



[Robina Foundation](#)

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*Penny's
Book*

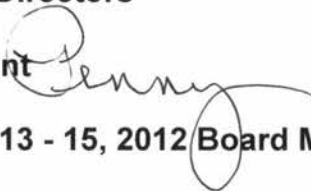
ROBINA FOUNDATION **Board Meeting**

February 13-15, 2012

Location: Santa Barbara, California

**Lodging: Four Seasons Resort The Biltmore
1260 Channel Drive, Santa Barbara, CA 93108
Phone: 805-565-8229**

ROBINA FOUNDATION

TO: Board of Directors
FROM: Penny Hunt 
RE: February 13 - 15, 2012 Board Meeting
DATE: February 1, 2012

The upcoming Board Meeting is shaping up to be another interesting meeting with a packed agenda. I guess I shouldn't be surprised!

Following are a few highlights of material in the Board Book, but I suggest that you read the Executive Director's Report at Tab 7 for background on some of the material in the book.

After we kick off the meeting with the Board's discussions with Diane Meier and Roger Warren, we'll launch into consideration of Robina's Grant Program. The agenda identifies several topics related to the Grant Program mentioned at the last Board Meeting, but there are undoubtedly others you would like to discuss. The charts at **Tab 3** should facilitate the discussion about parity and the timeframe for Robina grantmaking.

Yale School of Drama's proposal for endowment of the Center for New Theatre (**Tab 4**) is ripe for a decision by the Board, I believe. The same may be true for Yale's proposal for "Transforming Undergraduate Science Education" (**Tab 5**).

Please note that the book does not include the full proposal for the University of Minnesota Law School's "Center for Innovation in Environmental and Energy Law." That proposal was included in the Board Book for the November meeting. Nancy will also email you the proposal in case you didn't keep the November Board Book.

The session on Wednesday morning will include adoption of Robina's 2012 Operating Budget (**Tab 8**).

Finally, make sure you read the article by Steve Schroeder immediately following this memo: "Trying to Practice What I Preached: Helping my Parents at the End of Their Lives"!

See you in Santa Barbara!

Trying to Practice What I Preached: Helping my Parents at the End of Their Lives

Steven A. Schroeder, MD, University of California, San Francisco*

Date of publication

Once again, the challenge of how to constrain rising healthcare expenditures has caught the public interest, stimulated by concerns over rising federal debt and limited ability to generate tax revenues. I recently chronicled my unsuccessful efforts at stimulating medical cost containment from both academic and foundation positions (1971-2002) in the April 23, 2011 issue of the Archives of Internal Medicine. What I did not relate was how hard it was to put into practice for my own family the principles I had been espousing all those years.

Mom and dad moved to El Cerrito, California in 1954, into a small house north of Berkeley with a splendid view of the Golden Gate Bridge. Around age 80, mom slipped into the early phases of Alzheimer's Dementia. Dad made the decision to keep her home, where she remained until her death at age 91. She had home health aides, and was comfortable, although it was painful to watch her previously keen intelligence fade month by month. Before she had become ill, mom and dad had asked how to prevent falling into the patterns of aggressive care, like cancer chemotherapy for advanced disease, that had befallen several of their friends. "Easy," I replied, "your physicians were trained at the UCSF program that I headed, and they have lots of good common sense." Even so, there were problems. Mom's primary care physician was evaluated on criteria that included

The views expressed in this commentary are those of the author and not necessarily of the author's organization or of the Institute of Medicine. The commentary is intended to help inform and stimulate discussion. It has not been subjected to the review procedures of the Institute of Medicine and is not a report of the Institute of Medicine or of the National Research Council.

percentages of patients receiving Pap smears and mammograms, so mom got those every year even though she was not a surgical candidate. And then there was the painful Mohs' procedure for a facial basal cell carcinoma that was performed to prevent subsequent spread and scarring; that occurred at a time when she had stopped talking and had to be fed. I found it difficult, during my cross country visits, to persuade the devoted attendants and my father to forego those interventions. I also felt uncomfortable. Was I being callous by denying my own mother medical care that experts thought she needed? Still, mom had what we might consider a "good death" at home, under hospice care, and with small doses of morphine the last few days.

When we moved back to the Bay Area the year after mom died, I helped to manage dad's care more directly. He was adamant about not going to a nursing home, and was quite independent until age 97. But his intermittent atrial fibrillation met guideline standards for anticoagulation, and I had to persuade his very good general internist that

*Contributor to the Learning Health System Commentary Series of the IOM Roundtable on Value & Science-Driven Health Care.

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ROBINA FOUNDATION

Robina Foundation Board Meeting **February 13-15, 2012**

Monday, February 13

6:30 p.m. Board Dinner: Four Seasons Resort: Bella Vista Restaurant
Attendees: Aamoth, Berresford, Blatz, Crosby, Karoff, Schroeder, Hunt, Gilbert
Guests: Diane Meier, Roger Warren, Marty Karoff, Sally Schroeder, Wheelock Whitney

Lodging: Four Seasons Resort The Biltmore Santa Barbara
1260 Channel Drive, Santa Barbara, CA 93108
Phone: 805-565-8229

TUESDAY, February 14

8:00 a.m. Continental Breakfast in the Las Flores Room

8:00 a.m. Board Meeting begins (Las Flores Room)

12 noon Buffet Lunch just outside the Las Flores Room

6:00 p.m. Dinner: Peter and Marty Karoff's Home (1052 Camino del Retiro)
Attendees: Aamoth, Berresford, Blatz, Crosby, Karoff, Schroeder, Hunt, Gilbert
Guests: Wheelock Whitney, Sally Schroeder

Lodging: Four Seasons Resort

WEDNESDAY, February 15

8:00 a.m. Continental Breakfast in the Las Flores Room

8:00 a.m. Board Meeting begins (Las Flores Room)

12 noon Adjournment of Board Meeting

Robina Foundation Board Meeting
Tuesday, February 14, 2012, 8:00 a.m. to 4:00 p.m.
Four Seasons Resort in Santa Barbara – Las Flores Room
A G E N D A

TIME		TAB
8:00 a.m.	Welcome /Call to Order/Introductions – Crosby (Continental Breakfast in meeting room)	
8:10 a.m.	Presentation/Discussion with Diane Meier • "Palliative Care 2012: Matching Care to our Patient's Needs"	1
9:40 a.m.	Break	
10:00 a.m.	Presentation/Discussion with Roger Warren • "State Sentencing and Corrections Reform: A Judicial Perspective"	2
12 noon	Lunch (buffet provided just outside meeting room)	
12:45 p.m.	Grant Program: Topics for Discussion - Hunt • Parity among Robina Grantees • Impact beyond Robina Grantees • 10 vs 15 Year Timeframe • Others ?	3
1:30 p.m.	Major Multi-Year Grants - Hunt • Proposal: Yale School of Drama – Center for New Theatre - Action • Updates ➢ Abbott Late Life Supportive Care Initiative ➢ Abbott Care Guide Program ➢ U of M Law School Institute of Criminal Law and Justice ➢ Yale Law School Human Rights Fellowship Initiative (Navy Folder in Back of Book)	4
2:30 p.m.	Discretionary Grants – Hunt – Action • Proposals ➢ CFR - Diversity Initiative ➢ Yale – Transforming Undergraduate Science Education ➢ U of M Law School – Center for Innovation in Environmental and Energy Law • Funding Options ➢ U of M Law School	5
4:00 p.m.	Adjournment	

Robina Foundation Board Meeting
Wednesday, February 15, 2012, 8:00 a.m. to 12 noon
Four Seasons Resort – Las Flores Room
A G E N D A

TIME		TAB
8:00 a.m.	Welcome and Call to Order – Crosby (Continental Breakfast in Meeting Room)	
8:10 a.m.	Minutes of November 15, 2011 Board Meeting – Schroeder – Action	6
8:20 a.m.	Executive Director's Report – Hunt	7
8:30 a.m.	Treasurer's Report – Crosby • Assets and Grants • Assets Detail • Reports ➤ US Bank: Checking and Investment Accounts ➤ JP Morgan: Current Residuary Assets ➤ Quarterly Financial Report from Mike Sullivan ➤ Yearend "Preliminary" Report from CBIZ (In Back of Book) • Excise Tax - Hunt • 2012 Operating Budget – Hunt - Action Legal Report – Crosby • Status of IRS Settlement	8
9:00 a.m.	Six-Month Grant Reports - Hunt • CFR – IIGG Phase I • Yale School of Drama – Center for New Theatre	9
10:00 a.m.	Other Business • Future Board Meeting Dates	10
	Adjournment	

1	DIANE MEIER PRESENTATION
2	ROGER WARREN PRESENTATION
3	GRANT PROGRAM: TOPICS FOR DISCUSSION
4	MAJOR MULTI-YEAR GRANTS
5	DISCRETIONARY GRANTS
6	MINUTES November 15, 2011
7	EXECUTIVE DIRECTOR'S REPORT
8	TREASURER'S/LEGAL REPORTS
9	SIX-MONTH GRANT REPORTS
10	OTHER BUSINESS



Fit preparation for mtg into preparing a proposal for CMNI (Center for Medicine & Medical Innovation Center)

Diane E. Meier, MD, FACP

Director, Center to Advance Palliative Care

Vice Chair for Public Policy, Hertzberg Palliative Care Institute, Mount Sinai School of Medicine

Professor, Geriatrics and Internal Medicine, Mount Sinai School of Medicine

Biography

Dr. Diane E. Meier is Director of the Center to Advance Palliative Care (CAPC), a national organization devoted to increasing the number and quality of palliative care programs in the United States. Under her leadership the number of palliative care programs in U.S. hospitals has more than doubled in the last 5 years. She is also the Vice Chair for Public Policy at the Lilian and Benjamin Hertzberg Palliative Care Institute where she previously served as Director for twelve years; Professor of Geriatrics and Internal Medicine; and Catherine Gaisman Professor of Medical Ethics at Mount Sinai School of Medicine in New York City.

Dr. Meier is the recipient of numerous awards, including the National Institute on Aging Academic Career Leadership Award, the Open Society Institute Faculty Scholar's Award of the Project on Death in America, the Alexander Richman Commemorative Award for Humanism in Medicine, the Founders Award of the National Hospice and Palliative Care Organization 2007, AARP's 50th Anniversary Social Impact Award 2008, Gold Humanism Honor Society National Honoree 2008, Castle Connolly's Physician of the Year Award 2009, the American Academy of Hospice and Palliative Medicine Lifetime Achievement Award 2009, and the HealthLeaders HL20 for 2010. She is the recipient of a five-year NIA Academic Career Leadership Award, and she is Principal Investigator of an NCI-funded five-year multisite study on the outcomes of hospital palliative care services in cancer patients. Dr. Meier is also a recipient of the 2008 MacArthur Fellowship—a \$500,000, no-strings-attached grant for individuals who have shown exceptional creativity in their work and the promise to do more. As a 2009-2010 Health and Aging Policy Fellow, Dr. Meier worked with the Senate HELP committee and the U.S. Department of Health and Human Services.

includes a long list of awards. incl. as Dr. and not just MacArthur Genius Award

Dr. Meier has published extensively in all major peer-reviewed medical journals, including the *New England Journal of Medicine* and the *Journal of the American Medical Association*. She edited the first textbook on geriatric palliative care, four editions of *Geriatric Medicine* and most recently *Palliative Care: Transforming the Care of Serious Illness*. She has contributed to more than 20 books on the subject of geriatrics and palliative care. As one of the leading figures in the field of palliative medicine, Dr. Meier has appeared numerous times on television and in print, including *ABC World News Tonight*, *Open Mind* with Richard Hefner, the *New York Times*, the *Los Angeles Times*, *USA Today*, the *New York Daily News*, *Newsday*, the *New Yorker*, *AARP*, and *Newsweek*. She figured prominently in the Bill Moyers series *On Our Own Terms: Dying in America*, a four-part documentary aired on PBS.

Diane E. Meier received her BA from Oberlin College and her MD from Northwestern University Medical School. She completed her residency and fellowship training at Oregon Health Sciences University in Portland. She has been on the faculty of the Brookdale Department of Geriatrics and Palliative Medicine and Department of Medicine at Mount Sinai since 1983. She lives in New York City.

Books:

- Hughes RG, Isaacs SL, Meier DE, (eds). *Palliative Care: Transforming the Care of Serious Illness*. Wiley/Jossey-Bass: March 2010. ISBN: 9780470527177
- Cassel CK, Leipzig RM, Cohen HJ, Larson EB, Meier DE, (eds). *Geriatric Medicine*. 4th ed. New York: Oxford University Press, 2003. ISBN 0387955143
- Cassel CK, Leipzig RM, Cohen HJ, Larson EB, Meier DE, eds. *Geriatric Medicine: An Evidence-Based Approach*. 4th ed. New York: Springer-Verlag, 2003. ISBN 0387955143
- Morrison RS, Meier DE (eds). *Geriatric Palliative Care*. New York: Oxford University Press, 2003. ISBN 0195141911

Selected Publications:

- Meier DE, Lim B, Carlson MD. Raising the standard: palliative care in nursing homes. *Health Aff (Millwood)*. 2010 Jan-Feb;29(1):136-40. PMID 20048372
- ✱ ■ Meier DE, Casarett DJ, von Gunten CF, Smith WJ, Storey CP. Palliative Medicine: Politics and Policy. *J Palliat Med*. 2009 Dec 31. PMID 20043709
- Adler ED, Goldfinger JZ, Kalman J, Park ME, Meier DE. Palliative care in the treatment of advanced heart failure. *Circulation*. 2009 Dec 22;120(25):2597-606. Review. PMID 20026792
- Meier DE, Morrison RS. Palliative Care. *New England Journal of Medicine*. 2004 (June)
- Meier DE, Thar W, Jordan A, Goldhirsch SL, Siu A, Morrison RS. Integrating case management and palliative care. *J Pall Med*. 2004; Feb. 7(1):119-134
- (■ Meier DE. When pain and suffering do not require a prognosis: Working toward meaningful hospital-hospice partnership. *J Pall Med*. 2003; 6:109-115
- Meier DE, Morrison RS. Autonomy reconsidered. *N Engl J Med* 2002 Apr 4;346(14):1087-1089
- Meier DE. United States: Overview of cancer pain and palliative care. *J Pain Symptom Manage* 2002 Aug;24(2):265-269.
- Meier DE. Palliative care programs: what, why, and how?. *Physician Exec* 2001 Dec;27(6):43-47
- Meier D, Ahronheim JC, Morris J, Baskin-Lyons S, Morrison R. High short-term mortality in hospitalized patients with advanced dementia: lack of benefit of tube feeding. *Arch Intern Med* 2001 Feb 26;161(4):594-9
- Meier DE, Back AL, Morrison RS. The inner life of physicians and care of the seriously ill. *JAMA* 2001 Dec 19;286(23):3007-3014
- Nierman DM, Schechter CB, Cannon LM, Meier DE. Outcome prediction model for very elderly critically ill patients. *Crit Care Med* 2001 Oct;29(10):1853-1859
- Carney MT, Meier DE. Palliative care and end-of-life issues. *Anesthesiol Clin North America* 2000 Mar;18(1):183-209
- Morrison R, Siu A, Leipzig R, Cassel C, Meier D. The hard task of improving the quality of care at the end of life. *Arch Intern Med* 2000 Mar 27;160(6):743-7
- Manfredi PL, Morrison R, Morris J, Goldhirsch S, Carter J, Meier D. Palliative care consultations: how do they impact the care of hospitalized patients?. *J Pain Symptom Manage* 2000 Sep;20(3):166-73
- Meier DE, Lim B, Carlson MD. Raising the standard: palliative care in nursing homes. *Health Aff (Millwood)*. 2010 Jan-Feb;29(1):136-40. PMID 20048372
- Meier DE, Casarett DJ, von Gunten CF, Smith WJ, Storey CP. Palliative Medicine: Politics and Policy. *J Palliat Med*. 2009 Dec 31. PMID 20043709
- Weissman DE, Meier DE. Operational features for hospital palliative care programs: consensus recommendations. *J Palliat Med*. 2008 Nov;11(9):1189-94. PMID 19021479

- Ferrell B, Connor SR, Cordes A, Dahlin CM, Fine PG, Hutton N, Leenay M, Lentz J, Lund-Person J, Meier DE, Zuroski K. The national agenda for quality palliative care: The National Consensus Project and the National Quality Forum. *J Pain Symptom Manage* 2007;33:737-744.
- Morrison RS, Meier DE, Fischberg D, Moore C, Degenholtz H, Litke A, Maroney-Galin C, Siu AL. Improving the management of pain in hospitalized adults. *Arch Intern Med*. 2006;166:1033-1039.
- Meier DE. Palliative care as a quality improvement strategy for advanced, chronic illness. *J Healthcare Quality* 2005;27: 33-39.
- Nelson JE, Meier DE, Litke A, Natale DA, Siegel RE, Morrison RS. The symptom burden of chronic critical illness. *Crit Care Med* 2004;32:1527-1534

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abbott*

ROBINA FOUNDATION

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March 1, 2012

Diane E. Meier
315 Riverside Drive, Apt. 13A
New York, NY 10025-4100

Dear Diane,

First and foremost, thank you very much for participating in the Robina Foundation Board of Directors' meeting in California. Your presentation was perfect: factual, thought-provoking, inspirational, challenging and helpful. You provided much-needed context for the initiative the Foundation is funding at Abbott Northwestern Hospital in Minneapolis. We are even more excited about the potential of the initiative to provide a model for palliative care in a community health care system.

Enclosed please find Robina's honorarium for your work. Once we receive your expense report we will reimburse you for the expenses you incurred in connection with your trip to California.

The Robina Board and I wish you well with your own initiatives and your efforts to improve the quality of palliative care across the country. If you have occasion to travel to Minnesota, we would love to arrange a visit with the leaders of the Abbott Northwestern Hospital initiative.

Warm regards,

Penny Hunt
Executive Director

Enclosure

ROGER K. WARREN

Judge Roger K. Warren is the President Emeritus of the National Center for State Courts (NCSC). He served as President of the NCSC from 1996 until 2004. He currently serves as Director of the NCSC's national sentencing reform project and as a principal consultant to the NCSC and Pew Charitable Trusts' Public Safety Performance Project. He also serves as Scholar-in-Residence at the Judicial Council of California where he coordinates the California Administrative Office of the Courts' implementation of evidence-based practices to reduce offender recidivism.

Judge Warren is the author of several works on evidence-based sentencing and probation reform, including *Evidence-Based Sentencing: the Application of Principles of Evidence-Based Practice to State Sentencing Practice and Policy*; *The Most Promising Way Forward: Incorporating Evidence-Based Practice into State Sentencing and Corrections Policies*; *Arming the Courts with Research: 10 Evidence-Based Sentencing Initiatives to Control Crime and Reduce Costs*; *Probation Reform in California: Senate Bill 678*; and *Evidence-Based Sentencing: Are We Up To The Task?* He is the principal author of the NCSC model judicial education curriculum on evidence-based sentencing, co-author of the NCSC's *Using Risk and Needs Assessment Information at Sentencing*, and has conducted evidence-based practice training programs for judges and other criminal justice agencies in over 25 states and for the American Judges Association, National Association of Sentencing Commissions, National Governors Association, National Conference of State Legislatures, American Probation and Parole Association, and many other organizations.

Previously, Judge Warren served as a trial judge in Sacramento, California for twenty years, serving as the Presiding Judge of the Superior Court in 1991 and 1992. He created Sacramento's pre-trial release program, and was the Founder and First Chair of the Sacramento Probation Oversight Committee, the Sacramento Intermediate Punishments Committee, and the Sacramento Criminal Justice Cabinet. He also served on the National Advisory Board to the National Institute of Corrections Project on Facilitating the Use of Intermediate Sanctions. As Presiding Judge of the Sacramento Juvenile Court, Judge Warren founded Sacramento's Multi-Disciplinary Child Interview Center, Sacramento Court Appointed Special Advocates (CASA), and Sacramento Child Advocates, Inc., the non-profit professional corporation responsible for providing legal representation to minors in all Sacramento abuse and neglect proceedings.

Judge Warren was appointed by the Chief Justice of California to serve as the judicial branch representative on the California Constitution Revision Commission and as a member of the California Judicial Council where he chaired the Council's Planning Committee and was the Founding Chair of the statewide Trial Court Presiding Judges Committee.

He is the recipient of numerous awards including from the American Judges Association, National Judicial College, Justice Management Institute, National Conference of Court Public Information Officers, and National Association of State Judicial Educators. During his tenure with the California courts, Judge Warren received the California Jurist of the Year award in 1995, and Sacramento Judge of the Year awards in the years 1987, 1993 and 1994.

Upon his retirement from the Sacramento courts, Sacramento juvenile justice agencies created the "Judge Roger K. Warren Unity Award," which is presented annually in his honor to recognize outstanding efforts to promote collaboration among the public and private agencies serving children in Sacramento.

Prior to his appointment to the bench, Judge Warren was the Executive Director of Northern California Legal Services. He graduated from Williams College and following a Fulbright Fellowship to Iran received a MA Degree in Political Science and JD degree from the University of Chicago where he served as an editor of the University of Chicago Law Review.



EXECUTIVE SUMMARY

National crime rates skyrocketed during the 1970s, and efforts to control crime through well-intentioned offender-treatment programs appeared to be patently ineffective. As a result, new state sentencing policies were enacted—policies which eschewed any effort to get offenders to accept responsibility for their own behaviors and sought to control crime by locking up many more offenders for longer periods of time. Those policies, still in effect in most states today, have resulted in overcrowded prisons, the highest incarceration rates in the world, skyrocketing corrections costs, and extreme racial and ethnic disparities. Although initially effective in locking up serious and dangerous offenders, overreliance on incarceration is today of limited and diminishing effectiveness as a crime-control strategy. Offender recidivism rates have increased. Three quarters of state prison commitments are for nonviolent offenses, resulting in overcrowded prisons and shorter prison terms for more dangerous offenders. We over-incarcerate some offenders, and under-incarcerate others.

Most important, unlike 30 years ago, there is today an enormous body of sophisticated research proving that unlike incarceration, which actually increases offender recidivism, properly designed and operated recidivism-reduction programs can significantly reduce offender recidivism. Such programs are more effective, and more cost-effective, than incarceration in reducing crime rates.

In this article we review this body of research about “what works” and the principles of Evidence-Based Practice (EBP) to reduce recidivism, which are based on that research. These principles identify the key characteristics of successful recidivism-reduction programs. The first three principles answer the questions of “who” to target for such programs, “what” to target, and “how” to target:

1. The Risk Principle (who)—moderate- to high-risk offenders
2. The Need Principle (what)—identification and treatment of the offender’s “criminogenic” needs, i.e., those needs associated with the likelihood of recidivism
3. The Treatment and Responsivity Principles (how)—effective interventions, which are cognitive-behavioral; emphasize positive reinforcements and certain and immediate negative consequences; are appropriate to the offender’s gender, culture, learning style, and stage-of-change readiness; are based on a chronic-care model requiring continuity, aftercare, and support; and require continuous



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Arming the Courts with Research:

10 Evidence-Based Sentencing Initiatives to Control Crime and Reduce Costs



THE
PEW
CENTER ON THE STATES

Public Safety Policy Brief

No. 8 | May 2009



Introduction

Over one million felony offenders are sentenced in state courts annually, accounting for 94 percent of all felony convictions in the United States.¹ Sixty to 80 percent of state felony defendants are placed on probation, fined or jailed in their local communities.² Although the United States has the highest incarceration rate in the world, there are nearly three times more offenders on probation than in state prisons.³ Recidivism rates among these felony defendants are at unprecedented levels.⁴ Almost 60 percent have been previously convicted and more than 40 percent of those on probation fail to complete probation successfully.⁵ The high recidivism rate among felons on probation pushes up state crime rates and is one of the principal contributors to our extraordinarily high incarceration rates. High recidivism rates also contribute to the rapidly escalating cost of state corrections, the second fastest growing expenditure item in state budgets over the past 20 years.⁶

For many years, conventional wisdom has been that “nothing works” to change offender behavior—that once an offender has turned to crime little can be done to help turn his or her life around. Today, however, there is a voluminous body of solid research showing that certain “evidence-based” sentencing and corrections practices do work and can reduce crime rates as effectively as prisons at much lower cost.⁷ A comprehensive study by the Washington legislature, for example, showed that greater use of these evidence-based practices would reduce Washington’s crime rate by 8 percent while saving taxpayers over \$2 billion in additional prison construction.⁸ As the United States faces the prospect of its deepest and longest recession since the Great Depression, we cannot afford to ignore the opportunity to reduce offender recidivism and resulting high crime rates through use of these cost-effective evidence-based practices. 🏛️



The Pew Charitable Trusts
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Washington, DC 20004
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ABOUT THIS BRIEF

The 10 strategies outlined in this brief are adapted from a longer paper by Roger Warren that was originally published in a special 2007 issue of the *Indiana Law Journal*, entitled "Evidence-Based Practices and State Sentencing Policy: Ten Policy Initiatives to Reduce Recidivism."

If implemented, the 10 strategies would allow states to reduce their crime rates while conserving state resources to meet other important needs.

ABOUT THE AUTHOR

This document was written for the Pew Center on the States' Public Safety Performance Project by Roger K. Warren, president emeritus of the National Center for State Courts (NCSC). Judge Warren served for twenty years on the Superior Court in Sacramento, California, and then for over eight years as president of the NCSC in Williamsburg, Virginia. Today, he is scholar-in-residence with the Judicial Council of California while continuing to act as a principal consultant to the NCSC, a partner organization in the Public Safety Performance Project.

ABOUT THE PROJECT

In 2006, the Pew Center on the States launched the Public Safety Performance Project to help states advance fiscally sound, data-driven policies and practices in sentencing and corrections that protect public safety, hold offenders accountable and control corrections costs.

The Pew Charitable Trusts applies the power of knowledge to solve today's most challenging problems. The Pew Center on the States identifies and advances effective policy approaches to critical issues facing states.

