time.

As I mentioned in an earlier email, we are trying to identify a time when Peter Karoff, Robina's "Lead Director" for Yale, and I, along with new Board Members Kathleen Blatz and Susan Berresford can visit Yale to meet with you and others at Yale to discuss Robina's current and future grants. We have proposed November 11 as a date that works for us. This visit will give our new Board Members the opportunity to put faces on the people at Yale they have heard so much about and to talk first-hand with those implementing Robina-funded initiatives. The visit would also permit us to talk further -- and perhaps more clearly -- about the comments above concerning YLS's human rights programming.

The Board made a decision concerning reporting requirements: in the future the Foundation will only require a six month grant report and an annual report, rather than quarterly reports as has been the case in the past. I suspect Kate Norton and others who work on the reports will cheer that decision! The Board also plans to visit each Robina Grantee every other year to stay in close touch with grantees. I am working on a schedule of reports and visits and will send the schedule when it is complete.

I think that's it at this point. You and others at YLS should feel free to contact me with questions or concerns. Please be aware that I will be out of the country from September 12 to September 29. I am confident that delaying follow-up conversations until I return should not cause a problem.

Warm regards,

Penny

Penny A. Hunt
Executive Director
Robina Foundation