1. Establish Recidivism Reduction as an Explicit Sentencing Goal

Promoting the reduction of recidivism should be an explicit goal of state sentencing policy. Indeed, the failure of mainstream sentencing policies to address offender drug abuse and addiction, mental illness, domestic violence, and low-level "quality-of-life" crime has motivated many state judges, prosecutors, and corrections officials to establish specialized "problem-solving" courts over the past 20 years to reduce recidivism. Legislative and executive branch policy makers and sentencing commissions should include recidivism reduction as a clearly stated purpose of state sentencing policy. State judiciaries should follow the lead of the Oregon Judicial Conference in requiring sentencing judges to consider the likely impact of potential sentences on reducing future criminal conduct.

The goal of recidivism reduction is to reduce crime, not just to rehabilitate offenders. It includes both effective treatment services—programs proven to reduce reoffending—and swift and effective use of graduated sanctions. It highlights the importance of holding offenders more strictly accountable than we do now for compliance with court orders and conditions of supervision. It is not "soft" on crime. It is not an alternative to punishment. Every offender deserves to be fairly punished. At the same time, every sentence should also seek to reduce the risk of the offender's re-offense and further victimizations.

2. Provide Sufficient Flexibility to Consider Recidivism Reduction Options

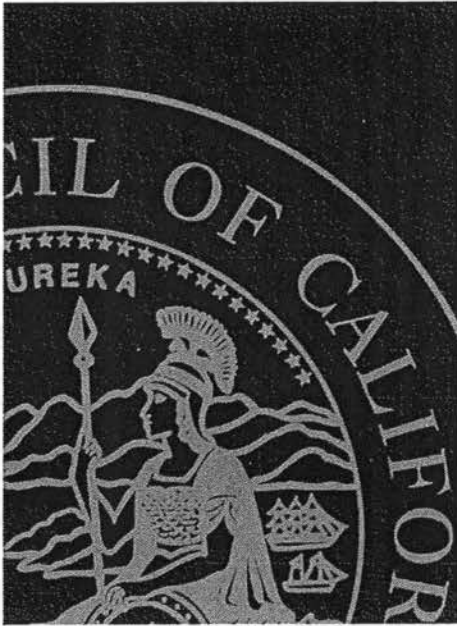
State sentencing statutes, rules, and guidelines should provide sufficient flexibility so that sentencing judges can craft orders designed to reduce the risk of recidivism in appropriate cases, and should avoid overly broad, strict, or arbitrary sentencing mandates that interfere with more appropriate sentencing options. Principal examples of interfering mandates are provisions that prohibit judges from granting probation, require disproportionately long periods of incarceration, or set mandatory minimum terms of imprisonment where neither the seriousness of the particular offense nor the risk factors presented by the particular offender warrant such restrictions.

The research indicates that whether a particular offender is an appropriate candidate for recidivism reduction cannot accurately be assessed relying solely on the type of offense committed and the offender's prior criminal history. Individual offender characteristics must also be taken into consideration. This means shorter or probationary sentences for some offenders, and perhaps longer prison terms for others.



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SB678 Year 1 Report

Implementation of the California Community Corrections
Performance Incentive Act

June 8, 2011

Community Corrections Program
455 Golden Gate Ave
San Francisco, CA 94102
communitycorrections@jud.ca.gov
415-865-7850



ADMINISTRATIVE OFFICE
OF THE COURTS

Introduction

SB 678 was enacted in 2009 to support more successful probation supervision practices for felony offenders. The legislation established a system of performance-based funding for county probation departments to implement and maintain evidence-based practices in adult felony probation supervision. The 2009-10 Budget Act appropriated \$45 million from federal Edward Byrne Memorial Justice Assistance Grant program funding provided through the American Recovery and Reinvestment Act (ARRA) of 2009 for county probation departments to use as seed money to implement SB 678. Overall, SB 678 is structured to save state General Fund monies while reducing criminal behavior and alleviating state prison overcrowding.

This report examines the first year of implementation of SB 678. It includes data regarding the success of county probation departments in supervising adult felony probationers, examines corresponding crime rates for the year, and describes the use of ARRA funds by probation departments as well as the role of the Community Corrections Program of the Administrative Office of the Courts.

SB 678

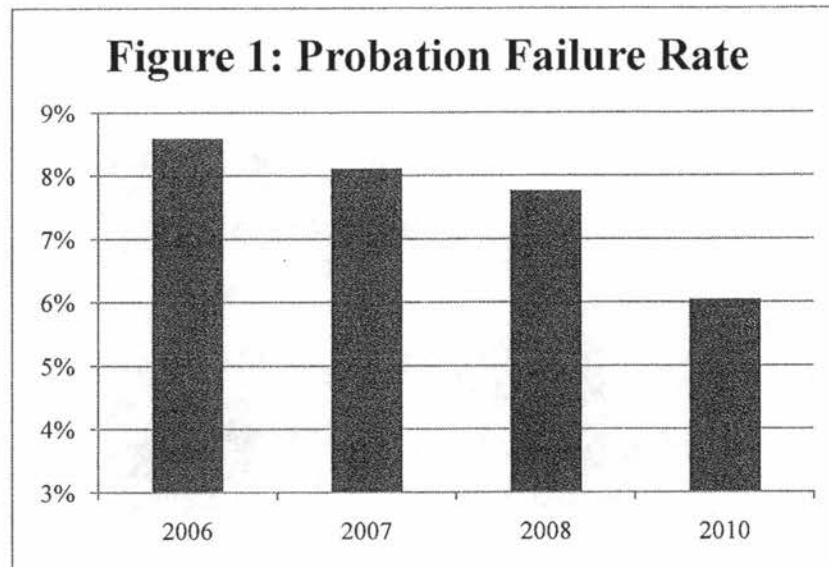
How SB 678 Works

At the end of every calendar year, beginning December 2010, the Department of Finance (DOF) determines statewide and county specific probation failure rates. A probation failure rate is measured by the number of revocations to state prison divided by the adult felony probation population. DOF compares the current probation failure rate in each county to its baseline failure rate, determined by a weighted average of the failure rate from calendar years 2006-08. Counties whose probation failure rates have dropped from the baseline years are eligible for a performance incentive grant.

DOF calculates the dollar amounts of performance incentive grants by multiplying the number of felony probationers diverted from prison by a percentage of the state's marginal cost to incarcerate and supervise a revoked probationer on parole (approximately \$36,000 per person). Counties with failure rates that are more than 50% below the statewide average are also eligible for a high performance grant. Counties that are eligible for both must choose to receive either a performance incentive grant or a high performance grant.

2010 Results

6,182 fewer adult felony probationers were sent to state prison in calendar year 2010 compared to the baseline years of 2006-08. The rate of probation failure declined to 6.1% from 7.9% in the baseline period, a 23% reduction (Figure 1).¹



Note: Data on 2009 probation failures are not available. SB 678 requires collection of baseline data from 2006-2008 and ongoing data beginning in 2010.

47 of California's 58 counties saw a reduction of probation failures to state prison both in terms of absolute numbers and as a rate of their adult felony probation population, with 88% of the statewide reduction coming from the state's 15 largest counties. Fourteen counties qualified for high performance grants because their probation failure rates were lower than 3.0%, or less than 50% of the statewide average.

During this time period the statewide adult felony probation population remained relatively stable at approximately 330,000.

2010 State Savings and Funding to County Probation Departments

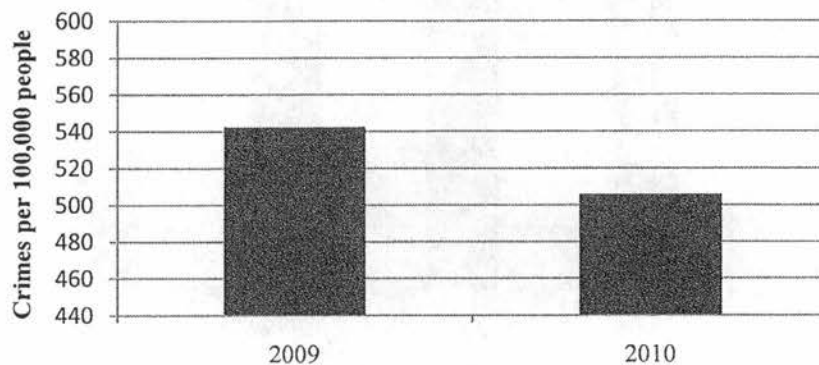
The success of county probation departments in implementing SB 678 resulted in a savings to the state of \$179 million. Of this amount, \$87.5 million is included in the Governor's May Revision to be shared with counties that either reduced their probation failure rates compared to the 2006-2008 baselines or whose prison commitment rates were more than 50% below the state's average probation failure rate.

¹ Of the 6.1% of probationers sent to state prison, 1.1% were sent for a new crime while 5% were sent for a violation of probation. (This breakout is based upon Quarters 3 and 4 of 2010. Comparable data were not available for the baseline period or for Quarters 1 and 2 of 2010.)

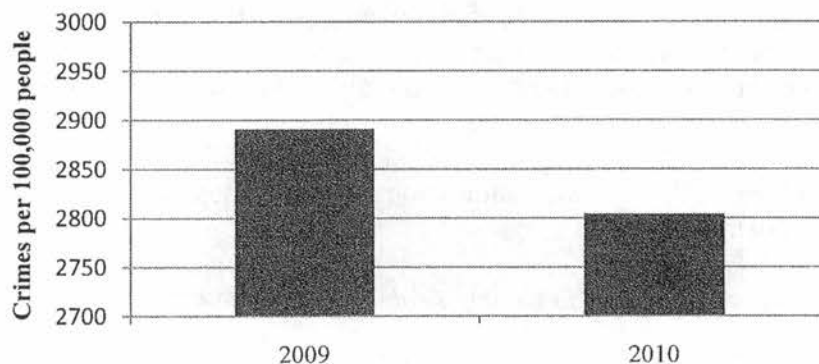
National and California Crime Trends

The results in the first year of implementation of SB 678 coincide with systemic downward trends in crime nationally and statewide. Compared to 2009, California's 2010 arrests for violent and property crime in urban areas declined 7% and 3% respectively (Figure 2a and b).² This is in line with a 6% reduction in violent crimes and a 3% reduction in property crimes at the national level over the same period. Both California and national crimes rates have been steadily declining approximately 5% per year since the mid-1990s.³

**Figure 2a: California
Violent Crime Rate, 2009-2010**



**Figure 2b: California Property
Crime Rate, 2009-2010**



² Crime rates are from the FBI's Uniform Crime Reports and based on urban areas only. Full-state FBI crime rates for 2010 will be available in 2012. The California Attorney General published 2010 preliminary California crime rate data on May 24, and reported a 6.6% drop in violent crime, and 2.2% drop in property crime. The report is available at: http://oag.ca.gov/news/press_release?id=2091.

³ FBI Uniform Crime Reports.

Probation Use of American Recovery and Reinvestment Act (ARRA) Funding to Implement Evidence-Based Practices

The Budget Act of 2009 provided a \$45 million appropriation of federal Edward Byrne Memorial Justice Assistance Grant program funding provided through the American Recovery and Reinvestment Act (ARRA) of 2009 to be distributed over three years to all 58 California adult probation departments. These funds were allocated by the Legislature in order to provide seed money to counties as they began their efforts to implement SB 678. Like SB 678 funds, the ARRA funding was to be used to effectively supervise adult felony probationers using evidence-based practices, thereby reducing the number of felony probationers sent to state prison.

As defined in SB 678, evidence-based practices (EBP) refer to supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among individuals under probation, parole, or post-release supervision. The Administrative Office of the Courts reviewed probation department grant applications to determine how these ARRA funds were to be spent. The following are some of those findings:

- One of the main objectives of the federal ARRA funding was workforce reinvestment and retention. 84% of probation departments expended at least some of their funding on personnel. This money was often earmarked to support probation officers to run specialized evidence-based caseloads, or to allow the department to restructure its caseloads to better focus on high-risk probationers.
- 95% of departments planned to implement a risk and needs assessment instrument, up from 40% in 2009.
- 79% of departments planned to offer training to their probation officers in areas such as motivational interviewing, cognitive behavioral therapy, and case planning.
- 74% of departments planned to offer increased rehabilitation services to probationers, including cognitive behavioral therapy, substance abuse treatment, and employment services.

Role of the Administrative Office of the Courts

The Community Corrections Program was established by the Administrative Office of the Courts (AOC) in January 2010 to manage court-related initiatives designed to promote public safety by reducing recidivism among adult felony probationers and parolees. The program focuses on projects in which the California judicial branch collaborates with other branches of government and justice partners to improve public safety. Central to the program's mission is the promotion of the principles of evidence-based practice in community corrections.

Pursuant to SB 678, the AOC is charged with working collaboratively with county probation departments, the California Department of Corrections and Rehabilitation (CDCR), and the Department of Finance (DOF) to ensure the accuracy and reliability of the data used to determine the funding for county probation departments. To carry out this charge, the AOC has pursued multiple efforts including developing uniform data definitions throughout the state, working

closely with county probation departments to ensure the quality of the underlying data, matching records of probation departments to those of CDCR, and developing systems to collect, report, and communicate information about the work of probation departments in reducing their reliance on state prison.

The AOC is also charged with providing reports to the Legislature that evaluate SB 678 and make recommendations regarding the legislation. The first report is due 18 months after the first SB 678 payments are made to counties. In anticipation of that report, the Community Corrections Program has developed and validated a survey of programs, practices, and policies that will be used to assess each county probation department's progress toward becoming evidence-based.

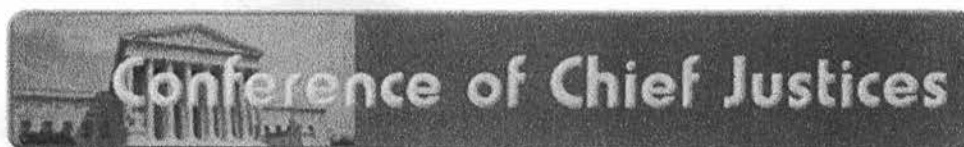
The Community Corrections Program also launched a state-wide judicial education and training program on SB 678 and evidence-based practices. Using outside grant funding, three regional trainings throughout the state brought Presiding Judges and Chief Probation Officers together to learn about EBP and discuss county-specific implementation plans. As a follow-up to these trainings, the AOC developed several curricula on SB 678 and evidence-based practices that are now being presented to judges throughout the state at the request of local trial courts. SB 678 requires the Judicial Council to consider the adoption of modifications to the Criminal Rules of Court and other judicial branch policies, procedures, and programs to support the implementation of SB 678. This work is being spearheaded by the Judicial Council's Criminal Law Advisory Committee in collaboration with the Community Corrections Program.

Conclusion

In its May Revision, the Department of Finance stated: "As such, it is fair to say that SB 678, and specifically the efforts underway within California's probation departments to stem the flow of felony probationers coming into state prison is having a positive impact on the state's prison population."

In 2010 California probation departments successfully diverted over 6,000 offenders from going to state prison without any apparent adverse impact on California crime rates. As part of the report that will be provided to the Legislature 18 months after the first funding is made available, the AOC's Community Corrections Program will report on the crime rates of the adult felony probation population.

The Governor's Public Safety Realignment provides an opportunity for counties to build upon the success of SB 678. If the proposal is funded and goes into effect, changes to the SB 678 incentive formula will be necessary. Because certain offenders will no longer be subject to revocation to state prison, the formula now used to determine county success rates must be changed in order to accurately capture the continuing impact of probation department efforts to decrease recidivism and increase public safety.

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Policy Statements & Resolutions

Resolution 7

In Support of the Guiding Principles on Using Risk and Needs Assessment Information in the Sentencing Process

WHEREAS, the Conference of Chief Justices and the Conference of State Court Administrators adopted a resolution in 2007 in support of sentencing practices that promote public safety and reduce recidivism; and

WHEREAS, research has demonstrated that the use of validated and reliable offender risk and needs assessment information to inform supervision and treatment decisions is a critical component of effective strategies to reduce recidivism; and

WHEREAS, the National Center for State Courts, with funding from the Pew Public Safety Performance Project and the State Justice Institute, established a National Working Group to develop guidance for courts in using risk and needs assessment information to inform the sentencing process; and

WHEREAS, the National Working Group was led by the Honorable Sue Bell Cobb, Chief Justice of Alabama and the Honorable Gerald A. Marroney, State Court Administrator of Colorado, and included representatives from the criminal justice system involved in the sentencing process; and

WHEREAS, the National Working Group has produced a report, *Using Offender Risk and Needs Assessment Information at Sentencing: Guidance for Courts from a National Working Group*, describing a set of guiding principles, informed by research and practice, to help courts incorporate risk and needs assessment information into the sentencing process;

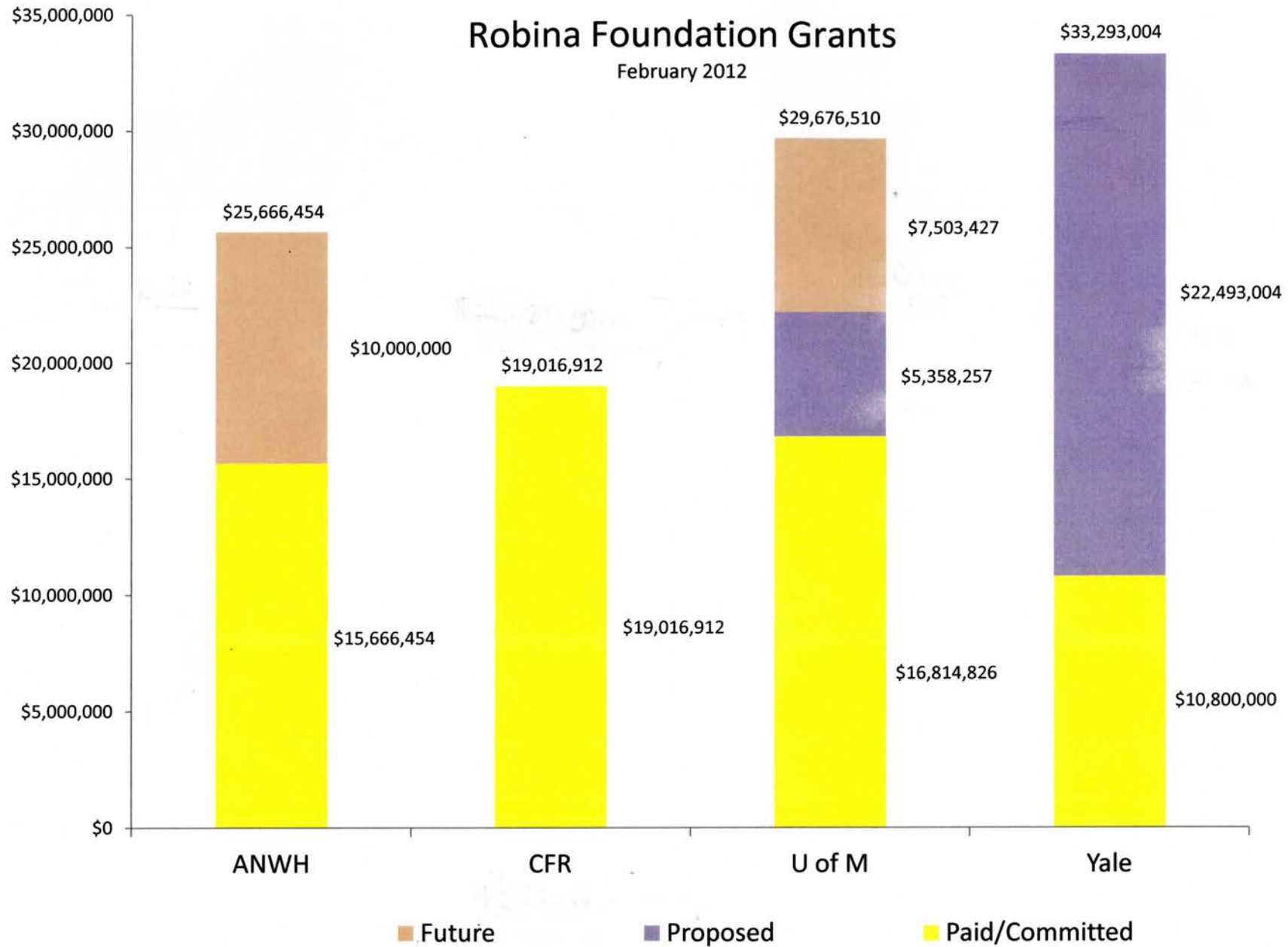
NOW, THEREFORE, BE IT RESOLVED that the Conference of Chief Justices and the Conference of State Court Administrators:

- Support the National Working Group's recommendation that offender risk and needs assessment information be available to inform judicial decisions regarding effective management and reduction of the risk of offender recidivism; and
- Endorse the guiding principles described in the National Working Group's report as a valuable tool for state courts in crafting policies and practices to incorporate offender risk and needs assessment information in the sentencing process; and
- Encourage state and local courts to review the guiding principles and work with their justice system partners to incorporate risk and needs assessment information into the sentencing process.

Adopted as proposed by CCJ/COSCA Criminal Justice Committee at the 2011 Annual Meeting on August 3, 2011.

Robina Foundation Grants

February 2012



	ROBINA FOUNDATION GRANTS														
	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	TOTAL
ANWH															
Care Guides	1,253,535	2,373,233	2,373,232												6,000,000
Late Life Supportive Care Phase I					2,356,696	4,245,492	3,064,266								9,666,454
Late Life Supportive Care Phase II								3,800,000	4,100,000	2,100,000					10,000,000
CFR															
IIGG	2,000,000	2,000,000	2,000,000	2,000,000											8,000,000
IIGG Phase II					2,046,627	2,034,671	2,034,971	2,074,424	2,114,664						10,305,357
Online Video Project				419,750	276,805										696,555
Diversity Scan				15,000											15,000
U of M															
LaPPS	1,400,000	1,436,750	1,480,338	2,850,854	893,457										8,061,399
Institute of Criminal Law & Justice					847,190	1,494,134	1,750,900	1,771,752	1,639,451						7,503,427
Institute of Criminal Law & Justice Scholarships										847,190	1,494,134	1,750,900	1,771,752	1,639,451	7,503,427
Innovation in Environmental and Energy Law					250,000	250,000	250,000	250,000	250,000						1,250,000
					662,970	1,018,109	1,177,472	1,268,747	1,230,959						5,358,257
YALE															
YSD															
CNT	750,000	750,000	1,350,000	950,000											3,800,000
CNT Endowment					17,500,000										17,500,000
YLS															
Human Rights	1,000,000	1,000,000	1,000,000	1,000,000											4,000,000
Human Rights II					1,000,000	1,000,000	1,000,000								3,000,000
Yale University															
Transforming Science Teaching					1,244,096	908,907	930,355	946,505	963,141						4,993,004
TOTALS	6,403,535	7,559,983	8,203,570	7,235,604	27,077,841	10,951,313	10,207,964	10,111,428	10,298,215	2,947,190	1,494,134	1,750,900	1,771,752	1,639,451	107,652,880
*Estimated Annual Distributions (15 yr)				9,000,000	11,536,000	11,631,000	11,838,000	12,201,000	13,969,000	14,500,000	14,926,000	15,209,000	15,466,000	15,656,000	
*Yearend Fund Balance (15 yr)				131,000,000	126,606,000	121,918,000	116,887,000	111,376,000	103,954,000	95,736,000	86,693,000	76,866,000	66,196,000	54,644,000	
*Per USbank's figures from August 2011															
					Grants Paid/Committed		Grants Proposed		Possible Future Requests per Grantee				BOD Mtg Feb 2012		

ROBINA FOUNDATION

TO: Board of Directors
FROM: Penny Hunt
RE: Yale School of Drama Endowment Proposal
DATE: February 14, 2012

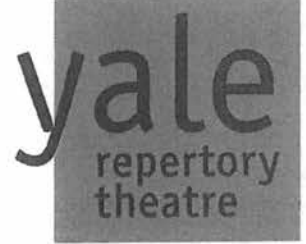
I have worked with Yale School of Drama and others to secure responses to questions about the endowment proposal asked by Board Members at Board Meetings and during our November meeting at Yale, as well as other information concerning the proposal.

I hope that the following material will enable the Board to make a decision on the grant request:

- The original proposal for endowment of the Center for New Theatre;
- "Alternative Gift Schedules" and "Financial Comparison" prepared by Yale;
- YSD's responses to Robina's questions along with a draft indenture agreement;
- Letter from President Levin describing Yale's commitment to YSD;
- Mike Sullivan's analysis of the funding options and recommendation concerning payment timeframe if the Board decides to endow the Center.

I hope nothing is missing!

Let me know if you have questions or concerns.



JAMES BUNDY,
ARTISTIC DIRECTOR

VICTORIA NOLAN,
MANAGING DIRECTOR

YALE REPERTORY THEATRE
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yalerep@yale.edu
yalerep.org

August 1, 2011

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

Dear Penny,

All of us at Yale School of Drama and Yale Repertory Theatre have been inspired by the remarkable generosity and intellectual engagement that the Robina Foundation has brought to its philanthropy at the Center for New Theatre.

It is a particular honor and pleasure, therefore, to forward our proposal for a transformative gift from the Foundation to provide operating and endowment funding for the Center, and to rename it in honor of Yale alumnus James Binger.

This proposal is based on a strategic vision that combines investments in artists; staff expertise; the joyous adventure of producing live theatre; the stability and reputation of a great university; and nimble, responsible management. We know it works, in large part, because you and the trustees have asked us challenging questions and encouraged us to stay open to every new opportunity.

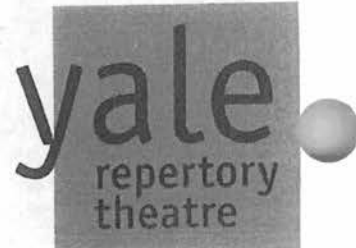
So now, we thank you and the trustees for the opportunity to make this case to you: that a bright future for remarkable playwrights in America is worth a major investment now, and that Yale is precisely the great university to be trusted—and underwritten—as the steward of that mission.

We are deeply grateful for your consideration, and we look forward to any questions or discussion that the proposal engenders.

Sincerely yours,

A handwritten signature in dark ink, appearing to read "James Bundy", written over a light-colored background.

James Bundy



JAMES BUNDY,
ARTISTIC DIRECTOR

VICTORIA NOLAN,
MANAGING DIRECTOR

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August 3, 2011

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

Dear Penny,

Thank you again for the helpful feedback and questions that you and Peter Karoff provided us on the draft of our proposal. As we discussed on the phone, I am answering a few of your questions here for the purpose of providing background information that may be shared with the trustees.

1. *Non-commissioned Writers in Boot Camp*: We currently assess the intimacy and connection of the group to Yale as one of its great strengths—our writers tell us repeatedly that they feel they have a creative “home” here. We may in the future invite writers whose work we are producing but haven’t commissioned, or writers who are no longer commissioned by Yale—but we expect that their sense of professional attachment here will remain a key criterion for their inclusion in the program.
2. *Production Enhancement Fund*: You read the PEF budget correctly over the life of the ten years, though in the final draft of the proposal we altered the last four years of the budget to reflect consistent projections of spending \$100K per year.

In the original grant, PEF was treated effectively as a separate fund—and we still have \$560K of the original \$600K left, which we anticipate spending between FY2013-18—these are expenditures of funds in escrow, not of the gift funds requested. Thereafter, we estimate PEF expenses of \$100K per year, but we don’t treat them as a separate income line, because we anticipate funding them out of the operating gift and endowment income.

3. *Yale Match and Indirect Costs*: The timing of accumulation of our \$12 million in matching funds is a pretty straight arithmetic progression, based on what we have done and think we can do, as well as on the projected appreciation of those endowment assets already donated. This is slightly more than a 1:2 match, which is quite aggressive for the

School of Drama and Yale Rep. We have raised about \$2 million in operating funds and have \$2.5 million in endowment commitments for the Center over the four years ending in FY2012. We feel the projections are a reasonable continuation of our efforts, but we will also be managing other fundraising priorities, such as financial aid for students and new facilities.

The University's waiver of indirect costs over the decade is also a component of the match, an effective contribution to the Center's work of overhead typically billed to the operating portion of the gift. Because the indirect costs are now calculated at 12%, the waiver generates an additional \$840,000 in operating funds over the decade.

4. The endowment commitments to date: \$1 million testamentary; just over \$500K pledged; and approximately \$1 million committed from previously established endowments supporting playwrights at Yale Rep.

Thank you, again, for the opportunity to address these questions—we would be pleased to answer any others that may arise during the trustees' consideration of the proposal.

Sincerely yours,

A handwritten signature in dark ink, appearing to read "James", with a stylized flourish extending to the right.

James Bundy

OK?



The James Binger Center for New Theatre: Yale's Vision

The Center for New Theatre at Yale, from its inception, has played a leading role in the American theatre. Established in 2008 through the outstanding support of the Robina Foundation, the Center has made significant investments in emerging and mid-career playwrights: in the past three years, Yale Repertory Theatre (Yale Rep) has entered into more and larger commissioning agreements than any other theatre in the nation. By the end of FY12, the Center will have supported nine new productions of plays and musicals, seven of them from commissioned writers. Of the six produced at this writing, three have already been performed again to critical acclaim at other leading theatres nationwide.

The Center has emerged as a high impact, highly successful venture, leveraging Yale's artistic expertise and institutional capacity for risk-taking. We develop and produce high quality work in collaboration with diverse artists; we promote rapidly—and visibly—the voices and careers of distinctive writers; and we raise the national standard of theatre production through training and the sharing of best practices.

Through the Robina Foundation's early investment, the Center has proven the viability of its operating model. Ensuring the continuation and expansion of this approach has the potential to transform American theatre. Yale now seeks to establish, in partnership with the Robina Foundation, the financial stability that will enable the Center to fire the American theatrical imagination for generations to come. The Center's significant investment in artists, robust production, and rigorous assessment of programs will provide an essential conduit and serve as a model for new theatrical production around the country.

We believe that this endeavor would also provide a fitting tribute to Yale's distinguished alumnus, James Binger. Yale would be honored to commemorate his legacy by creating the James Binger Center for New Theatre.

Background: Mission and Strategy

Through the last half of the 20th century, the United States rode a wave of artistic excitement, civic pride, and economic growth to create significant theatrical institutions nationwide. The resident theatre movement, as it is called, became the creative engine of the art form in America. All but two of the Pulitzer Prizes for Drama between 1969 and 2011 were awarded to plays that began in the regional theatre. Unfortunately, many nonprofit theatres, including some of the largest, have over-committed capital to infrastructure and administration at the expense of artists, and undercapitalized the risks inherent in producing new work, especially with respect to ticket income. As a result, there is intense pressure on theatres to produce familiar, pre-marketed

commodities, and playwrights are driven to write smaller scale work for fewer and fewer characters. The field is distressed.

The mission of the Center for New Theatre is to commission, develop, and produce new work for the stage, cultivating the talents of playwrights and other theatre artists.

Since their founding in 1926 and 1966, respectively, the School of Drama and Yale Rep have championed the development of playwrights and the production of new plays. Taken together, the School and Rep offer a unique combination—a leading training program in partnership with a professional theatre. They have promoted the work and careers of such award-winning playwrights as Christopher Durang '74, Athol Fugard, Richard Greenberg '86, John Guare '63, Amy Herzog '07, David Ives '84, Rolin Jones '04, Tarell Alvin McCraney '07, Lynn Nottage '89, Suzan-Lori Parks, Sarah Ruhl, Wendy Wasserstein '76, and August Wilson, among many others.

Because Yale trains more than just playwrights, the School of Drama and Yale Rep perpetually innovate and model best practices in the production of new theatre in every discipline of the art form. Here, actors, directors, designers, dramaturgs, producers, and managers prepare for leadership internationally. Yale serves as both classroom and laboratory for the theatre arts, launching new contributions from the University to the wider world, just as physicists and computer scientists disseminate new technology.

The strategy for the Center for New Theatre is to support the artistry of playwrights and address the critical needs of the field by providing:

1. *meaningful compensation for writers:* this represents both time to work and a reasonable financial incentive to make live theatre;
2. *artist-centered processes:* the Center manages the order and scale of readings, workshops, residencies, and other events in response to the playwrights' creativity and timing;
3. *significant opportunities for production:* these include musicals and plays with larger casts, at Yale Rep and other leading American theatres, utilizing enhancement funds provided by the Center for non-Yale productions;
4. *multiple venues for interaction:* classes, retreats, readings, workshops, residencies, and productions bring working playwrights and other theatre artists together at every stage of professional development.

This combination of activities leverages several complementary elements—a nexus of training and production; a community of talented artists teaching and learning here; the intellectual curiosity of Southern Connecticut and the New York metropolitan area; Yale's international reputation; and the University's long-term economic stability—to drive the Center's resources

aggressively toward the support of playwrights and our art form. We are confident that our program is a model for energized and exciting theatre programming.

Plans for the Future

Theatre is a plastic and evanescent medium—just as no two performances are identical, no two artists, no two plays, and no two production processes should be treated identically. The early success of the Center for New Theatre stems from our flexible capacity: to tailor each new play's development activity to meet the commissioned writer's specific needs; to provide production opportunities at Yale and beyond; and to prioritize competitive compensation, putting resources directly in the hands of artists.

We anticipate the continuation of current program activities. We seek opportunities to modify, expand, or deepen these activities both in response to the needs of our commissioned artists and in dialogue with current trends and concerns in the field.

Commissions

In the first three years of the Center for New Theatre (FY09-FY11), Yale Rep awarded 22 new commissions and provided developmental support to an additional 10 commissioned projects that were in progress at the time the original gift was received from the Robina Foundation. In all, 35 individual artists (including playwrights, composers, and directors) have received support as commissioned artists through the Center for New Theatre.

We plan to remain the field leader by commissioning 50-70 works in the next decade, with highly competitive compensation: our strategic aims are to attract and retain the most compelling emerging and established writers and to provide them with significant developmental support and meaningful production opportunities. Yale Rep's commission fees now start at \$25,000 and range up to \$50,000 for musicals or other projects with multiple authors. We plan to raise the base fee to \$35,000 by FY22, and we remain committed to commissioning both straight plays and musicals.

Workshop, Retreats, and Residencies

Since 2008, we have conducted 17 workshops and coordinated 9 writing retreats and/or residencies. Workshop activity doubled from FY09 to FY10 and stayed steady in FY11: the number of workshops relates strongly to the number of projects commissioned, so that as more commissioned artists join the roster, we anticipate more developmental activity through the Center. Retreats and residencies have grown rapidly in FY11: our commissioned artists demonstrate significant need for the space and time to concentrate on their writing, outside of their day-to-day responsibilities and schedules.

By far the most popular residency we have created to date is the annual Boot Camp. Each year, three to five commissioned artists are invited to participate with School of Drama playwrights in a week-long intensive retreat in New Haven, led by Paula Vogel, Chair of the Playwriting program and Playwright-in-Residence at Yale Rep. The experience has been widely praised by

all writers who have attended; not only does it provide them with creative challenges, new techniques, and aesthetic inspiration, but it also links our commissioned artists closely to the playwriting students at the School of Drama. Boot Camp thrives on a community that could only exist at Yale; writers with considerable experience in the field relish the opportunity to mentor talented students at the School, while students grow more rapidly in the company of their professional role models. The immediacy and closeness of these relationships are key elements in our writers' identification of Yale as their creative home.

Based on the positive feedback from our commissioned artists, we anticipate the expansion of our residency activities in the next three to five years, incorporating two new approaches:

1. A year-long residency in New Haven, including salary and health benefits. A commissioned artist would be invited to spend a year working at Yale Rep and at the School of Drama. For example, the playwright could attend the weekly writers' workshop with the students in the playwriting department, or perhaps teach a section. Over the course of the year, the playwright would be encouraged to work not only on her Yale commission, but all of her writing. If desired, the playwright could request a workshop or reading of any of her plays through the Center for New Theatre.
2. A two-week artist retreat at a rural location to be determined. Boot Camp has demonstrated the value of bringing artists together to encourage dialogue and inspire creativity. A communal retreat combines the advantages of group interaction with the time to focus on individual projects, without any expectation of an immediate public showcase. Commissioned artists would receive travel, housing, and meals. Over time, the retreat could expand to include a company of actors and directors, enabling playwrights to rehearse works-in-progress throughout the retreat period.

Yale Institute for Music Theatre

Musicals are the United States' original contribution to world theatre, but they are notoriously expensive to produce. Thus, early-career composers, lyricists, and book writers are especially challenged to find opportunities to see their work on stage.

Since 2009, the Yale Institute for Music Theatre (YIMT) has supported young composers and authors as they make the transition from their formal studies to the professional world. It is the only music theatre workshop program in the country geared solely towards providing developmental support for these artists during this crucial period in their careers. YIMT is one of the most successful components of our work, dovetailing with Yale's graduate and undergraduate curricula in libretto writing, lyric writing, and composition.

The Institute is submission-based, and to be eligible the authors must have completed their training at a degree-granting institution (undergraduate or graduate) within the last five years. Up to three projects per year are chosen by the Artistic Director, Mark Brokaw, for inclusion, and each receives a two-week full-time workshop on the Yale campus, bringing together a professional company of up to 40 artists and managers including graduate students and undergraduates. At the completion of the two weeks, two "open rehearsals" per project are held

for the public. They are called rehearsals rather than “performances” because the focus up to the very end is the developmental process. Every team has made significant and substantial changes to their work between the two open rehearsals, incorporating what they have learned from watching the material as it meets an audience.

In 2009, *POP!*, by Maggie-Kate Coleman and Anna K. Jacobs, went from a workshop at YIMT to a production at Yale Rep, supported by the Center for New Theatre. *POP!* continues its life this summer in production at the Studio Theatre in Washington, DC. The success of this piece, and of YIMT overall, is an example of how a diverse and flexible portfolio serves our mission: we may bring musicals to production through commissioning, and/or through this program. We can also meet and get to know the work of talented musical theatre writers early in their careers, all while giving our students opportunities to participate at a high level in the development of new musicals.

Initially funded through individual gift support, the Institute began as a partnership between the School of Music and the School of Drama. This funding is no longer available, but the School of Drama and Yale Rep see this program as a unique and critical contribution to the field and hope to bring it under the umbrella of Robina Foundation support.

Productions

Since FY09, the Center for New Theatre has underwritten five world premieres at Yale Rep and one world premiere at Lincoln Center’s LCT3, and it has seeded subsequent productions of work premiered by Yale Rep at Berkeley Repertory Theatre, The Public Theater, Theatre for a New Audience (NY), and La Jolla Playhouse. The 2011-12 Yale Rep season includes three world premiere productions. Two are commissioned from the award-winning writers Will Eno and Amy Herzog; the third is by Christina Anderson, a recent graduate of the School of Drama; and all three are supported by the Center.

As more plays move through the pipeline from commission to completed draft, there will be dozens of scripts available for production at Yale Rep and theatres across the country. Just as we maintain flexibility in tailoring each development process, we will seek diverse opportunities to leverage further production of Yale-commissioned plays through the Production Enhancement Fund (PEF). Investments of different sizes from this fund have advanced our playwrights’ work, cemented vital partnerships with our peer theatres, and addressed a range of production problems. For example:

1. PEF subsidized the La Jolla Playhouse presentation of *Notes From Underground* by underwriting advanced video technology, also used for the Theater for a New Audience presentation underwritten by PEF;
2. PEF provided an additional week of rehearsal to the LCT3 production of *On the Levee*;

3. PEF funds are expected to subsidize costume construction on David Adjmi's large period piece, *Marie Antoinette*, a Yale commission scheduled for production first at American Repertory Theatre and then at Yale Rep in FY13.

Other potential uses of the PEF include: payments to smaller theatres producing plays that Yale Rep has commissioned but will not produce, and co-productions between Yale and other leading theatres (union rules and significant differences in pay scale generally make it impractical for Yale Rep to collaborate closely with theatres with much smaller budgets). We still do not know how the completion of commissions being written now—and that we will not produce ourselves—may affect PEF expenditures: we anticipate using the \$560,000 remaining from the original PEF grant from FY13-18, and estimate spending an average of \$100,000 per year thereafter.

Management and Accountability

To promote the highest standards of artistry and production over time, Yale's vision includes two forms of evaluation: annual reviews by Center staff and the Dean/Artistic Director, and the creation of an independent committee of distinguished theatre professionals to review the programs of the Center and their relationship to the field every five years, submitting their recommendations to the Dean/Artistic Director, with copies to the President and Provost of Yale.

Annual reviews are already part of the Center's rubric, and the Dean/Artistic Director will continue to report on the Center to the Robina Foundation as requested, as well as to the President and Provost each year. Annual reports are also prepared on endowment funds. In this case, such reports will contain a narrative description of the Center's activities and use of endowment income. They will also provide a financial report with details on the market value of the fund along with the Center's operational expenses. We anticipate that these practices will continue in perpetuity.

Turning ok?
The purpose of the five-year review is to provide the Dean/Artistic Director with rigorous program and field evaluations from independent sources, including an overview of endowment expenditures. Conducted by a nationally-distinguished committee comprising leaders in the field of new play commissioning, development, and production, including at least one individual artist, the review will survey the Center's mission, strategy, and programming in the context of future developments in the professional theatre. Our budget reflects travel and expense reimbursement for this team. The committee's report, delivered to the Dean/Artistic Director, President, and Provost, will assess the strengths and weaknesses of the program at that time, with recommendations for enhancements and/or course corrections. We also plan to share meaningful data and findings with the theatres we survey: knowledge disseminated in this effort serves the field broadly.

Request and Budget Overview

Yale School of Drama and Yale Repertory Theatre respectfully request a transformative gift of \$23 million over ten years to continue and expand the work of the Center for New Theatre in perpetuity. The proposed ten-year gift combines \$7 million in operating funds with \$16 million in endowment.

As a private institution, Yale depends most heavily on philanthropy and tuition income for support of its mission in teaching, research, and public service. We are fortunate that the exceptional generosity of Yale's donors—alumni, foundations, corporations—and a long history of careful and prudent management of the endowment built with those gifts have made Yale into an institution of worldwide renown and global impact. Thus, gifts continue to be the main funding source for new initiatives, and endowment plays a vital role in institutionalizing innovation over the long-term. A gift for endowment is an investment in the future.

Endowment support will make it possible for the Center's long-term impact to become truly transformational by giving it time and opportunity to develop a world-class environment for playwriting. Such a gift will leverage the University's historic strengths: artistic vision, institutional stability, and investment expertise.

The Center's mission and strategic alignment are especially appropriate for endowment support for several reasons including:

1. The Center for New Theatre has an evergreen purpose—it is invested in the future of an enduring art form;
2. Yale has a longstanding competitive advantage both in playwriting and in creating environments in which playwrights succeed;
3. The School and Rep together foster multi-generational collaborations and the dissemination of new art and best practices: we will continue to send both plays and people out into the world.

Benefits to the Center that will accrue from endowment support include:

1. Endowment growth over time will support leadership in artist compensation;
2. Endowment income will flexibly support the mission, allowing us to promote strategic innovations in the commissioning, development, and production of new theatre.

The budget we propose combines energetic investment in near-term work with secure long-term funding, even if specific elements of the program should change in the future.

The budget also reflects Yale's anticipated efforts to match the Robina Foundation's potential commitment with gifts of over \$4 million in operating and approximately \$8 million in endowment funds from other donors. This new fundraising of \$12 million is an ambitious but achievable goal—as a point of comparison, the Center has secured nearly \$2 million in operating gifts and \$2.5 million in endowment commitments in the past four years. The scope of this matching effort is enhanced by Yale University's exceptional waiver of indirect costs (currently 12%) for the operating portion of the gift, directing an additional \$840,000 into Center activities over the decade.

In sum, the gift structure we seek is a template for promoting the Center's aggressive programming, robust fundraising, long-term financial stability, and artistic potential.

Expected Impact

The theatre, as western culture knows it, is almost three millennia old. We are honored to follow our forebears, delighted to collaborate with our contemporaries, and humbled in the face of what we do not know about the future.

The proposed Robina gift would represent the single largest philanthropic commitment in the history of playwriting. It would immediately call national attention to the opportunities and challenges faced by theatre artists and significantly advance—indeed, permanently alter—the national dialogue among theatre practitioners and philanthropists about individual and institutional priorities.

We believe that this model—meaningful financial and artistic support of playwrights in combination with robust production opportunities and the fostering of community among artists—holds the highest promise for promoting the next great age of American playwriting. We also look forward to the reality that there will be exciting innovations for the Center to embrace in the near and distant future, in order to better achieve that goal.

The Robina Foundation's gift of \$23 million would sustain the extraordinary early impact of the Center for New Theatre; prepare the ground for the theatre artistry of the 21st century; and commemorate in perpetuity the joyful generosity of James Binger—a great man of the American theatre.

Lead Staff

James Bundy is in his tenth year as Dean of Yale School of Drama and Artistic Director of Yale Repertory Theatre. During his tenure Yale Rep has produced more than twenty world, American, and regional premieres, six of which have been honored by the Connecticut Critics Circle with the award for Best Production of the year, and two of which have been Pulitzer Prize finalists. Under Mr. Bundy's leadership, Yale's Center for New Theatre has supported the work of 35 individual artists; and Yale Rep has provided low-cost theatre tickets and classroom visits to thousands of middle and high school students from Greater New Haven through WILL POWER!, an educational program initiated in 2004. Mr. Bundy's directing credits include *The Psychic Life of Savages*, *The Ladies of the Camellias*, *All's Well That Ends Well*, *A Woman of No Importance*, *Death of a Salesman*, and *A Delicate Balance* at Yale Rep, as well as productions at Great Lakes Theater Festival, The Acting Company, California Shakespeare Festival, Alabama Shakespeare Festival, and The Juilliard School Drama Division. He is a recipient of the Connecticut Critics Circle's Tom Killen Award for extraordinary contributions to Connecticut professional theatre in 2007. Mr. Bundy serves on the board of directors of Theatre Communications Group, the national service organization for nonprofit theatre. Previously, he worked as Managing Director of Cornerstone Theater Company, Associate Producing Director of The Acting Company, and Artistic Director of Great Lakes Theater Festival. He is a graduate of Harvard College and Yale School of Drama and trained as an actor at the London Academy of Music and Dramatic Art.

Victoria Nolan is in her 19th year as Managing Director of Yale Repertory Theatre and serves as Deputy Dean of Yale School of Drama. She was previously Managing Director of Indiana Repertory Theatre; Associate Managing Director at Baltimore's CENTERSTAGE; and Managing Director at Ram Island Dance Company in Portland, Maine. She has held various positions at Loeb Drama Center of Harvard University; TAG Foundation, an organization producing Off-Broadway modern dance festivals; and Boston University School for the Arts. Ms. Nolan has been an evaluator for the National Endowment for the Arts, for which she has chaired numerous grant panels, and has served on other panels and foundation review boards including the AT&T Foundation, The Heinz Family Foundation, Lila Wallace-Reader's Digest Fund, and the Metropolitan Life Foundation. She has also served on the Executive Committee of the League of Resident Theatres (LORT) and on numerous negotiating teams for national labor contracts. A Fellow at Yale's Saybrook College, she is the recipient of the Betsy L. Mahaffey Arts Administration Fellowship Award from the State of Connecticut and the Elm/Ivy Award, given jointly by Yale University and the City of New Haven for distinguished service to the community.

Paula Vogel is the Eugene O'Neill Professor (adjunct) of Playwriting and Chair of the Playwriting Department at Yale School of Drama and Playwright-in-Residence at Yale Repertory Theatre. Her play, *How I Learned to Drive*, received the 1998 Pulitzer Prize for Drama, the Lortel Prize, Drama Desk, OBIE, Outer Critics Circle and New York Drama Critics Awards for Best Play. Her other plays include *The Long Christmas Ride Home*, *The Mineola Twins*, *The Baltimore Waltz*, *Hot N' Throbbing*, *Desdemona*, *And Baby Makes Seven*, and *The Oldest Profession*. Other awards include the 2010 William Inge Festival Distinguished

Achievement in the American Theatre Award, the Stephen and Christine Schwarzman Legacy Award for Excellence in Theatre for lifetime achievement and excellence in teaching, the 2004 Award for Literature from the American Academy of Arts and Letters, the Rhode Island Pell Award in the Arts, the Hull-Warriner Award, The Laura Pels Award, the Pew Charitable Trust Senior Award, a Guggenheim, an AT&T New Plays Award, the Fund for New American Plays, the Rockefeller Foundation's Bellagio Center Fellowship, several National Endowment for the Arts Fellowships, the McKnight Fellowship, the Bunting Fellowship, and the Governor's Award for the Arts. She is a fellow of the American Academy of Arts and Sciences, has been a fellow at the MacDowell Colony and Yaddo, and was recently inducted into the College of Fellows of the American Theatre at the Kennedy Center.

Jennifer Kiger is in her seventh year at Yale Rep as Associate Artistic Director and is also director of the new play programs of the Center for New Theatre. Ms. Kiger came to Yale Rep from South Coast Repertory (SCR), where she was Literary Manager from 2000 to 2005 and served as Co-Director of the Pacific Playwrights Festival. She was dramaturg on more than 40 new plays at SCR, including the world premieres of Rolin Jones's *The Intelligent Design of Jenny Chow*, Amy Freed's *The Beard of Avon*, and the West Coast premieres of Sarah Ruhl's *The Clean House* and Nilo Cruz's *Anna in the Tropics*. Prior to that, she served as production dramaturg at American Repertory Theatre, collaborating with Robert Brustein, Robert Woodruff, Liz Diamond, and Kate Whoriskey, and with multi-media director Bob McGrath on stage adaptations of Robert Coover's *Charlie in the House of Rue* and Mac Wellman's *Hypatia*. She has been a dramaturg for The Playwrights' Center of Minneapolis and Boston Theatre Works and a panelist for the National Endowment for the Arts and the California Arts Council. Ms. Kiger completed her training in Dramaturgy at the American Repertory Theatre Institute for Advanced Theatre Training at Harvard University, where she taught courses in acting and dramatic arts.

Amy Boratko is the Literary Manager at Yale Rep and has served as dramaturg on the Yale Rep productions of *Autumn Sonata*, *We Have Always Lived in the Castle*, *Battle of Black and Dogs*, *Compulsion*, *Notes from Underground*, *A Woman of No Importance*, *Eurydice*, and *The Cherry Orchard*. Other dramaturgy credits include *The Time of Your Life*, *The Summer People*, *Romeo and Juliet*, *The War Is Over* (Yale School of Drama), as well as Voice and Vision's ENVISION Retreat at Bard College. She has been a teaching fellow at Yale College and Yale School of Drama and was a managing editor of *Theater* magazine. A graduate of Rice University, she received her MFA in Dramaturgy and Dramatic Criticism from Yale School of Drama.

Mark Brokaw is the Artistic Director of the Yale Institute for Music Theatre. His Broadway directing credits include *Reckless*, *The Constant Wife*, the musical *Cry-Baby*, and *After Miss Julie*. He has also directed many Off-Broadway productions at Playwrights Horizons, Lincoln Center, and the New York Shakespeare Festival, among others. For his direction of Paula Vogel's Pulitzer Prize winning play, *How I Learned to Drive*, Mr. Brokaw won the Drama Desk, OBIE, and Lucille Lortel Awards for Outstanding Director. Regionally, he has directed at the Guthrie Theater, Seattle Repertory Theatre, Long Wharf Theatre, Yale Repertory Theatre, South Coast Repertory, Berkeley Repertory Theatre, Actors Theatre of Louisville, Center Theatre Group, La Jolla Playhouse, the O'Neill Playwrights Conference, and the Sundance Theatre

Festival. He also directed *A Little Night Music* for the Kennedy Center Sondheim Celebration in 2002. Internationally, Mr. Brokaw's work has been seen at London's Donmar Warehouse and Dublin's Gate Theatre. He is an associate artist of the Roundabout Theatre and a graduate of Yale School of Drama.

Yale Center for New Theatre Ten-Year Proposed Gift Payment Schedule and Budget

PROPOSED GIFT SCHEDULE			FY2013	FY2014	FY2015	FY2016	FY2017
1. Robina Endowment Gift			1,600,000	1,600,000	1,600,000	1,600,000	1,600,000
2. Robina Operating Gift			1,000,000	950,000	900,000	850,000	750,000
Total Annual Gift			2,600,000	2,550,000	2,500,000	2,450,000	2,350,000

Yale Endowment Match - Fundraising Goal																1,250,000	1,250,000	
Income ¹	FY2012 Robina Grant Projected	FY2012 Other Sources Projected	FY2012 Center for New Theatre Total	FY2013 Robina Projected	FY2013 Other Sources Projected	FY2013 Center for New Theatre Total	FY2014 Robina Projected	FY2014 Other Sources Projected	FY2014 Center for New Theatre Total	FY2015 Robina Projected	FY2015 Other Sources Projected	FY2015 Center for New Theatre Total	FY2016 Robina Projected	FY2016 Other Sources Projected	FY2016 Center for New Theatre Total	FY2017 Robina Projected	FY2017 Other Sources Projected	FY2017 Center for New Theatre Total
1. Robina Endowment Income ²			-	84,000		84,000	168,600		168,600	254,100		254,100	343,300		343,300	434,800		434,800
2. Robina Operating Support				1,000,000		1,000,000	950,000		950,000	900,000		900,000	850,000		850,000	750,000		750,000
3. Current Robina Grant and Enhancement Fund	950,000		950,000	60,000		60,000	100,000		100,000	100,000		100,000	100,000		100,000	100,000		100,000
4. Match: Non-Robina Endowment Income and Current Use Funds ³		486,400	486,400		494,200	494,200		507,700	507,700		520,400	520,400		587,300	587,300		664,900	664,900
Grand Total Income	950,000	486,400	1,436,400	1,144,000	494,200	1,638,200	1,218,600	507,700	1,726,300	1,254,100	520,400	1,774,500	1,293,300	587,300	1,880,600	1,284,800	664,900	1,949,700

Expenses ¹	FY2012 Robina Grant Projected	FY2012 Other Sources Projected	FY2012 Center for New Theatre Total	FY2013 Robina Projected	FY2013 Other Sources Projected	FY2013 Center for New Theatre Total	FY2014 Robina Projected	FY2014 Other Sources Projected	FY2014 Center for New Theatre Total	FY2015 Robina Projected	FY2015 Other Sources Projected	FY2015 Center for New Theatre Total	FY2016 Robina Projected	FY2016 Other Sources Projected	FY2016 Center for New Theatre Total	FY2017 Robina Projected	FY2017 Other Sources Projected	FY2017 Center for New Theatre Total
5. Literary Manager & Artistic Associate Salary & Benefits ⁴	129,800		129,800	154,400		154,400	161,700		161,700	168,400		168,400	175,300		175,300	182,500		182,500
6. Commissions	200,000		200,000	204,000		204,000	208,100		208,100	214,400		214,400	220,900		220,900	227,600		227,600
7. Workshops, Residencies and Retreats	75,000	14,400	89,400	76,500	14,700	91,200	78,000	15,000	93,000	80,300	15,500	95,800	82,700	16,000	98,700	85,200	16,500	101,700
8. Production Expenses	450,200	200,000	650,200	474,100	200,000	674,100	492,300	200,000	692,300	507,200	200,000	707,200	525,400	253,900	779,300	494,800	297,900	792,700
9. Enhancement Support			-	60,000		60,000	100,000		100,000	100,000		100,000	100,000		100,000	100,000		100,000
10. Yale Institute for Music Theatre			-	175,000		175,000	178,500		178,500	183,800		183,800	189,000		189,000	194,700		194,700
11. YSD Playwriting Lecturers ⁴		68,300	68,300		69,700	69,700		73,000	73,000		76,100	76,100		79,200	79,200		82,500	82,500
12. YSD Key Staff Time ⁴		203,700	203,700		209,800	209,800		219,700	219,700		228,800	228,800		238,200	238,200		248,000	248,000
13. Program Review			-			-			-			-			-		20,000	20,000
14. Robina Indirect Costs ³	95,000		95,000			-			-			-			-			-
Grand Total Expenses	950,000	486,400	1,436,400	1,144,000	494,200	1,638,200	1,218,600	507,700	1,726,300	1,254,100	520,400	1,774,500	1,293,300	587,300	1,880,600	1,284,800	664,900	1,949,700

Footnotes

¹All numbers rounded to the nearest hundred

²Endowment growth projections are based upon additions to principal and Yale University's long-term-model budget parameters

³Components include Mellon Foundation Grant (expires in FY2015), Center for New Theatre Endowment Income and Foundation and Individual Giving

⁴Yale University projects increases in employee benefits that are higher than the expected rate of inflation

⁵Indirect costs waived by Yale University as part of matching effort

Yale Center for New Theatre Ten-Year Proposed Gift Payment Schedule and Budget

PROPOSED GIFT SCHEDULE		FY2018	FY2019	FY2020	FY2021	FY2022	TOTAL
1. Robina Endowment Gift		1,600,000	1,600,000	1,600,000	1,600,000	1,600,000	16,000,000
2. Robina Operating Gift		650,000	625,000	525,000	425,000	325,000	7,000,000
Total Annual Gift		2,250,000	2,225,000	2,125,000	2,025,000	1,925,000	23,000,000
Yale Endowment Match - Fundraising Goal		1,250,000	1,250,000	1,250,000	1,250,000	1,250,000	7,500,000

Income ¹	FY2018 Robina Projected	FY2018 Other Sources Projected	FY2018 Center for New Theatre Total	FY2019 Robina Projected	FY2019 Other Sources Projected	FY2019 Center for New Theatre Total	FY2020 Robina Projected	FY2020 Other Sources Projected	FY2020 Center for New Theatre Total	FY2021 Robina Projected	FY2021 Other Sources Projected	FY2021 Center for New Theatre Total	FY2022 Robina Projected	FY2022 Other Sources Projected	FY2022 Center for New Theatre Total
1. Robina Endowment Income ²	528,340		528,340	623,600		623,600	721,200		721,200	820,800		820,800	922,800		922,800
2. Robina Operating Support	650,000		650,000	625,000		625,000	525,000		525,000	425,000		425,000	325,000		325,000
3. Current Robina Grant and Enhancement Fund	100,000		100,000												
4. Match: Non-Robina Endowment Income and Current Use Funds ³		744,200	744,200		875,200	875,200		958,400	958,400		1,043,400	1,043,400		1,130,200	1,130,200
Grand Total Income	1,278,340	744,200	2,022,540	1,248,600	875,200	2,123,800	1,246,200	958,400	2,204,600	1,245,800	1,043,400	2,289,200	1,247,800	1,130,200	2,378,000
Expenses ⁴	FY2018 Robina Projected	FY2018 Other Sources Projected	FY2018 Center for New Theatre Total	FY2019 Robina Projected	FY2019 Other Sources Projected	FY2019 Center for New Theatre Total	FY2020 Robina Projected	FY2020 Other Sources Projected	FY2020 Center for New Theatre Total	FY2021 Robina Projected	FY2021 Other Sources Projected	FY2021 Center for New Theatre Total	FY2022 Robina Projected	FY2022 Other Sources Projected	FY2022 Center for New Theatre Total
5. Literary Manager & Artistic Associate Salary & Benefits ⁴	190,000		190,000	197,800		197,800	205,900		205,900	214,400		214,400	223,200		223,200
6. Commissions	234,400		234,400	241,200		241,200	248,500		248,500	256,000		256,000	263,700		263,700
7. Workshops, Residencies and Retreats	87,800	17,000	104,800	90,400	17,500	107,900	93,100	18,000	111,100	95,900	18,500	114,400	98,800	19,000	117,800
8. Production Expenses	465,600	383,100	848,700	437,600	474,400	912,000	410,900	542,300	953,200	385,400	611,400	996,800	361,400	656,700	1,018,100
9. Enhancement Support	100,000		100,000	100,000		100,000	100,000		100,000	100,000		100,000	100,000		100,000
10. Yale Institute for Music Theatre	200,540		200,540	206,600		206,600	212,800		212,800	219,100		219,100	225,700		225,700
11. YSD Playwriting Lecturers ⁴		85,900	85,900		89,400	89,400		93,100	93,100		97,000	97,000		101,000	101,000
12. YSD Key Staff Time ⁴		258,200	258,200		268,900	268,900		280,000	280,000		291,500	291,500		303,500	303,500
13. Program Review														25,000	25,000
14. Robina Indirect Costs ⁵															
Grand Total Expenses	1,278,340	744,200	2,022,540	1,273,600	850,200	2,123,800	1,271,200	933,400	2,204,600	1,270,800	1,018,400	2,289,200	1,272,800	1,105,200	2,378,000

Footnotes

¹All numbers rounded to the nearest hundred

²Endowment growth projections are based upon additions to principal and Yale University's long-term-model budget parameters

³Components include Mellon Foundation Grant (expires in FY2015), Center for New Theatre Endowment Income and Foundation and Individual Giving

⁴Yale University projects increases in employee benefits that are higher than the expected rate of inflation

⁵Indirect costs waived by Yale University as part of matching effort

Robina Foundation/Yale School of Drama

November, 2011

TABLE I: Alternative Gift Schedules

	<i>1 Year Plan</i>	<i>3 Year Plan</i>	<i>5 Year Plan</i>	<i>10 Year Plan</i>
Robina Endowment	\$15,000,000	\$15,000,000	\$15,000,000	\$16,000,000
Robina Operating	\$3,407,470	\$4,251,760	\$5,138,410	\$7,000,000
TOTAL Robina Investment	\$18,407,470	\$19,251,760	\$20,138,410	\$23,000,000

TABLE II: Proportions of Income

	<i>1 Year Plan - Year One</i>	<i>3 Year Plan - Year One</i>	<i>5 Year Plan - Year One</i>	<i>10 Year Plan - Year One</i>	<i>All Plans - Year Ten</i>
Robina Endowment Income	48%	16%	10%	5%	39%
Robina Operating Support	18%	50%	57%	61%	14%
Current Robina Grant and Enhancement Fund	4%	4%	4%	4%	0%
Match: Non-Robina Endowment Income and Current Use Funds	30%	30%	30%	30%	47%
Total	100%	100%	100%	100%	100%

BUDGET ASSUMPTIONS:

Yale University endowment target spending rate is 5.25% of principal

Yale University projected endowment income growth parameters:

-FY2014 = .72%

-FY2015 = .90%

-FY2016 and beyond = 2.18%

Yale University endowment's historic rate of return on principal ending June 30, 2011:

- 5 years = 6% per annum

-10 years = 10.1% per annum

-20 years = 14.2 % per annum

Yale School of Drama: Financial Comparison - FY2011 v. FY2012

	FY2011 Actuals	% of Total	FY2012 Budget	% of Total
INCOME				
Endowment	\$7,011,969	25%	\$6,991,384	25%
Support from the President and Provost (Subvention)	\$10,606,760	39%	\$11,067,761	40%
Tuition	\$5,113,228	19%	\$5,094,375	19%
Gifts and Grants	\$2,284,416	8%	\$2,557,497	9%
School and Rep Box Office	\$981,363	4%	\$967,240	4%
Use of Reserves	\$726,267	3%	\$389,601	1%
Miscellaneous Income	\$603,354	2%	\$414,707	2%
Total Income	\$27,327,356	100%	\$27,482,565	100%
EXPENSES				
Faculty Salaries	\$4,463,247	16%	\$4,600,290	17%
Staff Salaries	\$3,751,777	14%	\$4,064,103	15%
Benefits	\$2,450,459	9%	\$2,788,418	10%
Student Aid	\$6,638,189	24%	\$6,701,667	24%
Professional Fees and Artistic Compensation	\$2,042,101	8%	\$2,045,469	7%
General Operations and Administration	\$7,981,583	29%	\$7,282,618	27%
Total Expenses	\$27,327,356	100%	\$27,482,565	100%

From: "Reichenbach, Inge" <inge.reichenbach@yale.edu>
Subject: Your question about Yale's endowment growth projection
Date: December 21, 2011 11:55:23 AM CST
To: Penny Hunt <pennhunt@gmail.com>, penny <phunt@robinafoundation.org>

Dear Penny

I wanted to follow up on your question regarding Yale's endowment growth projections. As with everything in the financial area these days, it is difficult to make long term projections with confidence given the volatility of the markets.

Yale continues to work with the assumption that the long term nominal growth of the endowment pool is 9.25% per annum.

However, we also anticipate that the variance of the actual annual nominal growth rate around that figure will be considerable.

And indeed, the significant drops in public markets during the summer months contributed to a -2% endowment return for the first quarter of FY '12 raising the possibility that we will need to adjust the projections for the FY 12.

In terms of our spending rate on the endowment, for FY 12 the rate corresponds to an estimated unitized spending rate of 5.2%. If the return assumptions for FY '12 have to be restated to 0%, then the spending rate for 2013 will be 5.7% instead of 5.2%.

I hope this is helpful. I wished we could make the forecasts with greater accuracy, but I know that every institution is facing the same issue.

Please let me know if you need any additional information or have questions .

Many thanks and warm regards

Inge

Inge T. Reichenbach
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From: Penny Hunt <pennhunt@gmail.com>
Subject: Robina Foundation / Yale School of Drama

Date: December 8, 2011 1:11:55 PM CST

To: Deborah Berman <deborah.berman@yale.edu>, Inge Reichenbach <inge.reichenbach@yale.edu>

Cc: Karoff Peter <pkaroff@TPI.ORG>, Susan Berresford <sberresford@nyct-cfi.org>, Blatz Kathleen <kathleenblatz@msn.com>, Gilberg Nancy <ngilberg@robinafoundation.org>



Deborah and Inge,

I thought it would be helpful to email information I discussed with Deborah following Robina's recent visit to Yale and the Robina Board's discussion of the endowment proposal at its November Board Meeting.

On December 15 Tom and I are meeting with Mike Sullivan, a financial consultant who works with the Robina Foundation, to discuss the 1-year, 3-year, 5-year and 10-year payment scenarios you prepared in connection with the endowment proposal for the Center for New Theatre. Mike should be able to help us understand the impact of the various scenarios on Robina assets and the Board's grant making. It would be helpful, I think, for us to understand the rate of return Yale projects for its endowment investments since, as Inge indicated during our meeting, Yale's rate of return is undoubtedly higher than Robina's given our need to invest conservatively in view of our plans to sunset. Can you provide that information, Inge?

We noted that YSD apparently has a \$135 million endowment that helps fund the school. Information on the nature of the endowment would be helpful: are all or some of the funds restricted for specific uses or are the funds for the general use of YSD?

Although Robina Board Members understand Yale's reluctance to propose outside funding for the endowment until 2016, Board Members continue to express an interest in some sort of matching/challenge gift. Perhaps it would be helpful if you provided a written explanation of your reasoning.

During our meeting at Yale we discussed the need for assurance of Yale's commitment to the Center for New Theatre if Robina decides to fund the endowment. Although it is a bit premature, could you provide us with a draft of commitment language so that the Robina Board would understand better what a commitment might look like?

While at Yale Robina Board Members emphasized the importance of establishing at the outset a process, including goals and benchmarks, to evaluate the work of the Center. The proposal includes brief language about this, but we would appreciate your giving more thought to how this will work and providing us with a more detailed description.

As I mentioned to Deborah, I am trying to gather all of the information Board Members will need in order to make a decision about your proposal at its February meeting (February 14 and 15). I plan to survey the Board to confirm that at least at this point, these are the outstanding questions. Please feel free to provide any additional information you think would be helpful -- or persuasive -- in the Board's consideration.

Feel free to contact me with questions. The only item outlined here that is somewhat urgent is information on Yale's projected rate of return on its endowment. I believe Mike Sullivan will ask about that.

Warm regards,
Penny

Yale School of Drama's endowment: Are all or some of the funds restricted for specific uses, or are the funds for the general use of YSD?

Yale School of Drama (YSD) and Yale Repertory Theatre (YRT) endowment principal of approximately \$139 million is projected to generate \$6.99 million in spendable income for FY2012. Approximately 67% of these funds are donor-restricted and include 38.2% for student scholarships, fellowships, and prizes; 17.63% for faculty and teaching artists; 9.1% for YRT general support; 1.85% for YSD general support; and 0.2% for the Center for New Theatre. The remaining 33% is unrestricted and may be used for any purpose at YSD or YRT. The table below provides detail:

Student Scholarships, Fellowships, & Prizes	2,670,398.32	38.20%
<i>Fellowship</i>	<i>74,163.30</i>	<i>1.06%</i>
<i>Scholarship</i>	<i>2,568,371.11</i>	<i>36.74%</i>
<i>Prizes</i>	<i>27,863.91</i>	<i>0.40%</i>
Faculty & Teaching Artists	1,232,795.48	17.63%
YRT General	636,200.56	9.10%
YSD General	129,388.04	1.85%
Center for New Theatre	14,295.42	0.20%
Unrestricted	2,307,787.68	33.01%
Total	\$6,990,865.50	100.00%

NB: There are two outstanding pledges for the Center for New Theatre: a \$1 million planned gift and a current \$250,000 five-year gift, which will generate approximately \$127,000 over the next ten years.

Although Robina Board Members understand Yale's reluctance to propose outside funding for the endowment until 2016, Board Members continue to express an interest in some sort of matching/challenge gift. Perhaps it would be helpful if you provided a written explanation of your reasoning.

We understand and appreciate the value of matching gift campaigns for some organizations. In our experience of the nonprofit theatre field, such organizations tend to be regional theatres (e.g., The Guthrie Theater, Lincoln Center Theater, Center Theater Group) with broad constituencies including boards of trustees who are civic and business leaders, and a wide base of local donors. Such communities can be galvanized in a matching campaign by an easily communicated, specific, and urgent goal—i.e., “Finish our Building,” “Endow its Operations,” or, not so happily, “Retire our Deficit.”

Yale School of Drama and Yale Rep function in a different fundraising environment. We raise money from the Yale Rep audience, but this is a relatively small group without the resources of a

major metropolitan area. We don't have a local board of trustees. Indeed, with the support of the University, in order to foster town/gown relations, it is important for us to leave the lion's share of local individual and corporate fundraising to our neighbor, Long Wharf Theatre; for over 40 years, that institution has had a board of trustees drawn from among New Haven's civic leaders.

Most capital donated to the University comes from the alumni bodies of Yale College, Yale Law School, the Graduate School, the Engineering School, and (increasingly) Yale School of Management. (There are a handful of extraordinarily successful Drama School alumni who are generous to Yale, but they are not captains of industry; moreover, like many other philanthropists, they often direct their giving to fields other than their own.)

We have found that the mission and practice of the Center are best communicated to impassioned, high net worth, Yale-affiliated donors who are already looking for opportunities to support the University's priorities in the arts; these are donors with the time and interest to comprehend the complexity of the Center's mission and program. While we have and will continue to solicit this cohort over the course of the next decade and beyond, we believe a "matching gift" strategy following on the heels of the just completed \$ 3.9 billion Yale Tomorrow Campaign—which has left most of our major donors paying off their campaign pledges for the next five years—would be awkward to communicate and complete.

There are a limited number of national foundations that may also, in time, direct further resources to the Center, including Mellon, Shubert, and Doris Duke Foundations, and the Harold and Mimi Steinberg Charitable Trust. None of them seem appropriate candidates for such funding in the near term. (Mellon is in the second year of a five year, \$1M commitment to the Center.)

During our meeting at Yale we discussed the need for assurance of Yale's commitment to the Center for New Theatre if Robina decides to fund the endowment. Could you provide us with a draft of commitment language so that the Robina Board would understand better what a commitment might look like?

Please see attached form Robina Foundation Endowment Gift for The Binger Center for New Theatre – Indenture. This document would comprise a binding contract between the Robina Foundation and Yale University. In addition, a letter from President Levin in support of the Center is forthcoming, under separate cover.

While at Yale, Robina Board Members emphasized the importance of establishing at the outset a process, including goals and benchmarks, to evaluate the work of the Center. The proposal includes brief language about this, but we would appreciate your giving more thought to how this will work and providing us with a more detailed description.

We anticipate two types of formal evaluation: annual reviews by the Center staff and the Dean/Artistic Director, and five-year independent reviews by a panel of distinguished theatre professionals.

Our annual review process will follow the format of the year-end reporting we have provided to the Robina Foundation since the Center was established. The goals and objectives of the Center remain the same, as will the major benchmarks we have utilized for the past four years. We will review the number of new commissions we offer each year, the number and the quality of the

development opportunities we provide to our commissioned artists, and ³the number of commissioned projects that are produced at Yale Rep or other American theatres in a given season. ⁴We will also look at the critical and audience reception of productions of Yale-commissioned plays and musicals, as well as field-recognition and career advancement of the artists supported by the Center.

The purpose of the five-year independent review process is to provide the Dean/Artistic Director and the Center staff with the opportunity to evaluate the Center's mission, strategy, and programming within the context of the evolving landscape of new play development, production, and dissemination in the American theatre. We envision gathering a panel of up to six nationally-distinguished leaders in the field for each five-year evaluation. We would invite the panel to New Haven for a site visit to see the work of the Center. This would include providing the panel with the opportunity to see at least one Yale Rep production supported by the Center, as well as scheduling meetings with the Center staff and interviews with Yale-commissioned artists. We would seek recommendations from the panel as to the most effective way to coordinate these opportunities.

2/10
Yrs

The panel would comprise leaders from the following:

New Play Development Organizations (e.g., Todd London, Artistic Director, New Dramatists; Jeremy Cohen, Producing Artistic Director, The Playwrights Center, Minneapolis; Polly Carl, Institute Director, American Voices New Play Institute)

Producing Organizations (e.g., Les Waters, Artistic Director, Actors Theatre of Louisville/Humana Festival of New Plays; Martha Lavey, Artistic Director, Steppenwolf Theatre Company; Bill Rauch, Artistic Director, Oregon Shakespeare Festival; John Glore, Associate Artistic Director, South Coast Repertory)

Funders (e.g., Vicki Reiss, Executive Director, The Shubert Foundation; Susan Feder, Program Officer, The Andrew W. Mellon Foundation; Ben Cameron, Program Director for the Arts, Doris Duke Charitable Foundation; Emilyya Cachepero, Director of Artistic Programs, Theatre Communications Group)

Individual Artists (e.g., Sarah Ruhl, David Henry Hwang, Doug Wright)

* Together with the panel, the Center staff will examine ways the Center can continue to leverage its strategic competitive advantage as a leader in the field. The panel's report will assess the strengths and weaknesses of the program at that point in time and make recommendations to the Dean/Artistic Director for enhancements and/or course corrections, potentially to include new goals, objectives and benchmarks to be adopted at the Dean/Artistic Director's discretion. For as long as the Robina Foundation is in existence, the Dean/Artistic Director shall respond in writing to the Robina Foundation with respect to the substance of the report and recommendations.

**Robina Foundation Endowment Gift for The Binger Center for New Theatre
Indenture**

The Robina Foundation is pleased to document its commitment of \$_____ to establish an endowed fund for the benefit of The Binger Center for New Theatre ("the Center") at Yale School of Drama. The name of this endowed fund will be The Binger Center for New Theatre Endowment.

Schedule and Form of Contributions: This commitment will be fulfilled [with/by...]. This fund may be added to from time to time by the donor or others.

Use of Endowment Income: The expendable income from the fund shall be used to provide direct support to the Center. Yale School of Drama may direct the resources from this fund in a variety of ways, including, but not limited to, the commissioning, development, production and dissemination of new plays under the auspices of the Center. Specifics are outlined in the attached proposal, which represents the overall understanding of the Robina Foundation and Yale University of the activities of The Binger Center for New Theatre and is part of this indenture.

Excess Income: If expendable income from the fund grows beyond what is practical to use for the purposes stated above, the University Provost may use the excess income to support projects at Yale School of Drama that most closely align with the spirit of the donor's intent. These include, but are not limited to, such purposes as may be identified by future independent review panels and adopted by the Dean of the School.

Stewardship: The Center shall provide the Robina Foundation, for the life span of the foundation, with an annual written report of its progress, including a financial update noting the fund's market value, principal, and expendable income.

Fund Administration: Yale University will administer the fund created hereunder in accordance with the policies authorized by the Yale Corporation. The donor intends that the fund provide continuous, stable and sustainable spending in support of the purposes described above, in accordance with the University spending policy. The donor recognizes that the application of Yale's spending policy, combined with economic conditions, may cause the market value of the fund to fluctuate above or below the historic book value of the fund.

In the event that, at some future time, in the judgment of the Yale Corporation, it becomes impossible or impractical to apply the distributions from this fund to the purpose described above, the Yale Corporation shall make such modifications to the use of the fund as will appropriately recognize the interests of the Donor in coordination with University priorities. During the existence of the Robina Foundation, any such changes will be considered in consultation with the Foundation.

[Donor Name]

Date

Inge T. Reichenbach
Vice President for Development, Yale University

Date

James Bundy
Dean, Yale School of Drama
Artistic Director, Yale Repertory Theatre

Date

YALE UNIVERSITY

OFFICE OF THE PRESIDENT

105 WALL STREET, PO BOX 208229
NEW HAVEN CT 06520-8229

January 17, 2012

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

Dear Penny:

Happy New Year. I hope that you had an enjoyable and restful holiday season.

I am writing to address a concern that I understand has been raised by the Directors of the Foundation in connection with our proposal for the School of Drama. But, first, please allow me to express Yale's deep gratitude to the Robina Foundation for establishing the Center for New Theatre. The Center's early successes bode well for a robust future, and I greatly appreciate the Foundation's consideration of the new proposal requesting support to sustain the Center in perpetuity.

As I understand it, the Directors of the Foundation have expressed concern that a transformative gift such as they are contemplating might tempt the University to reduce the support it provides to the School. Let me lay this concern to rest.

Let me begin by describing the nature of Yale's current funding of the School, how the funds requested in the Drama School's proposal differ from the University's support, and why support from the Robina Foundation would not replace Yale's own funding.

As part of its general budget, the University provides core operating support for professional schools, such as the School of Drama, that are not self-supporting. University funds provide for the basic needs of the School, including faculty and staff salaries, administrative costs, and facilities expenses. In other words, University funding underwrites the existing operation of the School, and covers the costs associated with faculty, students, and staff that are not funded by tuition revenue or unrestricted endowments.

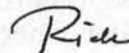
Ms. Penny Hunt
January 17, 2012
Page Two

On the other hand, the funds requested from the Foundation are to support in perpetuity a new, incremental initiative, namely the activities of the Center for New Theatre, and only those activities. Restricted endowment funds are established with contractual agreements, with the donor's wishes for the funds set forth in an "indenture" that is signed by both parties. The indenture codifies the use of funds in perpetuity and the University is bound by its terms. Your endowment funds could not and will not be used as a replacement for the University's core operating support of the School.

I hope that this information will be helpful to the Robina Board as you consider the current proposal. Yale has flourished in large part because of the foresight of the many donors who have established endowments to ensure the perpetuation of new programs of transformative significance. We would be honored to have the Robina Foundation take its place among such donors.

With best regards,

Sincerely yours,



Richard C. Levin

RCL:mg

cc: Inge Reichenbach

Email to Tom Crosby, Penny Hunt and Nancy Gilberg from Mike Sullivan

Date: January 5, 2012

Re: Endowment Request – Yale School of Drama

The purpose of this report is to present my findings and recommendation on the request of the School of Drama of Yale University to accelerate the payment stream and to create an endowed account for The Center for New Theater.

Since our discussion in mid-December I have run some additional modeling (Model 2 - attached) which strengthens my recommendation to fully fund the endowment at this time.

BACKGROUND:

Yale has requested funding in one of four different payment plans: one, three, five, and ten years. Likely, there are other scenarios, but I worked with these four, comparing them to a fifteen year model with increasing annual payments. We'll call this last model the "base" model. I needed to make some assumptions so that the present value (PV) of the base model would approximate the PV of the Yale models: I therefore chose a payment stream commencing with \$1,200,000, and increasing by \$100,000 per year for the remaining 14 years (see Model 2).

The expected return of the Yale managed portfolio is 9% per year, on average. Inge Reichenbach indicates that 9.25% is the long term expected return of the Yale strategy. This is reasonable in my opinion for the reasons I provide in the next sections. For the Robina managed portfolio, I assumed an average annual return of 6% due to our more conservative (i.e. increasing bonds with passing years) investment strategy.

I would also note that the annual budgets of the School of Drama and specifically of The Center for New Theater assume that any annual deficit will be made up or "plugged" by Robina contributions. There is no adjustment in expenditure budgets for any model. Thus, the Yale presentation makes it more beneficial for Robina (and for Yale's expense budget, for that matter), to fund the request in fewer rather than more years.

OBSERVATION A:

Model 1 (attached), which I reviewed with you in December, clearly indicates the PV of any of the multiple payment streams - one, three, five, and ten years. It's easy math, but in all cases, Yale would be benefited by the payment today of \$18,407,470. Yale would enjoy a higher average annual return producing residual assets at the end of every payment stream. Under every model, we would need to obligate a larger PV of assets to meet the payment streams than Yale would need to reserve to meet the same "withdrawal" stream. As an example, to meet the ten year request of \$23,000,000, Robina would need to allocate \$17,191,724 today, while even at a lower 8% return, Yale would only need to reserve \$15,747,266 of an up-front payment of \$18,407,470, thereby investing the residual of \$2,650,204 for future growth and need of the Center.

OBSERVATION B:

Please reference Model 2 (attached). This is an alternate way to look at the request. Here, I assumed a 6% Robina return, and a 9% Yale return. These become the discount rates to get to the PV. The "base" model is listed at the top, followed by the one, three, five, and ten year models presented by Yale.

Under the base model, Robina would need to reserve \$17,410,154 today to meet the \$1,200,000, increasing by \$100,000 per year, payment stream. At a 9% return, Yale would only need \$14,053,513 providing an up-front bonus to Yale of \$3,356,641 for investment for future growth and needs of the Center. In every multi-year case that follows, Yale can achieve a larger impact with the same up front payment than we can with our lower annual return.

Please note that the range of the Robina contribution, in PV, is from \$16,966,262 to \$17,410,154.

OBSERVATION C:

David Swensen is considered to be one of the leaders in endowment fund management, in fact creating what is now known in academe as the "endowment model". The annualized returns of the Yale portfolio are nothing short of stellar, including an annualized 10.1% (prelim) for the ten years ending June 30, 2011. Once again, this will be amongst the best in higher education. He's been at the helm since 1985. Frankly, his presence and strategy trump other considerations as the Robina board can go forward with a great degree of confidence that this endowed fund at Yale will be managed very effectively.

RECOMMENDATION:

We should consider full funding: either \$18,407,470 in one year (during Yale's next fiscal year ending June 30, 2013), or \$17,365,538 (a discount of 6%) payable at this time. Rounding to \$17,500,000 is slightly greater than the results of all models, which should please Yale by slightly reducing the risk of funding adequacy.

Michael F. Sullivan, Ph.D.

Associate Professor of Finance, Opus College of Business

CFO and CIO (retired), University of St. Thomas

TMH 349

1000 LaSalle Avenue

Minneapolis, MN, 55403, USA

Phone: ++651.962.4321

Email: mfsullivan@stthomas.edu

Model	1-year	Principal	Operating Support	Total	NPV 7%	NPV 6%	Model	3-Year	Operating Support	Total	NPV 7%	NPV 6%	Model	5-Year	Operating Support	Total	NPV 7%	NPV 6%	Model	10-Year	Operating Support	Total	NPV 7%	NPV 6%
	2013	15,000,000	3,407,470	18,407,470				5,000,000	1,417,254	6,417,254	\$ 5,941,902	\$ 6,054,013		3,000,000	1,027,682	4,027,682	\$ 3,729,335	\$ 3,799,700		1,600,000	1,000,000	2,600,000	\$ 2,407,407	\$ 2,452,830
	2014	0	0	0				5,000,000	1,417,254	6,417,254	\$ 5,501,761	\$ 5,711,333		3,000,000	1,027,682	4,027,682	\$ 3,453,088	\$ 3,584,623		1,600,000	950,000	2,550,000	\$ 2,186,214	\$ 2,269,491
	2015	0	0	0				5,000,000	1,417,254	6,417,254	\$ 5,094,223	\$ 5,388,050		3,000,000	1,027,682	4,027,682	\$ 3,197,304	\$ 3,381,719		1,600,000	900,000	2,500,000	\$ 1,984,581	\$ 2,099,048
	2016	0	0	0				0	0	0				3,000,000	1,027,682	4,027,682	\$ 2,960,467	\$ 3,190,301		1,600,000	850,000	2,450,000	\$ 1,800,823	\$ 1,940,629
	2017	0	0	0				0	0	0				3,000,000	1,027,682	4,027,682	\$ 2,741,173	\$ 3,009,718		1,600,000	750,000	2,350,000	\$ 1,599,371	\$ 1,756,057
	2018	0	0	0				0	0	0				0	0	0				1,600,000	650,000	2,250,000	\$ 1,417,882	\$ 1,586,161
	2019	0	0	0				0	0	0				0	0	0				1,600,000	625,000	2,225,000	\$ 1,298,266	\$ 1,479,752
	2020	0	0	0				0	0	0				0	0	0				1,600,000	525,000	2,125,000	\$ 1,148,071	\$ 1,333,251
	2021	0	0	0				0	0	0				0	0	0				1,600,000	425,000	2,025,000	\$ 1,013,004	\$ 1,198,594
	2022	0	0	0				0	0	0				0	0	0				1,600,000	325,000	1,925,000	\$ 891,647	\$ 1,074,910
Total		15,000,000	3,407,470	18,407,470	17,043,954	17,365,538	15,000,000	4,251,762	19,251,762	\$ 16,537,886	\$ 17,153,397		15,000,000	5,138,410	20,138,410	\$ 16,081,366	\$ 16,966,062		16,000,000	7,000,000	23,000,000	\$ 15,747,266	\$ 17,190,724	

8%

6%

Model	Total	NPV 6%	NPV 7%	NPV 8%
1-Year	18,407,470	17,365,538	17,203,243	17,043,954
Year - 3	19,251,762	17,153,397	16,840,903	16,537,886
Year - 5	20,138,410	16,966,062	16,514,291	16,081,336
10-Year	23,000,000	17,191,724	16,444,227	15,747,266

Model 1

Model 2

Discount Rate Robina 6%
Discount Rate Yale 9%
Increase in Payments: \$ 100,000

Year	1	2	3	4	5	6
Payment	\$ 1,200,000	\$ 1,300,000	\$ 1,400,000	\$ 1,500,000	\$ 1,600,000	\$ 1,700,000
	\$ 1,132,075	\$ 1,156,995	\$ 1,175,467	\$ 1,188,140	\$ 1,195,613	\$ 1,198,433
	\$ 1,100,917	\$ 1,094,184	\$ 1,081,057	\$ 1,062,638	\$ 1,039,890	\$ 1,013,654

PV 2011, Robina	\$ 17,410,154
PV 2011, Yale	\$ 14,053,513

One-Year Payment	\$ 18,407,470
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PV 2011, Robina	\$ 17,365,538
PV 2011, Yale	\$ 16,887,587

Three-Year Payment	6417254	6417253	6417253
	\$ 6,054,013	\$ 5,711,332	\$ 5,388,049
	\$ 5,887,389	\$ 5,401,273	\$ 4,955,297

PV 2011, Robina	\$ 17,153,395
PV 2011, Yale	\$ 16,243,959

Five-Year Payment	\$ 4,027,682	\$ 4,027,682	\$ 4,027,682	\$ 4,027,682	\$ 4,027,682
	\$ 3,799,700	\$ 3,584,623	\$ 3,381,719	\$ 3,190,301	\$ 3,009,718
	\$ 3,695,121	\$ 3,390,019	\$ 3,110,110	\$ 2,853,311	\$ 2,617,717

PV 2011, Robina	\$ 16,966,062
PV 2011, Yale	\$ 15,666,278

Ten-Year Payment	\$ 2,600,000	\$ 2,550,000	\$ 2,500,000	\$ 2,450,000	\$ 2,350,000	\$ 2,250,000
	\$ 2,452,830	\$ 2,269,491	\$ 2,099,048	\$ 1,940,629	\$ 1,756,057	\$ 1,586,161
	\$ 2,385,321	\$ 2,146,284	\$ 1,930,459	\$ 1,735,642	\$ 1,527,339	\$ 1,341,601

PV 2011, Robina	\$ 17,190,724
PV 2011, Yale	\$ 15,095,770

7	8	9	10	11	12	13	14	15
\$ 1,800,000	\$ 1,900,000	\$ 2,000,000	\$ 2,100,000	\$ 2,200,000	\$ 2,300,000	\$ 2,400,000	\$ 2,500,000	\$ 2,600,000
\$ 1,197,103	\$ 1,192,084	\$ 1,183,797	\$ 1,172,629	\$ 1,158,933	\$ 1,143,030	\$ 1,125,214	\$ 1,105,752	\$ 1,084,889
\$ 984,662	\$ 953,546	\$ 920,856	\$ 887,063	\$ 852,572	\$ 817,730	\$ 782,829	\$ 748,116	\$ 713,799

\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -
\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -

\$ 2,225,000	\$ 2,125,000	\$ 2,025,000	\$ 1,925,000					
\$ 1,479,752	\$ 1,333,251	\$ 1,198,594	\$ 1,074,910	\$ -	\$ -	\$ -	\$ -	\$ -
\$ 1,217,151	\$ 1,066,466	\$ 932,366	\$ 813,141	\$ -	\$ -	\$ -	\$ -	\$ -

David Swensen

Biographical Sketch

David Swensen, Yale's Chief Investment Officer, oversees \$19.4 billion in Endowment assets and several hundreds of millions of dollars of other investment funds. Under his stewardship during the past 26 years the Yale Endowment generated returns of 14.2 percent per annum, a record unequalled among institutional investors. Mr. Swensen leads a staff of 27, located near the University's campus in downtown New Haven.

Prior to joining Yale in 1985, Mr. Swensen spent six years on Wall Street – three years at Lehman Brothers and three years at Salomon Brothers – where his work focused on developing new financial technologies. At Salomon Brothers, he structured the first swap, a currency transaction involving IBM and the World Bank. Mr. Swensen authored Pioneering Portfolio Management: An Unconventional Approach to Institutional Investment and Unconventional Success: A Fundamental Approach to Personal Investment, both published by The Free Press, an imprint of Simon & Schuster. His books have been translated into Chinese, Japanese, Korean, German, French, Spanish and Italian.

Mr. Swensen has won numerous awards, including: in 2008, a fellowship in the American Academy of Arts & Sciences; in 2007, the Mory's Cup for conspicuous service to Yale; in 2007, the Hopkins Medal for commitment, devotion and loyalty to Hopkins School; and in 2004, the Inaugural Institutional Investor Award for Excellence in Investment Management. At Yale, where he teaches students in Yale College and at the School of Management, he is a Fellow of Berkeley College, an Incorporator of the Elizabethan Club, and a Fellow of the International Center for Finance.

Mr. Swensen advised the President of the United States as a member of the President's Economic Recovery Advisory Board. He served as trustee or advisor to Cambridge University, the Carnegie Corporation, the Carnegie Institution of Washington, the Hopkins School, TIAA, the New York Stock Exchange, the Howard Hughes Medical Institute, the Courtauld Institute of Art, the Yale New Haven Hospital, the Investment Fund for Foundations, the Edna McConnell Clark Foundation and the States of Connecticut and Massachusetts. Mr. Swensen is a Trustee of The Brookings Institution.

October 2011

Late Life Supportive Care (LLSC) project

January 2012 Robina Foundation Board Quarterly Report

The Late Life Supportive Care (LLSC) project has officially launched. Important milestones this early in the project include forming the LLSC project team, building key partnerships, both internally and externally, and connecting into Allina initiatives where appropriate.

Organizational structure

See Exhibit A

Schedule of stakeholder meetings

Internal LLSC Presentations Scheduled/Completed:

Abbott Northwestern Palliative Care Team	Jan 16
Allina Clinic and Community Division Leadership Team (ACCD)	Jan 16
Allina Senior Care Transitions Provider Meeting (ASCT)	Jan 17
Allina Executive Leadership Team (ELT)	Jan 17
Allina Performance Leadership Team (PLT)	Jan 17
Allina Clinical Leadership Team (CLT)	Jan 26 or Feb 9 (not confirmed)
Allina Clinical Service Line Operations Team	Feb 2
Abbott Northwestern Medical Leadership Team (MLT)	Feb 6 (not confirmed)
Allina Home & Community Leadership	March 26

External LLSC Meetings:

Walker Methodist Health Center	Dec 13
Augustana Health Care Center	Dec 16
<u>Twin Cities Public Television</u>	bi-monthly
University of Minnesota – School of Public Health	Jan 23
AARP	

Partnership with Twin Cities Public Television

To engage the public in the innovation and development of the late life supportive care model, we have started initial discussions with Twin Cities Public Television (TPT) on patient, family and care team listening sessions, a late life supportive care visioning video, and interactive web site. The listening sessions will record dozens of small group conversations to explore the hopes and concerns about care in the last years of life. The views from these sessions will identify the six to eight 'key questions' that will guide the care model. The visioning video is intended to

explain the goals of late life supportive care. An interactive website will allow the public to be introduced to the challenge of late life care, view the visioning video and the listening sessions.

Participant in the Coalition to Transform Advanced Care (C-TAC)

The Coalition to Transform Advanced Care is a national consortium of health care providers, health systems, health care insurers, and advocacy groups. C-TAC's vision is that all Americans with advanced illness, especially the sickest and most vulnerable, will receive comprehensive, high-quality, patient-centered care that is consistent with their goals and values and honors their dignity.

Eric Anderson and Sandy Schellinger are participating members of the clinical model and professional education workgroups, respectively. Allina has committed to participate in the National Pilot of Person-Centered, Integrated Care for Late-Stage Chronic Illness sponsored by C-TAC.

The C-TAC pilot will create a model that: ensures patient choice and shared decision-making drives care, improves quality, promotes high levels of satisfaction, and reduces costs for this population. Their goal is to achieve changes in national policy to support and reimburse new and needed services for some of our most vulnerable citizens.

A number of C-TAC member organizations are seeking funding from CMS. Others, including Allina, will be submitting data from work already in progress. C-TAC has been designated by CMS as a convener for these efforts. As such, it adds value to the LLSC project by providing technical assistance to standardize the care delivery model, while allowing for customization at each site, making pooled outcomes data meaningful. C-TAC will have the capacity and resources help organizations with issues such as risk stratification, triage, programmed advance care planning, telephonic case management, and care coordination. As a convener it will provide centralized data management, standardized metrics and reporting, collection, aggregation, analysis, review, and submission to CMS. Throughout the pilot, C-TAC will implement a rapid-learning collaborative wherein best practices can be evaluated, summarized, and disseminated to all members.

Connection with other Allina Initiatives

A research team, including Abbott Northwestern providers and staff from the Allina's Center for Healthcare Research and Innovation, is launching a Palliative Care study for patients with heart failure. It is modeled on the widely publicized trial of palliative care in metastatic lung cancer, (Temel et al, New England Journal of Medicine. 363(8):733-42, 2010). The LLSC team is working with the ANW research team to coordinate intervention planning with heart failure patients through the shared services of a nurse research coordinator.

In its effort to reduce readmissions for heart failure patients, Allina is also focusing on transitions of care. Through strategies such as discharge conferences and better provider-to-

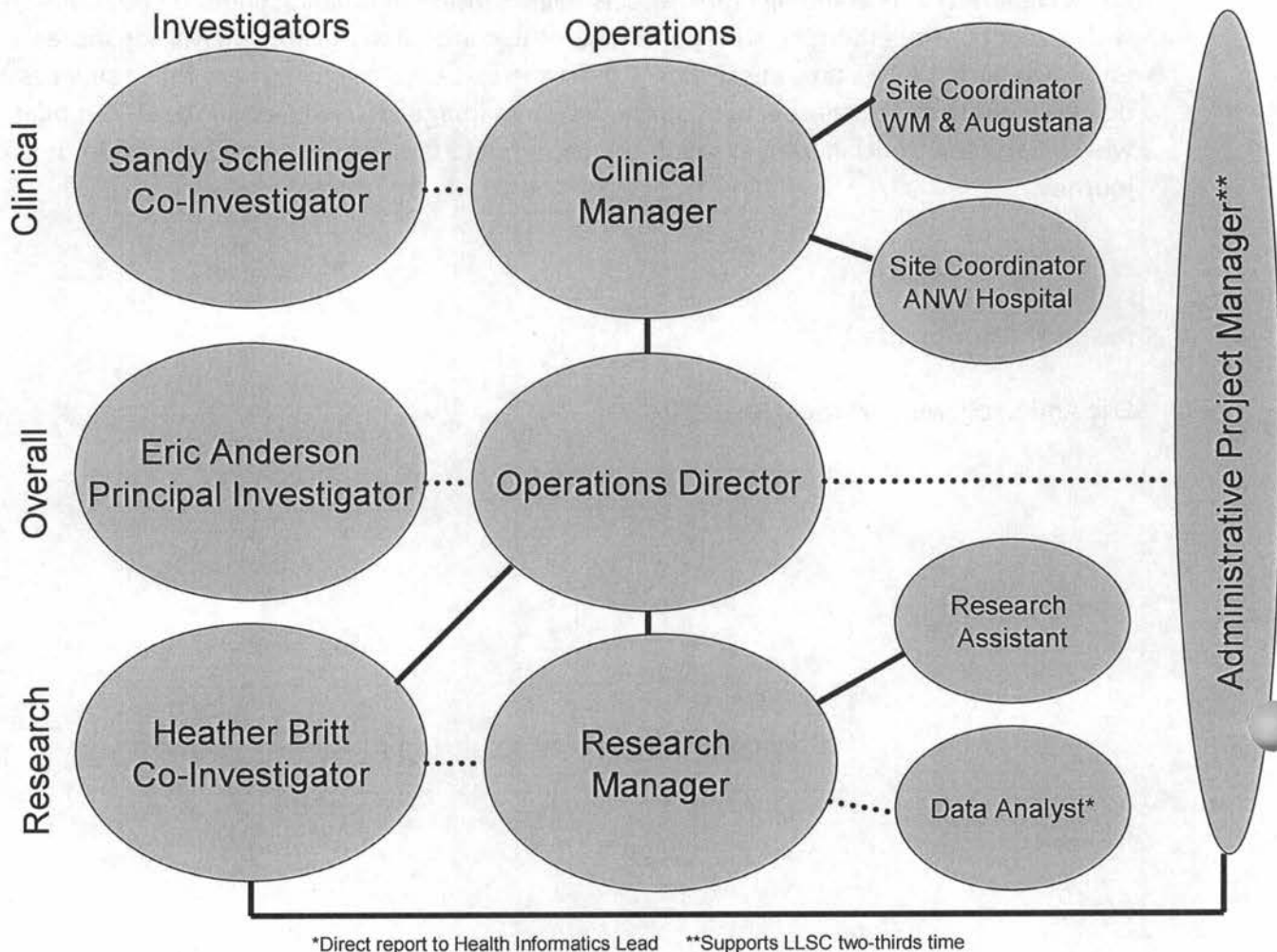
provider communication, will we have new opportunities to introduce and enroll patients in LLSC, and to tie the services received in hospital to community settings.

Allina is in the beginning stages of a rebranding effort and will be changing its public name to Allina Health. This rebranding work reflects Allina's vision of building enduring relationships with patients. The emerging strategy engages the continuum of care; we will see more emphasis within Allina on clinical service lines and less emphasis on where those services are delivered. Both of these aspects of our new system image are reflected in the LLSC model, where a trusted clinician partners with the patient and family to help guide them on their care journey.

Respectfully submitted,

Eric Anderson, MD, Principal Investigator

Late Life Supportive Care Team





Honoring Choices Minnesota

*Executive Committee Community Engagement Summary
4th Quarter 2011*

***Who would speak for you
if you couldn't speak for yourself?***

www.honoringchoices.org



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society

Community Engagement Highlights

Community Ambassador Review

- **24** community leaders/representatives are being trained as HCM Ambassadors to introduce ACP conversations and information in faith, non-profit organizations, colleges/universities and other settings
- **12** of the 24 Ambassadors are members of multicultural communities including Somali, Hmong, Latino and Native American populations
- The Ambassadors have become a *learning community* that promotes and shares lessons learned, community successes and recommendations



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society

Community Engagement Highlights

Community Ambassador Review

- Developed a new Ambassador Toolkit - www.metrodoctors.com – that includes PPT presentations, culturally specific listening session videos, resources and other materials for Ambassadors and the public-at-large
- Received excellent, constructive feedback from multicultural Ambassadors on beginning ACP conversations within multicultural communities and additional needed materials
- Scheduled 2012 training dates for a 2nd wave of new Ambassadors



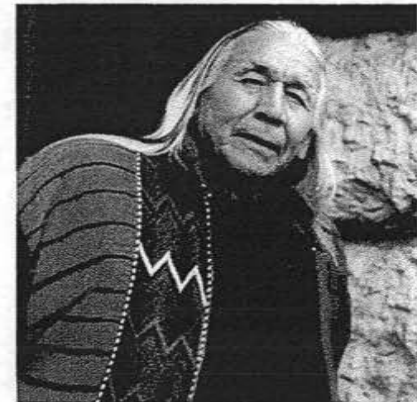
Honoring Choices
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A project of the Twin Cities Medical Society

Community Engagement Highlights

Multicultural Advisory Board

- Purpose: to recommend additional strategies, spread HCM recognition within diverse communities and develop new multicultural resources for community engagement (television/cable, radio, web-based, others)
- Meets quarterly each year
- 10 members include Latino, Hmong, Native American, Somali, Russian and other leaders/representatives



Honoring Choices
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[Community Engagement Highlights

Health Care System Involvement

- **800** certified facilitators
- **32** certified instructors
- **12** health care pilot sites
- **9** health care organizations using HCM patient education materials



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Community Engagement Highlights

AARP

- May 2011 AARP news feature – estimated readership to be finalized
- Shared AARP education building space at MN State Fair (HCM public information booth)
- September Robo Town Hall Forum: 7,000 members connected to the call; 100 stayed on the call for 1 hour; 100 stayed on the call 30 minutes; 100 stayed on the call 10 minutes
- **20,000** MN AARP members received a voice mail message if they did not pick up the line
- 2012 plans include additional Robo Forums



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Community Engagement Highlights

Media Review

- Star-Tribune feature and editorial
- Discussion with Minneapolis Star Tribune Board Chair on potential news & promotion opportunities (Sunday circulation is now 518,095 or 7th largest Sunday newspaper in U.S.; daily circulation is 298,147 or 12th largest among US newspapers)
- 1 Almanac + 1 feature + 3 documentaries
- 20 e-newsletters articles/features/info in other metro/state organizations with documentation of publicity



Honoring Choices
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Community Engagement Highlights

Website Review

- 4,524 unique visitors to www.honoringchoices.org between May 26-September 27 (*Google Analytics* TPT tracking)
- Distributed 4 HCM e-newsletters in 2011 with ACP updates and news to an estimated group list of 600 unique readers
- Completed 12 Listening Sessions on the HCM website with updates to Resources
- Continued to add professional news (trainings/education/other) and community successes to the MetroDoctors website



Honoring Choices
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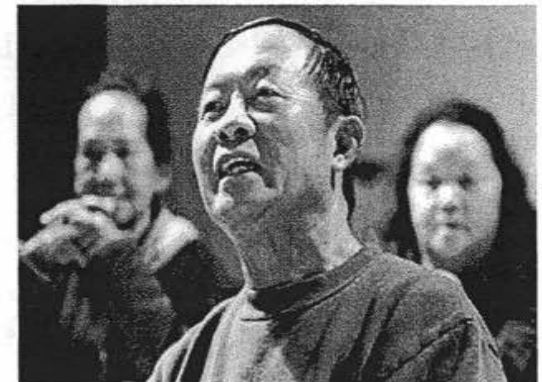
Community Engagement Highlights

Events & Presentations

- 45 presentations in 2011 (February-December)

Recent presentations included:

- Hindu Temple of MN (largest Hindu temple in North America)
- Protestant faith communities
- MN Board on Aging
- MN Dept. of Health
- St. John's/St. Benedicts
- United Seminary
- U of MN School of Medicine
- Block Nurse Association
- Wisconsin Medical Society



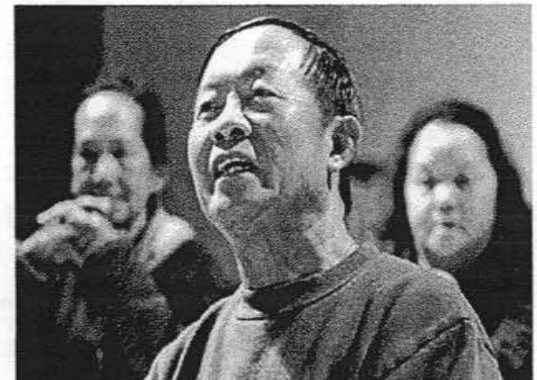
Honoring Choices
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Community Engagement Highlights

Diverse Faith Communities

- Leaders and representatives of Protestant, Catholic, Jewish, Muslim, Native American and Hindu communities are part of the infrastructure of Honoring Choices.
 - United Seminaries is discussing an ACP seminar/course as part of ongoing student training
 - Honoring Choices listening sessions are on the website of Adath Jeshurun congregation
 - The Hindu Temple of MN hosted an education session and trained two Temple leaders as Ambassadors
 - Two Native American community members have an active role as Ambassadors and co-facilitators
 - Plus more to come in 2012



Honoring Choices
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Community Engagement Highlights

New Materials, New Leadership & More

- 2 new community information sheets (Who Would Speak for You?” and “Advance Care Planning 101”)
- 4 new multicultural Ambassador co-facilitators (2 retired physicians and 2 multicultural community leaders) to broaden Ambassador *leadership* opportunities
- Completion of Citizens League Phase II Report (posted on HCM websites)
- Interest by Bethel College, Century College and St. Cloud University in developing a multi-disciplinary ACP curriculum
- Interest by Wisconsin, Iowa and Texas in developing “Honoring Choices” ACP initiatives



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society

Community Engagement Highlights

Estimating our Reach in 2011

- Community events/presentations (March-December): **45**
- Participants in events/presentations: estimated **700**
- Average group size: 18 participants
- News stories (features, editorials, e-articles, etc.): **25**
- HCM Volunteer Ambassadors: **24**
- Documentary viewers: numbers to be confirmed
- Star-Tribune feature & editorial: Sunday circulation: **518,095**;
weekday circulation: **298,147**
- More measures in February 2012 with 2nd Medica grant report



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society

Community Engagement Quote-of-the-Day

ATTITUDES TOWARD DEATH

The French think death is *inevitable*.
The English think it's *imminent*.
The Americans think it's *optional*.

- Jane Walmsey (Brit-think, Ameri-think, 2003)



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society

Newest Announcement . . .

A significant **grant** from the Bush Foundation was approved to introduce ACP in 6 MN communities over 18 months, beginning January 2012. This “demonstration project” grant was given to HCM and the Minnesota Council of Churches (MNCC).

An additional HCM staff person will be shared with the MNCC.

It's been one successful year.



Honoring Choices
MINNESOTA

A project of the Twin Cities Medical Society



J. Mylo Meland, MD and Ross Anderson, MD, Honoring Choices Co-Facilitator Ambassadors



A Sampling of Honoring Choices Community Ambassadors



Ambassador Nancy Smith with Co-Facilitators May Seng Cha & Aida Strom

There's *Magic* in the Year: Honoring Choices *End-of-Year Countdown*

4,524+ Unique Web Hits to www.honoringchoices.org in a 4-month period.

800 Certified Facilitators trained in Minnesota health & human service organizations.

45 Community Presentations to faith communities, colleges/universities, non-profits, state /local conference and other events on beginning an advance care planning conversation.

32 Certified Instructors trained in Minnesota health & human service organizations.

24 Community Ambassadors joined together in 2011 to spread the word across diverse communities about the power of advance care planning conversations.

12 Health Care Pilot Sites as of December 2011.

9 Health Care Organizations using new ACP patient education materials.

6 New Patient Education Resources including an Advance Care Planning Guide, Advance Care Planning Glossary, Health Care Agent, CPR Fact Sheet, Help with Breathing Fact Sheet and Tube Feeding Fact Sheet in English, Spanish, Somali, Hmong and Russian languages.

5 Televised Special Features/Documentaries produced by Twin Cities Public Television. Documentaries featured the emergence of advance care planning, its history, and compelling personal stories. A *TPT Almanac* appearance and a pre-documentary feature also rounded out the year. (Two additional documentaries are underway and will be aired in 2012.)

4 Translated Health Care Directives in Spanish, Somali, Hmong and Russian languages.

Put it all together and you get . . . **1 Successful Year**

Disease Specific Advance Care Planning for Heart Failure Patients: Implementation in a Large Health System

Sandra Schellinger, R.N., M.S.N., N.P.C.,¹ Abbey Sidebottom, M.P.H.,² and Linda Briggs, R.N., M.S., M.A.³

Abstract

Purpose: This study evaluates the implementation of Disease Specific Advance Care Planning (DS-ACP) for heart failure patients in a large health care system. The DS-ACP model uses a trained facilitator to guide communication between patient and proxy regarding patient values and goals for treatment in worst-case scenarios, develop a disease specific documentation plan, and identify needed resources.

Methods: Referral and DS-ACP service delivery data were merged with electronic health record data. Process measures for implementation are described. Patients who participated in DS-ACP are compared with those who did not on demographics, medical characteristics, and outcomes such as inpatient readmissions, and hospice use among those who died. A chart audit was completed on a sample of patients to examine differences in advance care planning documentation between participants and nonparticipants.

Results: Nearly one third (31.8%) of the 1894 heart failure patients referred to DS-ACP participated. Referral method was associated with participation. A chart audit revealed 94.3% of those completing the DS-ACP process, had a health directive compared to 24.8% of noncompleters ($p < 0.001$). Of the patients who died by the end of the study period ($n = 286$), DS-ACP participants were more likely to have used hospice compared to nonparticipants (56% versus 37%, $p = 0.002$).

Conclusions: These initial evaluation results indicate the DS-ACP model, previously tested in randomized trials, can be successfully implemented among heart failure patients in a large health care system. Results demonstrate the importance of referral method and show initial positive results for participation, improved documentation, and hospice use.

Introduction

THE PATIENT SELF-DETERMINATION ACT is now 20 years old, yet there is much to be learned about the type of assistance patients require to create their own written advance directives. Advance care planning (ACP) models have emerged to promote a process of communication in helping patients make informed choices, and the creation of reliable systems to honor these choices. This emerging model of ACP, however, must be individualized to the patient's readiness to learn and stage of illness. The majority of deaths in individuals over age 65 are the result of chronic disease, yet less than 50% of these patients are likely to have created written plans.¹ This is unfortunate as these patients often experience unexpected periods of health crisis and recovery with no clear trajectory guiding when end-of-life decisions will be needed.¹

Conventional advance directives (e.g., living will, power of attorney for health care) are not constructed to address the specific planning needs of patients with chronic disease. Few people have such directives, physicians are often unaware of their presence due to poor accessibility, and the language in directives is often too generic focused around life sustaining treatment to be helpful,¹ particularly for patients with chronic or terminal illness.^{2,3} Additional barriers to effective ACP include poorly prepared surrogates and communication gaps between patients and providers on the end-of-life decision-making. The appointment of a health care agent is a recommended strategy in ACP, but research has found that named surrogates were often not present to make decisions, were too emotionally upset to offer guidance,¹ and most importantly, were frequently unsuccessful at accurately predicting the desired choices of the patient.^{4,5} Evidence also suggests many medical professionals are too uncomfortable

¹Advance Care Planning, Allina Hospitals and Clinics, Minneapolis, Minnesota.

²Center for Healthcare Innovation, Allina Hospitals and Clinics, Minneapolis, Minnesota.

³Gundersen Lutheran Medical Foundation, Inc., La Crosse, Wisconsin.

Accepted June 20, 2011.



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SAINT PAUL | MINNEAPOLIS

PUBLIC ENGAGEMENT

(Twin Cities Public Television / TPT)

Key to the overall success of the LLSC study goals will be the degree to which its lessons can engage the imagination and enthusiasm of the general public and especially those members of the public most likely to lead innovation and fundamental change. When considering public engagement options, we have been impressed with the on-going work of "Honoring Choices Minnesota;" the end-of-life care project planned and executed through a partnership between the Twin Cities Medical Society and Twin Cities Public Television (TPT). The same senior team at TPT that designed Honoring Choices public engagement campaign has been retained as the public engagement (PE) partner for the LLSC study team. The core goal for this PE work will be ...

"To inspire and support Minnesotans re-imagining alternative models for late-life care."

Fundamental to achieving this goal will be regular public exposure to the core messages over an extended period of time. Twin Cities Public Television / Public Engagement (TPT/PE) has designed a process to achieve this through the staggered broadcast and on-line release, over 24 months, of thought-provoking Public Television content designed to spark public imagination and discussion. This core print, audio and video content will include dozens of broadcast and on-line elements including Listening Sessions (with patients, families, and care-givers), Documentaries, Almanac segments and carefully curated on-line interactions.

1. LISTENING SESSIONS

Public engagement in Minnesota begins with listening carefully to Minnesotans. As they consider late-life care for themselves and their families what are their core hopes and concerns? Are these hopes and concerns consistent across demographic, cultural and diagnoses-specific groups? How do these hopes and concerns compare to those of care-givers? At the outset, TPT will lead the LLSC/PE team in planning, convening, conducting and recording more than a dozen of these small-group conversations. From these conversations will emerge rich online video through which users will be able to explore the views of other "Minnesotans like them" and to identify six to eight "key questions" that will guide much of the on-going LLSC/PE work.

2. VISIONING VIDEO

Guided by the outcome of these initial Listening Sessions, TPT will work directly with the study managers to create a "visioning video" designed to assist in explaining the goals



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For Immediate Release
October 18, 2011

Contact: Kendra Kojcsich, Porter Novelli
202-973-2919
Kendra.kojcsich@porternovelli.com

People with Serious Illness Have Little Voice When Addressing Care Needs
New Organization Is Working for Comprehensive Reform to Improve Care and Give People More Choice

Today, the newly formed Coalition to Transform Advanced Care (C-TAC) announced its action plan to improve care for people who are the sickest and most vulnerable. The Coalition is calling for reforms to help Americans prepare for and navigate complex issues related to advanced illnesses, such as cancer, heart disease, COPD, diabetes, stroke, and dementia. Specifically, C-TAC will focus on:

- **Doing what works** by designing, evaluating, and sharing evidence-based, best-practice care delivery models – models that work in both clinical and community settings – to ensure high-quality, patient-centered, coordinated advanced illness care across all settings. These new care delivery models will provide better health outcomes and better experiences for patients and their families;
- **Empowering the public** so that patients and families have the freedom, knowledge, and understanding they need to better engage with health care professionals and to ultimately make informed choices for themselves and their loved ones. This increased understanding of advanced illness resources and the decision-making process will better position the public to advocate for changes in care delivery and supporting policies;
- **Educating health professionals** to better serve patients and their loved ones by developing new training models essential to providing comprehensive, inter-professional, team-based care that is driven by patient goals and values. These new training models will increase clinician self worth by better preparing health care professionals to interact with patients and families as equals on the health care team;
- **Creating policy change** by advocating for policies at all levels that are supportive of C-TAC's care delivery intervention and inter-professional training models. In addition, C-TAC plans to develop a broader policy agenda to pursue through federal and state legislative, regulatory, judicial, and administrative initiatives, and private policies, to improve care for those with advanced illness.

C-TAC's diverse membership includes experts and organizations in all fields that affect advanced care, including national patient and caregiver advocates, leading provider groups and health systems, innovative health plans, hospice and palliative care organizations, home care, long term care, clinicians, faith-based organizations, and academics – united by their commitment to transforming care for Americans living with serious illness.

"People with serious illness and their families face huge problems – emotional, spiritual and physical. They often have to fight their way through a maze of clinical settings and information to receive the care they want, versus what the system provides," said Bill Novelli, Co-Chair of C-TAC, a professor at Georgetown's McDonough School of Business, and former CEO of AARP. "Fragmented care is working against them. We need change now."

Many Americans agree. A recent survey by the *National Journal* revealed that nearly 90 percent of Americans agree there should be more dialogue and debate about advanced care to better inform the public. The same survey



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From: David Wippman <dwippman@umn.edu>
Subject: New criminal law faculty
Date: February 7, 2012 4:10:01 PM CST
To: Kathleen Blatz <kathleenblatz@msn.com>, Penny Hunt <pennhunt@gmail.com>
Cc: Gilberg Nancy <ngilberg@robinafoundation.org>

2 Attachments, 330 KB

Dear Kathleen and Penny,

I wanted to provide you a brief update on two recent hires made with Robina support. As you know, we have been seeking an entry level criminal law faculty member to augment our strength in this area, to participate in the work of the Robina Institute, and to help with our goal of training a new generation of scholars in criminal law. We have also been looking for an outstanding new clinical hire, who could provide practical training to students and work with the new Robina Institute.

I'm very pleased to say that Neha Jain and Mark Kappelhoff accepted our offers earlier this week. Neha, a former Rhodes Scholar, is receiving her doctorate from Oxford and currently works as a research fellow at Georgetown University Law Center. She is among the very top criminal law candidates in the entry level market. Mark has been serving as the Chief of the Criminal Division of the Justice Department's Civil Rights Division. Mark brings extraordinary practice experience and strong contacts in the D.C. policy community. Both will be starting with us this summer. Their CVs are attached.

All best regards, David



[Jain.CV.pdf \(96 KB\)](#)



[Kappelhoff....pdf \(234 KB\)](#)

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January 23, 2012

Robina Foundation
Board of Directors
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

*Empirical work
at Institute for
Criminal Law & Criminal Justice*

Dear Members of the Board,

Response to Bob's inquiry

I have spoken with the lead faculty in the new Robina Institute for Criminal Law and Criminal Justice about the role of empirical work in their work plan. I hope the comments that follow will address the Board's concerns in that area.

As a starting point, it may be helpful to recall Jeffrey Fagan's original points regarding empirical work in his evaluation of our proposal:

There is an absence of attention to empirical work. Some empirical work shows up in the "streams" described in the appendices, but it is not a core concern of the Institute. And it is most heavily present, as it should be, in the stream described in Appendix B. Should this be a more central and prominent feature of the Institute? Perhaps. It is tangential to the work of the doctrinal and theoretical enterprises, to be sure. But in the translational work (toward policy) to which the Institute in part aspires, some empirical work would be an interesting complement if not a more central focus. There are resources elsewhere in the University for this, and perhaps a core of "affiliated faculty" should be appointed who can, on a need-basis, be called upon to contribute to specific projects and deliberations. Certainly, some thought might be given to having empirical training in law be part of the training component of the Institute.

*Criminal
Justice
Policy*

While empirical work was not highlighted in our proposal, it will be a significant part of the Institute's work. With the exception of Antony Duff, all of the principals involved in the Institute—Barry Feld, Richard Frase, Kevin Reitz, and Mike Tonry—work on policy subjects in ways that commonly involve empirical data and resort to social science research on empirical subjects. Empirical work looms larger in Mike Tonry's writing than in anyone else's, since much of his work can best be described as public policy research and necessarily encompasses data both to demonstrate problems and to project the likely outcomes of alternate policy responses to problems. However, Feld, Frase, and Reitz, in descending order, also include original empirical analyses in their work. If the board is interested, we could provide copies of Feld's and Tonry's recent, heavily empirical, books.

We are not proposing, however, to make large-scale data gathering a focus of the Institute's work. What we will do in our work is take advantage of the enormous amount of empirical information already available and collected by others, including the U.S. government and state and local governments. In this regard, it is important to distinguish between data use and data collection. To use a common term of art, our in-house faculty are all primarily data consumers

rather than data collectors. So are most legal scholars on any subject who write on policy matters and so also are nearly all public policy scholars and nearly all economists. Data collectors do original research and collect and usually, but not always, analyze the data they collect. As a practical matter, in terms of our interests, training, and specialized skills, the Law School faculty involved in the Robina Institute are necessarily principally data consumers (except Feld who is doing some original data collection on juvenile justice issues).

Also, as a practical matter, the Robina Institute is not likely to have sufficient resources to play a major role as an institution that specializes in original data collection. At least tens of millions of dollars, probably hundreds of millions, are spent annually in the United States on basic and evaluation research on criminal justice subjects. Serious original empirical research is expensive and time-consuming. Fielding even a single demonstration project to be implemented and evaluated would require millions of dollars and at least three to four years to complete once design, funding, staffing, and accommodation were arranged, research designs were developed and pre-tested for both implementation and outcome evaluations, the program was launched and followed for at least 18-24 months, and results were analyzed and published. We do not have the specialized skills, the resources, or the time to do such work. It is not our area of comparative advantage. If it turns out that we need original data collection to confirm or advance a particular policy proposal that emerges as a result of the Institute's work, then, as Fagan suggests, we might at that point enlist resources available elsewhere in the University, from the partner institutions who will be working with us on Institute projects, or from other sources.

To different degrees, the Robina Institute's three program areas will draw on empirical work, as data consumers. ^① The criminal law theory program plans to involve empiricists and practitioners in all its deliberations. Grounded theoretical enquiries into criminal law and criminal procedure subjects require an understanding of the world as it is. Empirical social scientists and practitioners are essential informants.

^② The sentencing law and practice program necessarily will draw on evidence about "best practices," on evaluation research, and on literature reviews and meta-analyses about knowledge concerning the operation of sentencing and parole systems. The Robina Institute group is already highly familiar—as data consumers—with those literatures. Mike Tonry has written books relying heavily on empirical research on American sentencing law and practice and was joint author and editor of a National Academy of Sciences panel report on the subject. Richard Frase and Kevin Reitz have also extensively drawn on empirical work on sentencing throughout their careers. Illustrations include the commentaries to Reitz's work on a new edition of the *Model Penal Code* and Frases's work on his forthcoming Oxford University Press book on sentencing policy and theory.

^③ The criminal justice policy program also necessarily involves resort to systematic empirical data and social science and evaluation research findings. We've already launched a series of initiatives, including "Crime and Justice in America, 1975-2025," the first Annual Robina Criminal Justice Conference in April, to commission systematic reviews of empirical evidence on core subjects from world-leading authorities.

Two of the leading American empiricists will work as external co-coordinators for Robina Institute activities: Jeffrey Fagan, the external reviewer quoted above and a sociologist now at Columbia Law School (but considering an offer from Yale Law School to split his time between the two schools), best known as a data collector concerning racial profiling, youth gangs, and capital punishment; and Daniel Nagin, an operations researcher at Carnegie-Mellon's Heinz School of Public Policy, best-known as a data consumer, and now chair of the National Academy of Sciences Panel on the Deterrent Effects of Capital Punishment. Both will work primarily with the public policy group. Nagin will organize an ongoing project and seminar series on evidence bases for criminal justice policy. Fagan will concentrate on policy issues and racial disparities. Fagan will also be a regular participant in activities of the criminal law program and Nagin of the sentencing program.

In short, the Institute will actively utilize empirical work in its projects, especially, as Fagan urges, in its translational, public policy work. As the Institute's work proceeds, we think its strengths in this regard, and the quality of its overall work, will become apparent.

As always, I would be happy to try to answer any further questions the board might have.

All best regards,



David Wippman
Dean and William S. Pattee Professor of Law



UNIVERSITY OF MINNESOTA
**ROBINA INSTITUTE OF CRIMINAL LAW
AND CRIMINAL JUSTICE**

Re-thinking Criminal Justice

Inaugural Conference of the Robina Institute of Criminal Law and Criminal Justice
Friday, November 11, 2011

AGENDA

Dean's Conference Room

1:00 – 1:15

Welcome and Introduction

Provost Thomas Sullivan

Dean David Wippman

Institute Directors Michael Tonry, Antony Duff

Institute Executive Director Michael Smith

1:15 – 2:30

Criminal Justice Policy Panel

Coordinator: Michael Tonry

Panelists: John Choi, Mike Freeman, Jamie Fellner, Andrew Sonner

1:15 – 1:45 panelist presentations

1:45 – 2:30 open discussion

2:30 – 2:45

Break

2:45 – 4:00

Sentencing Law and Policy Panel

Coordinators: Richard Frase, Kevin Reitz

Panelists: Anthony Doob, Robert Johnson, Nancy King

2:45 – 3:15 panelist presentations

3:15 – 4:00 open discussion

4:00 – 4:15

Break

4:15 – 5:30

Criminal Law Theory Panel

Coordinator: Antony Duff

Panelists: Pamela Alexander, Adil Haque, Carol Steiker

4:15 – 4:45 panelist presentations

4:45 – 5:30 open discussion

5:30 – 6:30

Reception



UNIVERSITY OF MINNESOTA
**ROBINA INSTITUTE OF CRIMINAL LAW
AND CRIMINAL JUSTICE**

PANELISTS

Sentencing Law and Policy

Anthony Doob	Professor of Criminology, Centre for Criminology & Sociological Studies, University of Toronto
Robert M. A. Johnson	Former Anoka County Attorney, Minnesota
Nancy King	Lee S. and Charles A. Speir Professor of Law at Vanderbilt Law School

Criminal Justice Policy

John Choi	Ramsey County Attorney, Minnesota
Jamie Fellner	Senior Advisor for the United States Program of Human Rights Watch
Mike Freeman	Hennepin County Attorney, Minnesota
Andrew Sonner	Former Judge of Maryland Court of Special Appeals, 7 th Appellate Circuit (Montgomery County)

Criminal Law Theory

Pamela Alexander	President of the Minnesota Council on Crime and Justice
Adil Haque	Associate Professor of Law at Rutgers School of Law, Newark
Carol Steiker	Henry J. Friendly Professor of Law at Harvard Law School

Re-Thinking Criminal Justice

Robina Institute of Criminal Law and Criminal Justice

Inaugural Conference

On November 11-12, the Law School's Robina Institute of Criminal Law and Criminal Justice held its inaugural conference on "Rethinking Criminal Justice." The conference brought together leading practitioners and scholars from the United States and elsewhere to discuss transformative ideas for achieving better criminal justice policies and practices. Speakers included John Choi, Ramsey County Attorney; Professor Anthony Doob, University of Toronto; Michael Freeman ('74), Hennepin County Attorney; Professor Carol Steiker, Harvard Law School; and the Honorable Andrew Sonner, Maryland Court of Special Appeals.

The goal of the conference was to build connections, foster interest in the Institute's work, and obtain feedback and advice regarding the Institute's goals and early work. We think the conference was successful on all fronts. Some highlights:

1. Both Mike Freeman and John Choi, the Hennepin and Ramsey County District Attorneys, attended, spoke, and expressed strong interest in working with the Institute. Two other Minnesota county District Attorneys attended both the meeting and the sentencing seminar the day before. We were 4 for 4 on attendance by invited District Attorneys.
2. The chair, executive director, and at least one other member of the Minnesota Sentencing Guidelines Commission attended and publicly expressed interest in working with Kevin Reitz, Richard Frase et al. on issues of race and recidivism prediction. At least two (one Democrat, one Republican) legislators attended all of the Friday session, staying to the final minutes of the reception.
3. The meeting likely catalyzed some significant collaborative work with a multi-disciplinary crime research institute at Osgoode Hall (York University, Toronto) and with Daniel Nagin (Carnegie-Mellon), with each party potentially bringing some resources to the table.
4. We attracted Ted Gest (former Supreme Court reporter for US News & World Report), who is the most influential American journalist focusing on criminal justice (through specialized press associations, a daily blog, and the major crime and journalism web page--all supported by various foundations). He is prepared to do a feature story on the Robina Institute whenever we think one useful. (We want to wait a bit until the Institute's work is more developed.)
5. Andrew Sonner, retired judge of the Maryland Court of Special Appeals and long-time Montgomery Co. MD DA, publicly expressed regret that this initiative is beginning so late in his life and career and optimism that times of change are upon us and that if we're smart and build good networks we can become a player. Unfortunately, one needs to be in national policy networks to appreciate this. Andy for 15-20 years was one of a handful of local prosecutors who were nationally active and influential. In that world, he was and is a major figure.
6. In addition we had a good cross-section of local judges, the state Public defender, and corrections people. The panel presentations were generally excellent and sparked some very helpful feedback on the Institute's work and goals.

Friday, November 11

Participants from outside the Law School

Pamela Alexander	<i>MN Council on Crime and Justice</i>
Anthony Doob	<i>University of Toronto Centre for Criminology</i>
Jeff Fagan	<i>Columbia University Law School</i>
Jamie Fellner	<i>Human Rights Watch, US Program</i>
Keith Findley	<i>University of Wisconsin/ Wisconsin Innocence Project</i>
Adil Haque	<i>Rutgers Law School</i>
Ted Gest	<i>Jerry Lee Center of Criminology/ The Crime Reporter</i>
Nora Wikoff	<i>Washington University Social Work</i>
Robert Johnson	<i>Retired Anoka Prosecutor</i>
Nancy King	<i>Vanderbilt Law School</i>
Kay Knapp	<i>Public Strategies Group</i>
Richard Leo	<i>University of San Francisco Law School</i>
Roxanne Lieb	<i>Washington State Institute for Public Policy</i>
Dan Nagin	<i>Carnegie Mellon University, Heinz School</i>
Julian Roberts	<i>Oxford University, Criminology</i>
Hon. Andrew Sonner	<i>Former Judge, Maryland</i>
Carol Steiker	<i>Harvard Law School</i>
Francois Tanguay Renaud	<i>York University, Osgoode Law School</i>
Christopher Uggen	<i>University of Minnesota Sociology</i>
Ron Wright	<i>Wake Forest University Law School</i>
John J. Choi	<i>Ramsey County Attorney</i>
Jeffrey Edblad	<i>Chair MN Sentencing Commission/Isanti Co. Attorney</i>
Mike Freeman	<i>Hennepin Co. Attorney</i>
Brad Johnson	<i>Anoka County Prosecutor</i>
Kelly Lyn Mitchell	<i>Executive Director Minnesota Sentencing Commission</i>
Lucy Wieland	<i>Hennepin Co. Judge</i>
John Stuart	<i>MN Public Defender, MN Sentencing Commission member</i>
Sarah Holtman	<i>University of Minnesota, Philosophy</i>
Emily Baxter	<i>Council on Crime and Justice</i>
Mark Haase	<i>Council on Crime and Justice</i>
Carl Malmquist	<i>University of Minnesota, Sociology</i>
Michelle Mason	<i>University of Minnesota, Philosophy</i>
Reuben Rosario	<i>Pioneer Press</i>
Joachim Savelsberg	<i>University of Minnesota, Sociology</i>
Sarah Walker	<i>MN Sentencing Commission/ 180 degrees citizen organization</i>

COUNCIL ON FOREIGN RELATIONS

PROPOSAL TO THE ROBINA FOUNDATION TO SUPPORT AN EXPANDED DIVERSITY INITIATIVE IN FOREIGN POLICY

EXECUTIVE SUMMARY

America's ethnic and racial make-up has changed dramatically over the past four decades. The ethnic- and racial make-up of America's foreign policy community has not. Foreign policy decision-making positions in the U.S. government and the supporting think-tank world remain overwhelmingly white and male. The discrepancy between what America looks like and who decides what America should do overseas robs the foreign policy debate of talented voices and diminishes the chances that U.S. policy will reflect the broad array of perspectives that its citizens hold. The make-up of the U.S. foreign policy community is not likely to change significantly without a concerted effort to identify talented members of underrepresented groups, expose them to the career possibilities in foreign policy, and actively recruit them for positions.

With the support of the Robina Foundation, CFR proposes to launch a five-year, expanded diversity initiative that would enrich and diversify the American foreign policy community. The initiative would consist of four inter-related and mutually reinforcing sets of activities: 1.) a partnership with Humanity In Action; 2.) an expansion of CFR's current Franklin Williams internship for college students or graduate students from underrepresented groups; 3.) a partnership with the International Career Advancement Association; and 4.) increased CFR participation in career fairs in New York, Washington, DC, and select cities around the country. These forward-looking and practical activities would build on CFR's extensive previous efforts to promote diversity, leverage CFR's demonstrated strengths in the foreign policy arena, and mobilize the complementary skills and networks of partner organizations.

The proposed CFR expanded diversity initiative has the power over time to transform the composition of the American foreign policy community. The five-year projected cost of the initiative is \$2,264,184. CFR respectfully requests \$1,323,335 to fund the initiative during its first three years. CFR would commission an external review of the initiative during year three. This review, which would supplement and extend CFR's ongoing in-house reviews of the initiative, would be modeled along the lines of the external review that CFR commissioned in 2011 for the International Institutions and Global Governance Program. The external review committee's findings and recommendations would heavily influence the proposal that CFR would submit to the Robina Foundation to fund years four and five of the expanded diversity initiative.

PROPOSAL

A. CFR's Current Diversity Initiatives

CFR constantly seeks to increase diversity among its approximately 4,600 members, on its staff, on its Board, and in its programming activities. CFR defines diversity broadly, including racial, ethnic, gender, political, religious, geographical, and professional considerations. Bringing such diversity to the full range of CFR activities and programs is a challenge, and one which is considered in all aspects of CFR's work. To address this challenge, CFR has over the past two decades pursued a broad range of initiatives at a variety of levels to increase diversity within CFR, among its membership, and in the broader foreign policy community. A leading example was the decision the CFR Board of Directors took in 2006 to increase its own diversity by increasing the size of the Board.

CFR has focused on and continues to emphasize bringing women and minorities into its membership and programs. Today, 26 percent of CFR's entire membership are women and 15 percent of are African American, Asian, Hispanic, Alaskan Native, or American Indian. CFR's Term Member Program, which brings individuals between the ages of thirty and thirty-six into CFR for five-year terms, is approximately 40 percent women and 26 percent minority—an excellent indicator of what the future life membership of CFR will begin to look like, as term members are a significant part of the pool from which CFR draws its life members.

CFR is an equal opportunity employer and actively seeks candidates from a diverse background. Currently, 54 percent of CFR's staff is made up of women and 27 percent are minorities. Thirty-one of the 149 professional staff members are African American, Asian, or Hispanic, and seventy-six are women. Thirty-nine of 115 support staff members are African American, Asian, or Hispanic, and sixty-seven are women. CFR's senior management consists of six women and three men.

CFR's Franklin Williams internship provides opportunities for underrepresented populations in New York and Washington, DC, to participate in CFR's internship program. CFR established the internship in 1990 in honor of the late Ambassador Franklin H. Williams, a distinguished foreign policy expert and former member of the CFR Board of Directors who helped to form several organizations that advance opportunities for American minority groups, including the Association of Black American Ambassadors.

CFR currently collaborates with Global Kids, an organization that seeks to transform urban youth into successful students, and global and community leaders. CFR is working to reach out to religious and congregational leaders; state and local officials; and various minority-based organizations (ethnic and gender) whose members include prominent leaders in the African-American, Hispanic, and other communities that may be under-represented in CFR's membership, staff, and activities. The goal is to raise awareness of CFR and its mission among these constituencies and ultimately to keep increasing diversity of all kinds in the membership, on staff, and in CFR's activities. CFR similarly works with the Colin Powell Center for Policy Studies at the City College of New York to bring student groups throughout the year to CFR for customized briefings by CFR scholars and staff. Students from the Powell Center are invited to attend select CFR meetings over the course of the program year.

CFR also actively participates in the Global Access Pipeline (GAP) consortium. GAP brings together an array of think tanks and non-profit groups to enhance the quality and diversity of U.S. participation in international affairs. GAP seeks to accomplish its mission by encouraging collaboration among internationally-oriented programs for the underrepresented, from the pre-collegiate level through mid-career professional development programs, and linking these to diversity efforts with leading research and policy institutions such as CFR. CFR hosted the 2012 annual GAP conference at its Washington, DC, location.

B. CFR's Proposed Expanded Diversity Initiative

CFR proposes with the support of the Robina Foundation to expand its efforts to encourage diversity in foreign policy and to encourage members of underrepresented groups to pursue careers in international relations. CFR's expanded diversity initiative rests on the time-tested premise that CFR can maximize the impact of its efforts by leveraging the talents of organizations that have already been working to increase diversity in foreign affairs. CFR's thinking on which organizations to partner with and how to conduct those partnerships reflects the results of its Robina-funded scan of diversity opportunities, which was completed in early fall 2011.

CFR's expanded diversity initiative consists of four specific elements that are intentionally conceived to be interrelated, complementary, and mutually reinforcing: 1.) a partnership with Humanity In Action; 2.) an expansion of CFR's current Franklin Williams internship for college students or graduate students from underrepresented groups; 3.) a partnership with the International Career Advancement Association; and 4.) increased CFR participation in career fairs in New York, Washington, DC, and select cities around the country. CFR is seeking support for these activities for an initial three-year period. The requested funds would also cover the costs of the CFR staff time needed to support the four sets of activities.

1. Partnership with Humanity in Action

Humanity in Action (HIA) is an international educational organization that seeks to educate, inspire and connect a global network of students, young professionals, and established leaders committed to promoting human rights, diversity, and active citizenship in their own communities and around the world. (See Appendix A.) HIA currently runs fellowship programs each summer in Denmark, France, Germany, the Netherlands, and Poland. Each of the five programs has between seven and 10 American students who work with approximately ten to fifteen peers drawn from a range of European countries. Over the course of the five-week program, each group analyzes, discusses, and generates policy recommendations that address a specific diversity issue in the host country.

CFR proposes that it would support the participation of ten African American, Asian, Hispanic, Alaskan Native, or American Indian students in HIA's summer 2012 program. The goal would be to increase the number of minority students in years two through five of the initiative to fifteen a year. (The lower number in year one reflects the fact that the HIA selection process is already underway, making it unlikely that CFR could secure a full set of complement of minority participants.) The

estimated cost per student in the first year is \$8,000, which would fund each student's travel to and participation in the five-week summer program, as well as his or her involvement in the HIA network's continuing activities, which include internship and professional fellowship opportunities. CFR would work with HIA to ensure that the summer program opportunity is widely advertised at colleges and universities across the country, and particularly at historically black colleges and universities and at schools with large Hispanic populations.

In addition to sponsoring minority participation in HIA's summer programs, CFR would host a two-day workshop at the CFR office in Washington, DC, each June for all of the American participants in that summer's HIA programs in Europe. Participants would receive briefings from CFR fellows, government officials, journalists, and other foreign policy influentials, as well as participate in skill-building exercises. The purpose of the workshop would be to introduce the HIA participants, including the minority participants, to cutting-edge discussions in international relations and to the broad range of careers they could pursue in the foreign policy field. The workshop would include all the HIA participants in recognition of the fact that promoting minority involvement in foreign policy requires both building networks within minority communities and integrating those networks into the broader foreign policy community.

CFR would actively work to keep students who have participated in the CFR-HIA program involved in foreign affairs issues. HIA has a vibrant program of activities designed to keep students involved in the network it has created over the years. CFR will encourage CFR-sponsored students participating in HIA summer programs to participate in the activities of the International Career Advancement Association (discussed below), and CFR will encourage members of the International Career Advancement Association to serve as mentors to CFR-HIA program participants.

Over the next five months, CFR and HIA will discuss the possibility of extending their partnership to include launching an annual HIA fellowship program in the United Kingdom, beginning in the summer of 2013. That program would bring together twenty to twenty-five students each year, with roughly half from the United States and half from the United Kingdom. The program's focus would be on efforts to prevent and mitigate radicalism among British youth, and it would take advantage of CFR experts such as Ed Husain, who is a pioneer in counter-radicalization and anti-jihadi efforts. A CFR-HIA fellowship program in the United Kingdom would follow the successful blueprint that HIA has developed for establishing high-caliber programs in other European countries. CFR anticipates that it will make a decision in mid-summer 2012 on whether to launch a joint CFR-HIA program in London. If CFR decides to proceed, it will submit a separate grant proposal to the Robina Foundation in time for consideration at its August Board meeting. CFR estimates that a joint CFR-HIA program in the United Kingdom would cost \$250,000 per year.

2. An Expanded Franklin Williams Internship Program

The Franklin Williams Internship Program targets minority students who are in their junior year and above, with the aim of helping them to gain exposure, knowledge, and skills as a foundation for future work in the foreign policy field. (See Appendix B.) Students selected as Franklin William interns serve under the mentorship of a current CFR fellow or programmatic director. In such a capacity, interns

work on cutting-edge research, attend CFR General Meetings and Roundtables, participate in CFR's professional development programming for junior staff, expand their knowledge of international affairs, and learn about the multitude of different foreign policy career paths. CFR currently takes on two Franklin Williams interns each year, and they each spend one academic semester in residence at CFR.

The Franklin Williams internship is paid, thereby enabling students of modest means to take the internship. With an expanded Franklin Williams Internship Program, CFR would select one additional student for each of three semesters (fall, spring, and summer), thereby creating three new internship opportunities each year. As is the case with the CFR-sponsored students participating in HIA summer programs and for the same reasons, CFR would actively work to include its Franklin Williams interns in the activities of the International Career Advancement Association and encourage members of the International Career Advancement Association to serve as their mentors.

CFR would continue its past practice of aggressively marketing the Franklin Williams internship to a wide range of institutions to attract the best candidates. CFR posts the internship opportunity on its award-winning website, CFR.org, as well as distributes it through a variety of listservs that target underrepresented college-age populations. With the rise of social media, the internship opportunity will in the future also be announced on James M. Lindsay's CFR blog, *The Water's Edge*, as well as on his Twitter feed. CFR already distributes internship brochures to a wide range of schools, including historically black universities and colleges as well as colleges with large Hispanic populations. CFR also distributes copies of the internship brochure at various international affairs conferences such as the International Studies Association.

3. Partnership with the International Career Advancement Association

The International Career Advancement Association (ICAA) is the alumni association of the International Career Advancement Program, which seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. (See Appendix C.) As such, ICAA constitutes the most diverse and robust network of people of color working across every sector in international affairs. Its participants are identified as "rising stars" early on in their careers, and many of them now hold senior foreign policy positions.

CFR proposes to partner with ICAA to open its annual conference in Washington, DC, to include a broader minority audience beyond its alumni group. The goal would be to create a more extensive networking opportunity for the participants, as well as to have a substantive discussion of foreign policy issues that would take advantage of the expertise of fellows in CFR's David Rockefeller Studies Program. A CFR-ICAA partnership would complement the proposed CFR-HIA partnership and the expanded Franklin Williams internship. Where HIA and the Franklin Williams internship target current college students and recent graduates, ICAA targets mid-career professionals. As previously noted, CFR would actively work to involve students who have participated in the CFR-HIA program or served as Franklin Williams interns in the work of the ICAA, expanding the network and creating durable mentorships that would over time become a self-sustaining and virtuous cycle.

CFR has extensive interaction with the ICAA. Several ICAA alumni have been CFR International Affairs Fellows, former CFR employees, and/or term members. CFR hosted the 2011 ICAA conference at its Washington, DC, office. The lack of dedicated funding and restrictions on the bond covenant for the CFR building in Washington, DC, (which limits how many pro bono events CFR can sponsor for another organization) prevented CFR from hosting the conference in 2012.

Under the terms of the partnership with ICAA, CFR would host the day-long conference and identify non-ICAA participants, as well as contribute ideas for outside speakers to address the gathering. Upon completion of the conference, CFR would compile and publish an electronic rapporteur's report summarizing the main points of the discussion. CFR would also work with ICAA to create an electronic listserv through which participants could continue to collaborate and share news and ideas after the conference's completion.

4. Increased Participation in Career Fairs that Target Diverse Student Populations

CFR's Human Resources Program currently participates in career fairs in New York City and Washington, DC. CFR proposes to expand these efforts to cover participation in career fairs in other cities and on college campuses, especially historically black colleges and universities. CFR's participation in such career fairs would involve CFR Human Resources staff members as well as CFR fellows or research associates. The aim would be to draw attention to job opportunities at CFR specifically and in foreign policy more generally. CFR would also use its participation in career fairs to recruit students to apply for the proposed CFR-HIA partnership as well as to apply to the proposed Franklin Williams Internship Program. CFR anticipates participating in three "off-site" career fairs each year.

C. Measuring Success and Impact

Efforts to increase the number of people from underrepresented groups pursuing careers at foreign policy think tanks specifically and in international relations more generally will by definition yield demonstrable results only over decades. Nonetheless, CFR believes that evidence that the diversity initiative is likely to succeed could be found by monitoring several metrics over the term of the proposal:

- The quality of the students participating in the CFR-HIA partnership;
- * { • The assessments of students who have participated in the CFR-HIA partnership of the CFR-HIA program, both immediately upon finishing the program and a year or more after completing it;
- The number and quality of the students who apply for the proposed Franklin Williams Internships;
- The assessments of Franklin William interns of the benefits of the internship program, both immediately after completing the internship and a year or more after completing the internship.

- The number and background of participants in the CFR-ICAA conference, the development of mentorships between ICAA members on the one hand and CFR-HIA alumni and Franklin Williams interns on the other, and the success of building post-conference networks;
- The number of students who attend CFR presentations at off-site career fairs.

CFR would track each of these indicators and adjust its efforts in light of the feedback it receives. CFR conducts systematic exit assessments of all departing CFR staff as a matter of standard operating procedure. CFR would also work with its various partners in the expanded diversity initiative to track the initiative's longer term impact. HIA in particular has a long history of soliciting feedback from participants in its programs. HIA continues its assessments after the completion of the summer program, as HIA works to keep alumni of its programs involved in its post-program activities. Where necessary, CFR would refine and improve the expanded diversity initiative based on the feedback it receives from its review process.

In addition to monitoring the progress of the expanded diversity initiative on its own and in conjunction with its various partners, CFR would commission an external review committee in year three to review the overall initiative. The external review would be modeled along the lines of the external review that CFR commissioned in 2011 for the International Institutions and Global Governance Program. CFR would provide the external review committee members with the data that it and its partners have compiled on the initiative's effectiveness. CFR would work diligently with committee members to identify and secure any additional information they might need, which could extend to observing the various programs in action. The external review committee's findings and recommendations would heavily influence the proposal that CFR would submit to the Robina Foundation to fund years four and five of the expanded diversity initiative. }

D. Long-Term Vision

CFR approaches its expanded diversity initiative with great humility. Numerous factors explain the relative dearth of African Americans, Hispanics, and other underrepresented minorities in American think tanks and in the U.S. foreign policy community more broadly. Many of these factors, especially those dealing with college and graduate school recruitment and training, lie beyond CFR's capacity to influence. Nonetheless, with the Robina Foundation's support, CFR believes that it can use its unique strengths and experience to challenge the status quo and attract minority students in larger numbers to the foreign policy field. The partnerships that CFR seeks to develop and extend would create a unique opportunity to encourage and sustain the careers of minority students and mid-career professionals in international affairs, as well as strengthen the network of students and professionals working in the foreign policy arena. CFR is grateful for the Robina Foundation's strong interest in the diversity challenge as well as for encouraging and considering CFR's proposal for its expanded diversity initiative.

Appendix A

Humanity in Action

Humanity in Action (HIA) is an international organization that educates, inspires and connects a global network of university students and young professionals committed to promoting human rights, diversity and active citizenship in their own communities and around the world.

HIA has educated over 1,100 young leaders in their 20s and 30s who now form a diverse international network. It contributes in innovative ways to advance human rights and democratic freedoms.

HIA's annual fellowship programs bring together more than 100 European and American university students and young professionals each summer in Denmark, France, Germany, Poland and the Netherlands to discuss, learn and research in international groups. HIA Fellows meet leading experts and activists to study historical and contemporary challenges to minority rights. Fellows write research-based articles and develop teaching tools to share what they learned in their programs. HIA supports all Fellows financially for the duration of their programs, allowing for the merit-based selection of diverse applicants.

HIA also provides professional development opportunities. It maintains an international network of students, young professionals, established leaders, experts and partners for which it organizes a range of educational and career opportunities, including seminars, workshops, study trips and fellowship positions at leading civic and political institutions, such as the European Parliament, U.S. Congress, and the International Criminal Tribunal for the Former Yugoslavia. These opportunities encourage emerging leaders to develop their professional abilities and introduce established leaders to the ideas of the younger generation.

HIA's network of leaders is a valuable resource to policy-makers, diplomats, educators, business leaders and civic-minded individuals and organizations. By the end of the decade, HIA will connect over 2,500 professionals working in all sectors, on a range of international and human rights issues, in countries around the world.

HIA is a non-profit, non-partisan organization with governing and advisory Boards in Bosnia-Herzegovina, Denmark, France, Germany, the Netherlands, Poland and the United States. HIA's international headquarters is in New York City. Major supporters of HIA have included the Ford Foundation, Mellon Foundation, the Richard and Rhoda Goldman Fund, Foundation Remembrance, Responsibility and Future (EVZ), the Dutch Ministry for Health, Welfare and Sport and the U.S. Department of State. Over 12 years, HIA has raised more than \$12 million for its work.

Appendix B

The Franklin Williams Internship

The Franklin Williams Internship, named after the late Ambassador Franklin H. Williams, has been established for undergraduate and graduate students who have a serious interest in international relations. The goal of the internship is to create opportunities for minority students to develop their knowledge and leadership abilities as a foundation for future work in the foreign policy arena.

Ambassador Williams had a long career of public service, including serving as the former American Ambassador to Ghana, as well as the former Chairman of the Board of Trustees of Lincoln University, one of the country's historical black colleges. He was also a Director of the Council on Foreign Relations, where he made special efforts to encourage the nomination of black Americans to membership.

CFR selects two individuals each year as Franklin Williams interns to work in CFR's New York City headquarters. The length of the internship typically corresponds with an academic semester. The intern works closely with a Program Director or Fellow in either the Studies or Meetings Program. He or she is involved with program coordination, substantive and business writing, research, and budget management. In addition, the intern is encouraged to attend CFR's extensive meetings programs and participate in informal training designed to enhance management and leadership skills. The selected intern is required to make a commitment of at least 16 hours per week, and she or he is paid \$10 an hour. The selected intern for the summer term may choose to make a full-time commitment, if he/she has the availability.

CFR accepts applications all year. There are no deadlines. Candidates should be currently enrolled in either their junior year of an undergraduate program or in a graduate program in the area of international relations or a related field. They should have a record of high academic achievement, proven leadership ability, and previous related internship or work experience.

Appendix C

International Career Advancement Association

The International Career Advancement Association (ICAA) is a non-profit organization set up by alumni of the International Career Advancement Program (ICAP) to continue to pursue the goals of diversity and quality in U.S. leadership, to help organize the various activities of the alumni and to extend support and participation in activities to mid-career professionals who share the ICAP vision. To give organized support and greater permanence to these follow-up activities, the ICAA organizes occasional policy forums, career workshops, social events and other activities to reinforce the mutual support group and mentoring that are part of the ICAP experience. The ICAA also helps in fund raising and providing other support for the continuation of ICAP.

The purpose of ICAP is to help bring greater diversity to the staffing of senior management and policy-making positions in international public service, both in the government and for private non-profit organizations. Its goal is to assist highly promising mid-career professionals from underrepresented groups in advancing to more senior positions in international affairs.

ICAP is based on the conviction that the expanding diversity of U.S. society should be reflected in its leadership. There are some programs designed to increase the pool of minorities with credentials for successful public service and international careers. These serve an important role. However, increasing the pool of talented professionals from underrepresented groups with graduate credentials and an interest in international affairs does not necessarily lead to diversity at senior levels. We need to take steps to assist and mentor minority recruits to rise to the highest levels of international public service. ICAP is designed to facilitate this goal.

During its annual week-long seminar, ICAP brings together mid-career professionals from underrepresented groups with senior officials, faculty and staff at the Aspen Institute and then follows the program with additional activities designed to reinforce ICAP's impact. The beautiful mountain setting of the week-long seminar, away from the office and the constant pressures of work, enables participants to focus on the program, reflect on their careers and develop relationships within the group. The ICAP seminar at Aspen includes lectures, seminars, discussions, workshops, and informal events. In addition to these aspects of the seminar, each mid-career participant meets with a career counselor for individual career discussions, advice and planning.

CFR's Expanded Diversity Initiative in Foreign Policy

February 7, 2012

	Total	Year 1	Year 2	Year 3	Total 4	Year 5
		FY13	FY14	FY15	FY16	FY17
Item of Expenditure	Total (Budget)					
1 Partnership with Humanity in Action						
<i>Humanity in Action's Summer Program</i>						
Minority participation in summer internship program	584,490	80,000	122,400	124,848	127,345	129,897
HIA programmatic and administrative costs	286,222	55,000	56,100	57,222	58,366	59,534
HIA program assessment costs	26,020	5,000	5,100	5,202	5,306	5,412
HIA staff travel expenses for CFR DC workshop	8,124	1,500	1,560	1,622	1,687	1,755
HIA recruitment travel	54,164	10,000	10,400	10,816	11,249	11,699
Total	959,020	151,500	195,560	199,710	203,953	208,297
<i>Two-Day Workshop</i>						
Staff support	47,357	9,100	9,282	9,468	9,657	9,850
Meals, catering, set-up expenses for workshop	43,060	8,000	8,290	8,630	8,925	9,215
Travel for 30 student participants to DC (air, hotel, meals, transport)	207,850	39,000	40,250	41,525	42,875	44,200
Travel for 3 CFR fellows from NY to DC (air, hotel, meals, transport)	17,105	3,210	3,315	3,420	3,525	3,635
Miscellaneous cost (bus for DC group travel)	5,000	900	950	1,000	1,050	1,100
Total	320,372	60,210	62,087	64,043	66,032	68,000
TOTAL Partnership with Humanity in Action	1,279,392	211,710	257,647	263,753	269,985	276,297
2 Expanded Franklin Williams Internship Program						
Intern compensation (3)	135,304	26,000	26,520	27,050	27,591	28,143
Travel for 3 interns (air, hotel, meals, transport)	17,250	3,300	3,375	3,450	3,525	3,600
Recruiting costs	4,683	900	918	937	955	973
Intern brochure (printing and mailing)	2,750	500	525	550	575	600
Total	159,987	30,700	31,338	31,987	32,646	33,316
TOTAL Expanded Franklin Williams Internship Program	159,987	30,700	31,338	31,987	32,646	33,316
3 Partnership with the International Career Advancement Association						
Meals, catering, set-up expenses for workshop	88,208	16,950	17,289	17,635	17,987	18,348
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	28,622	5,500	5,610	5,722	5,837	5,953
Rapporteur report	5,000	1,000	1,000	1,000	1,000	1,000
Total	121,831	23,450	23,899	24,357	24,824	25,301
TOTAL Partnership with the International Career Advancement Association	121,831	23,450	23,899	24,357	24,824	25,301
4 CFR Participation in Career Fairs						
Travel for 2 CFR senior staff to 3 career fairs (air, hotel, meals, transport)	68,686	12,825	13,267	13,742	14,197	14,655
Staff support (3)	30,000	6,000	6,000	6,000	6,000	6,000
Total	98,686	18,825	19,267	19,742	20,197	20,655
TOTAL Increased Participation in Career Fairs	98,686	18,825	19,267	19,742	20,197	20,655
5 Program Management						
<i>Program Management Salaries and Benefits</i>						
Core Human Resources Program staff	278,961	53,605	54,677	55,770	56,886	58,023
Total	278,961	53,605	54,677	55,770	56,886	58,023
TOTAL Program Management	278,961	53,605	54,677	55,770	56,886	58,023
6 External Review Committee						
	30,000	0	0	30,000	0	0
TOTAL DIRECT COSTS	1,968,856	338,290	386,828	425,608	404,538	413,592
Indirect Costs at 15%	295,328	50,744	58,024	63,841	60,681	62,039
TOTAL PROJECT COST	2,264,184	389,034	444,852	489,449	465,219	475,630

From: "James M. Lindsay" <JLindsay@cfr.org>
Subject: Revised Expanded Diversity Initiative
Date: February 7, 2012 1:31:40 PM CST
To: Penny Hunt <pennhunt@gmail.com>
Cc: Nancy Gilberg <ngilberg@robinafoundation.org>

5 Attachments, 115 KB

Hi Penny,

Attached is the updated expanded diversity initiative, which I revised based on our conversation last week in New York. The main changes are:

- The proposal now envisions a five-year program, with the request in this proposal for three years of initial funding.
- We would seek to identify 10 minority HIA participants in year one, and 15 minorities participants in years two through five.
- We included administrative expenses for HIA.
- We added a request to fund an external review committee in year three.
- We accounted for inflation, something the earlier proposal didn't do.
- We noted that we would actively solicit feedback from HIA participants.

With these changes, our request is now for \$1,323,335 over three years.

Thanks for your help and patience with this. As always give me a shout if you need more information.

Regards,

Jim

James M. Lindsay
Senior Vice President, Director of Studies,
and Maurice R. Greenberg Chair
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 CFR Diversit...pdf (112 KB)

Issue in Development of Diversity Initiative

Go deep w/ a few students or shall we
w/ a larger number.

CFR proposal blends 2

① Deep w/ HIA program -

^{core}
HIA program ~~also~~ provides intense
experience for a few students

CFR depends that exp. thru ~~at~~ ^{what}
workshops + briefing at CFR + participation
in activities of the Intl. Career Advancement Assoc.

② Deep w/ Franklin Williams Internships

③ Broaden w/ ship of Intl. Career Advancement
Assoc. + Career Fairs

**TRANSFORMING UNDERGRADUATE SCIENCE TEACHING
AT YALE**

**PREPARED FOR THE
ROBINA FOUNDATION**

SEPTEMBER 2011

Yale

Transforming Undergraduate Science Teaching at Yale University

Introduction-The Need for Change

Yale University shares the national problem of the loss of undergraduate students who indicate an intent to major in a scientific discipline upon entrance to college and then fail to graduate with a science degree. Yale has developed a plan to combat this phenomenon known as “melt,” by transforming the gateway, the University’s curricular introduction to science that undergraduates must successfully navigate early in their careers in order to continue on a scientific trajectory. We believe, with key support from the Robina Foundation, that the changes we envision and describe below will increase significantly the pipeline of science students throughout Yale College and the numbers of graduates with a science degree.

The plans for transforming undergraduate science education are multi-dimensional, leveraging the latest research on how students learn. To attract and retain students in the sciences, we aim to design and implement novel approaches to the building blocks of the curriculum as a first step – redesigning the introductory lecture, providing greater opportunities to take inquiry based courses, i.e, courses that allow students to produce original work and often include field work and research, and training the current and future generations of teachers in an entirely new pedagogy for science. Assessment of the impacts and outcomes of these changes on both students and faculty is an integral part of the plan for it is only when we have altered students’ expectations of their faculty, convinced faculty of the efficacy and effectiveness of the new pedagogy, and witnessed the expansion of the plan throughout the sciences that we will know we have succeeded.

Redesigning the Introductory Lecture

Introductory science courses at universities such as Yale serve as the portals that connect undergraduates to frontiers in research and scientific ways of thinking. Teaching practices, however, have not changed in correspondence with advances in scientific research and so the gateway through which most students pass is antiquated and misrepresents the interdisciplinary, collaborative, evidence-based culture of science. Traditional introductory lecture courses too often devolve into collections of facts to be memorized. The unfortunate consequence is that many students become lost and discouraged by the tedium of memorization and lack of apparent relevance of the material. Yale is fortunate to have among its faculty, Professor Jo Handelsman, founding director of the Center for Scientific Teaching at Yale, and the author of a book on point, Scientific Teaching. The Center’s goal is to induce a revolution in how undergraduate science is taught by training cohorts of teachers in the methods of “scientific teaching,” an evidence-based approach to teaching college-level science formulated by Professor Handelsman. The pedagogical principles underlying scientific teaching are active learning, assessment and diversity.¹ All are aimed at bringing to teaching the same critical thinking, rigor, creativity and spirit of experimentation that define scientific research.

¹ Active learning is a process in which students are actively engaged in learning rather than listening and taking notes. By way of example, it includes group problem solving activities, journal article discussions, and in-class questions with electronic audience response systems. Assessment tools provide regular checkpoints and measures of achievement and let the students determine whether they are on track. As a result, learning becomes a process of reflection and analysis with specific markers of achievement rather than simply an end point and a grade. Finally, good science necessitates teamwork typified by members with different approaches, experiences and ways of

Yale is prepared to challenge the existing format for science lecture courses by harnessing the power of scientific teaching. In a plan that will quickly impact several hundred students, Yale proposes to redesign two of its large introductory lecture courses, one in biology (typical enrollment of 130 students in 10 sections) and one in chemistry (typical enrollment of 200 students in 15 sections). Plans include pairing faculty members with postdoctoral fellows who will all participate in training at the Center. Expert instructors will guide the Yale team by sharing and demonstrating tested approaches to classroom teaching and assessment. Under the guidance of Professor Handelsman, the teams will design sections for a new, two-semester introductory curriculum in biology and chemistry during the academic year 2012-2013. Implementation of the new courses will take place during the following academic year. The new courses will be offered in parallel with other standard introductory courses as an alternative class fulfilling the requirements of the major. Once we assess student learning and the new courses' success, we hope to be able to phase out the existing introductory courses and replace them with the new courses.

Expanding Inquiry Based Courses

Inquiry based learning is another demonstrated successful approach to attracting and retaining undergraduates in the sciences. This learning requires students to play an active role in science coursework, engaging them through the opportunity to produce original work and ideas over which they exert intellectual control. Yale's unique example of such a course is the Rainforest Expedition and Laboratory (REAL), designed by Professor Scott Strobel. The central premise of REAL is that the discovery of biological diversity is an accessible and highly engaging paradigm for novice scientists to make original observations about the natural world. This program is focused on students collecting and identifying plant endophytes from a tropical rainforest in Ecuador. These organisms have a demonstrated but underexplored potential to produce a trove of novel products that await discovery and utilization. In addition, all regions of the earth, from deserts to rainforests, harbor distinct and exceptional microbial diversity, making the project accessible to a wide variety of educational programs.

REAL is presently supported by the Howard Hughes Medical Institute through the academic year 2013-2014. It has become one of Yale's most popular science courses, taught by an award-winning instructor. It has won national accolades and we consider it to be a signature course in Yale's science curriculum. Given its importance and popularity, we are requesting support from the Robina Foundation that will guarantee the continuation of REAL through 2016-2017.

As well, Yale seeks to adapt the principles of Professor Strobel's course to the design of two new inquiry based courses. Already, Yale faculty members have many ideas for these new courses, ranging from designing appropriate technologies aimed at solving problems in the developing world to fostering students' observational skills through biodiversity fieldwork. We are requesting support from Robina for one course that will travel internationally and for another that will include domestic travel. Among the possibilities is a course that will utilize the Yale Myers Forest, a Yale-owned property which covers 7,840 acres (12.2 sq. mi.) in the northeast corner of Connecticut. This is one of Connecticut's most remote forest areas, populated by

thinking. Research has demonstrated that heterogeneous groups are more creative than homogenous groups. Innovation and collaboration are hallmarks of science and thus advancement in science necessitates diversity.

numerous small ponds and wetland areas and provides an unparalleled opportunity for undergraduates to experience field work both first hand and close to home. Because of the wide interest, Yale plans to hold an internal competition to select the strongest courses for moving forward.

Assessment

Assessment is a critical component of the plan, designed to measure impact and outcomes on the students who participate in the redesigned curriculum and on the faculty members who have been trained at the Center. Assessment will be conducted by the Graduate Teaching Center at Yale, which has personnel trained and experienced in evaluation of educational techniques. For the undergraduates, we will examine the impact of the lectures and inquiry based courses on student's learning. Evidence suggests that many more students will experience "deep learning" – significant shifts in how they understand and are motivated toward science. We will also examine specific instructional strategies and collect data on the learning they are designed to produce. Finally, we will measure retention rates in the sciences. For the faculty, we will assess the degree to which their teaching philosophies and practices based upon the components of scientific teaching are adopted and will also measure changes in faculty attitudes towards the concepts of scientific teaching. For the latter, the process will include comparing statements written before and after the training program, responding to survey questions, and rating individual faculty's ability to develop active learning strategies, employ assessments and foster inclusive classrooms.

Sustainability

Yale is eager for the opportunity to transform scientific teaching and believes that the impact and outcomes will be sustainable. The plan enjoys the full support of University leadership. Through the redesigned lectures and increased opportunities for inquiry based learning, we expect to attract and retain many more students in the sciences, thereby increasing Yale's desirability among the world's top students as a destination for the study of undergraduate science. Student demand will drive further change. The opportunity for faculty and postdoctoral fellows to improve upon teaching skills has the potential to seed enormous changes throughout the science curriculum, among other faculty members, and among other institutions. Equipping a faculty member with innovative techniques that drive student success has the potential to impact on many more courses than those described in this proposal and sending these cohorts of postdoctoral fellows to assume faculty positions at our colleague institutions will seed change throughout the country and even the world.

The Request

Yale is grateful to the Robina Foundation for its consideration of this proposal and respectfully requests that the Foundation consider support in the amount of \$5 million over 5 years. We believe that this support will enable Yale to alter completely the undergraduate experience of introductory biology and chemistry while expanding exciting opportunities for first hand research and discovery. Coupled with the corresponding sea change in pedagogy, we fully expect that this will be the beginning of a new era in science teaching. We would be honored to partner with the Robina Foundation in this transformative endeavor.

YALE UNIVERSITY
TRANSFORMING UNDERGRADUATE SCIENCE TEACHING
(5-Year Budget)
Prepared for the Robina Foundation

Lecture Course Redesign	Inflation Factor	Year 1		Year 2		Year 3		Year 4		Year 5		Total Robina Request	Total Yale Contributions
	1.03	2012-2013		2013-2014		2014-2015		2015-2016		2016-2017			
	Robina Request	Yale Contribution	Robina Request	Yale Contribution	Robina Request	Yale Contribution	Robina Request	Yale Contribution	Robina Request	Yale Contribution			
Introductory Biology (6 sections)													
Faculty summer salary - six positions	1 month base salary plus fringe = 20,000	120,000	-	-	-	-	-	-	-	-	-	-	-
Faculty salary relief - six positions	Relief time salary plus fringe = 20,000	-	120,000	-	-	-	-	-	-	-	-	-	-
Summer training - 6 post docs, 6 faculty	Class fee \$1667 each = 20,000	20,000	-	-	-	-	-	-	-	-	-	-	-
Postdoctoral Fellows (6, dropping to 2 in yrs 3, 4 & 5) - Stipends @ 50% FTE	Stipend @ 45,000 *50% * 6 or *2	135,000	-	139,050	-	47,693	-	49,124	-	50,597	-	-	-
Fellows Fringe Benefits	Fringe @ 14,400 *50% * 6 or *2	43,200	-	44,496	-	15,262	-	15,720	-	16,191	-	-	-
Laboratory			-	-	100,000	-	103,000	-	106,090	-	109,273	-	-
Introductory Biology Total		318,200	120,000	183,546	100,000	62,954	103,000	64,843	106,090	66,788	109,273	696,332	538,363
Introductory Chemistry													
Faculty summer salary - six positions	1 month base salary plus fringe = 20,000	120,000	-	-	-	-	-	-	-	-	-	-	-
Faculty salary relief - six positions	Relief time salary plus fringe = 20,000	-	120,000	-	-	-	-	-	-	-	-	-	-
Summer training (6 post dos/6 faculty)	Class fee \$1667 each = 20,000	20,000	-	-	-	-	-	-	-	-	-	-	-
Postdoctoral Fellows (6, dropping to 2 in yrs 3, 4 & 5) - Stipends @ 50% FTE	Stipend @ 45,000 *50% * 6 or *2	135,000	-	139,050	-	47,693	-	49,124	-	50,597	-	-	-
Fellows Fringe Benefits	Fringe @ 14,400 *50% * 6 or *2	43,200	-	44,496	-	15,262	-	15,720	-	16,191	-	-	-
Laboratory		-	-	-	100,000	-	103,000	-	106,090	-	109,273	-	-
Introductory Chemistry Total		318,200	120,000	183,546	100,000	62,954	103,000	64,843	106,090	66,788	109,273	696,332	538,363
REAL Continuation Total			-	-	-	250,000	-	250,000	-	250,000	-	750,000	-
Expansion of Inquiry Based Courses													
Domestic (1 course)													
Faculty Summer Salary - one position	1 month base salary plus fringe = 20,000	20,000	-	-	-	-	-	-	-	-	-	-	-
Postdoctoral fellow (1) - Stipends @ 50% FTE	Stipend @ 45,000 *50%	22,500	-	23,175	-	23,870	-	24,586	-	25,324	-	-	-
Fellows Fringe Benefits	Fringe @ 32% = 14,400 *50%	7,200	-	7,416	-	7,638	-	7,868	-	8,104	-	-	-
Travel		25,000	-	25,750	-	26,523	-	27,318	-	28,138	-	-	-
Summer Laboratory		-	-	-	25,000	-	25,750	-	26,523	-	27,318	-	-
International (1 Course)													
Faculty summer salary - one position	1 month base salary plus fringe = 20,000	20,000	-	-	-	-	-	-	-	-	-	-	-
Postdoctoral fellow (1) - Stipends @ 50% FTE	Stipend @ 45,000 *50%	22,500	-	23,175	-	23,870	-	24,586	-	25,324	-	-	-
Fellows Fringe Benefits	Fringe @ 32% = 14,400 *50%	7,200	-	7,416	-	7,638	-	7,868	-	8,104	-	-	-
Travel		70,000	-	72,100	-	74,263	-	76,491	-	78,786	-	-	-
Summer Laboratory		-	-	-	25,000	-	25,750	-	26,523	-	27,318	-	-

YALE UNIVERSITY
TRANSFORMING UNDERGRADUATE SCIENCE TEACHING
(5-Year Budget)
Prepared for the Robina Foundation

Expansion of Inquiry Based Courses Total		194,400	-	159,032	50,000	163,803	51,500	168,717	53,045	173,779	54,636	859,731	209,181
Assessment (no inflation factor) Total		100,000	-	100,000	-	100,000	-	100,000	-	100,000	-	500,000	
Administration													
Program Manager	1 M&P FTE Salary + Fringe (ballpark)	120,000	-	123,600	-	127,308	-	131,127	-	135,061	-		
Assistant	1 C level C&T FTE Salary + Fringe (ballpark)	60,000	-	61,800	-	63,654	-	65,564	-	67,531	-		
Administration Total		180,000	-	185,400	-	190,962	-	196,691	-	202,592	-	955,644	-
Total Total		1,110,800	240,000	811,524	250,000	830,674	257,500	845,094	265,225	859,947	273,182	4,458,039	1,285,907
Indirect Costs @ 12%		133,296	28,800	97,383	30,000	99,681	30,900	101,411	31,827	103,194	32,782	534,965	154,309
Unrecovered Indirect Costs @ 29.8%		-	402,538	-	316,334	-	324,276	-	330,875	-	337,672	-	1,711,696
Grand Total		1,244,096	671,338	908,907	596,334	930,355	612,676	946,505	627,927	963,141	643,636	4,993,003	3,151,911

Meeting with Representatives from the Robina Foundation
Summary of Discussion on Transforming Science Education at Yale
November 11, 2011

The Problem:

The dearth of students graduating with science degrees from U.S. universities and colleges is widely recognized as a problem of national scope. Science and technology are among the most rapidly growing sectors in the U.S. economy, and projections indicate that the U.S. needs to graduate one million more students with degrees in science, technology, engineering, and math (STEM) over the next decade in order to meet the workforce demands. In the balance is reversing the current trend of "melt" of students from the sciences, i.e., the loss of students who indicate an intent to major in a science discipline upon entering an institution of higher education and who fail to graduate with such a degree. National studies show that retaining just 10-15% more students in STEM majors would largely meet the demand of 1 million more graduates. The problem of melt is widely publicized and attributable to the rote learning and uninspiring approaches that characterize introductory science courses.

Although the issue has national attention, corporate support at this point is lagging. Companies are eager to provide internships for science students, and even recognize that change is needed, but, in our experience, support that does not impact on the bottom line is generally unappealing and unfundable.

Yale's Proposal:

The current proposal to the Foundation focuses, over five years, on creating one new introductory biology and one new introductory chemistry class. These particular classes were selected for redesign because of the large number of underclassmen who enroll. Correspondingly, the proposal anticipates training the faculty members involved in the redesign (six faculty members from biology and six from chemistry) in the new methods of pedagogy in the Center for Scientific Teaching at Yale under Jo Handelsman's leadership. Some of Yale's top professors will be included. As Professor Handelsman noted, impact does not depend on the number of professors trained, but rather on training those that teach the large introductory courses. We also request support for the continuation of Professor Strobel's highly successful Rainforest Expedition and Laboratory (REAL) course and the creation of two new classes based upon his model. Taken together, these courses will impact on approximately 200 students/year or 15% of each class of undergraduates at Yale. Additionally, we want to be able to perform the crucial assessment work to gauge the results of these programmatic changes. Yale expects to be able to measure outcomes within three years, with success measured by ascertaining how many students who indicated an intent to major in science actually graduate with such a degree.

Why Yale:

Existing experience and interest in change among the science faculty at Yale is deep and includes the support of senior leadership. As well, Yale has a strong culture devoted to undergraduate teaching. For example, Professor Scott Strobel has taught the REAL course for five years. The course, based upon concepts of active learning, captures the students' interest early by providing them with ownership of a particular research project. Assessment data of the students taking this course demonstrate high retention in the sciences. Of the almost 60 students

who took the course and have now finished their degrees, all but one completed a science major. Roughly 80% of students continued research in semesters or summers following the completion of the course and more than half of the graduates have entered Ph.D. or M.D./Ph.D. programs.

As well, Professor Jo Handelsman is a national figure leading the charge against melt, and is co-chairing a subcommittee convened by the President's Council of Advisors on Science and Technology (PCAST) to provide recommendations for changes needed in higher education.

Professor Handelsman is the founder of the Center for Scientific Teaching, now at Yale, that trains science professors in a new pedagogy based upon the elements (and excitement) of scientific research. Moreover, her previous work on teaching and mentoring has affected thousands of faculty and hundreds of thousands of students through books, highly visible publications, and workshops. We expect the work proposed here to follow a similar trajectory of local development and rigorous testing followed by national dissemination.

The support of University leadership is key to a successful faculty initiative. President Richard Levin is a strong supporter of innovation in the sciences, evidenced by his current membership in PCAST. Before this he was member of the National Academy of Sciences' committee that provided the report, "Rising above the Gathering Storm: Energizing and Employing America for a Brighter Economic Future."

Although the scope of this proposal is significantly smaller than our original proposal, nonetheless, Yale believes that its results may be able to impact on the national conversation. The presence of President Levin on PCAST and Jo Handelsman on the higher education subcommittee could provide platforms from which to launch new ideas. We also plan to share outcomes with our colleagues whether through conferences, publications or the Center's training.

Why Robina:

The impact of support from the Foundation at this point would be transformative to science teaching at Yale as it will enable the agenda for change to move forward rapidly and integrate the key approaches to teaching and learning that should be developed together to access the greatest impact. Although the problem of melt in U.S. higher education is widely recognized, neither corporations nor foundations have yet risen to the challenge of reversing it. Through this key support, the Robina Foundation could serve as a principal change agent, bringing attention to the transformations necessary in colleges and universities throughout our country to prepare us to face tomorrow's challenges.

YALE UNIVERSITY

OFFICE OF THE PRESIDENT

105 WALL STREET, PO BOX 208229
NEW HAVEN CT 06520-8229

January 17, 2012

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

Dear Penny:

As the Robina Foundation prepares for its next Board meeting, I was pleased to learn of your conversation with Inge Reichenbach about the Board's current thinking regarding Yale's proposal to transform undergraduate science teaching. I continue to appreciate the Foundation's interest, and I understand that the Board is still developing its final position on the request. I write today to share information about some very exciting developments that I hope will help the Board in its deliberations.

When we began to prepare our original proposal, we believed that our ideas not only met Yale's urgent needs but that they also could have broader, national impact. As a member of President Obama's Council of Advisors on Science and Technology (PCAST), I have had an opportunity to help shape the thinking of this group on the subject of science education. My Yale colleague, Professor Jo Handelsman, the HHMI and Frederick Phineas Rose Professor of Molecular Cellular and Developmental Biology, is co-chairing a PCAST working group on undergraduate science, technology, engineering and math education. Professor Handelsman is a national leader in the study of effective undergraduate science teaching; she has led important national programs to train science teachers, and she has had a major role in developing our proposal to you.

What we could not foresee when we submitted the proposal were two fortuitous developments that validate our thinking and approach to transforming science teaching, but also put Yale in the forefront of the national movement to improve STEM teaching.

Last fall, the Association of American Universities (AAU) announced a major initiative in this area. The AAU, the umbrella organization of 61 leading public and private research universities in the United States and Canada, was founded in 1900 and focuses on issues of importance to research-intensive universities, such as funding for research, research policy issues, and graduate and undergraduate education. The 59 AAU universities in the United States award more than one-half of all U.S. doctoral degrees and 55 percent of those in the sciences and engineering. Membership in the Association is by invitation.

Ms. Penny Hunt
January 17, 2012
Page Two

The AAU initiative to improve STEM teaching focuses on helping higher education institutions assess the quality of teaching in science, technology, engineering and math, share best practices, and encourage departments and faculty members to use the most effective teaching methods in their classrooms. To help guide the initiative, the AAU has named a technical advisory committee of experts (including Jo Handelsman) in undergraduate STEM teaching and learning. I have enclosed a copy of the announcement for your information. The preliminary planning highlights a remarkable alignment between the AAU and Yale's own plans as described in our proposal to the Robina Foundation.

The AAU is in the process of completing the design of its initiative for likely release during the spring/summer of 2012. At the same time, the AAU will announce the selection of five to eight institutional partners as demonstration sites where these techniques and assessments will be tested, analyzed and shared with colleague institutions. Because Yale had already developed its plan as part of our engagement with the Robina Foundation, we have been assured, confidentially, by the AAU's leadership that Yale will be one of the demonstration sites. All of these institutions will have to raise outside funding to support their programs.

A second fortuitous event occurred at the PCAST meeting on January 5-6 in Washington, DC where I spoke with a White House staff member about the release of the report from the PCAST working group on undergraduate STEM education, now scheduled for mid-February. It is highly likely that President Obama will mention Yale in the announcement as one of several institutions that will take the leadership in implementing the PCAST recommendations. If we knew that Robina funding were to be forthcoming, we would make every effort to make sure that the White House announcement recognized your support.

On behalf of the University, I thank the Foundation for all its previous support, and I look forward with great hope that the Board will choose to support our work to improve the teaching of science. I would be grateful if you could bring this letter to the Board's attention. Please do not hesitate to let me know if I can provide any additional information.

With best regards,

Sincerely yours,



Richard C. Levin

RCL:mg

Enclosure

cc: Inge Reichenbach



ASSOCIATION OF AMERICAN UNIVERSITIES

FOR IMMEDIATE RELEASE
September 14, 2011

CONTACT: Barry Toiv
202-898-7847, barry_toiv@aau.edu

AAU ANNOUNCES MAJOR INITIATIVE TO IMPROVE UNDERGRADUATE STEM EDUCATION

The Association of American Universities (AAU), an association of leading U.S. public and private research universities, announced today a five-year initiative to improve the quality of undergraduate teaching and learning in science, technology, engineering and mathematics (STEM) fields at its member institutions.

"In recent years, researchers, many of them at our universities, have learned a great deal about the most effective methods of teaching specific STEM subjects," said AAU President Hunter R. Rawlings. "We now need to disseminate these methods widely among universities so that more faculty members will adopt the best teaching practices in their classrooms. AAU is not conducting another study or research project on STEM education. We are moving to implement the results of the latest research into science and math pedagogy."

"To be sure," he added, "a number of our universities are already leading the way in developing and implementing these new ways of teaching. But there is a long way to go, and there is an urgent need to accelerate the process of reform."

Rawlings said that AAU would work with experts in the field, AAU member universities, and scientific disciplinary societies to find ways to encourage faculty members and departments to employ new teaching techniques in the classroom.

"Our work will build on the research university model that has served our country so well," he added. "A singular strength of U.S. research universities, one that has contributed to this nation's global leadership in higher education and innovation, is the synergy between teaching and research," he said. "Bringing these together in the classroom benefits education as well as research."

In a description of the plan, AAU noted the increasing importance of STEM education. "The STEM fields are critical to generating the new ideas, companies, and industries that drive our nation's competitiveness, and will become even more important in the future. Improving undergraduate STEM education is both a national need and a long-term challenge."

AAU cited research showing that of the entering college freshmen who declare that they plan to major in STEM-related fields, over 40 percent switch to non-STEM majors by the time they graduate; in addition, completion rates for STEM majors are lower than for non-STEM majors.

"Through this initiative," Rawlings said, "AAU hopes to ensure that students taking STEM classes at research universities -- both STEM and non-STEM majors -- are taught in ways that have been proven to best ensure their ability to learn and retain the subject matter. Improved teaching and learning, we believe, will lead to increased retention of students in STEM fields and improved completion rates for STEM majors, as well as a more science-literate workforce."

"This initiative is not only about STEM majors," added Jared Cohon, President of Carnegie Mellon University and Chairman of AAU's Executive Committee. "Knowledge of science is an important part of a student's education, regardless of major. It is important that we improve STEM teaching and learning for the students who will pursue careers in business, teaching, and other fields, not just those who will become scientists and engineers."

To help guide its efforts, AAU announced the creation of a technical advisory committee composed of experts in undergraduate STEM teaching and learning. Members of the committee will include:

- Peter Bruns, Vice President for Grants and Special Programs (retired), Howard Hughes Medical Institute (HHMI)
- Noah Finkelstein, Associate Professor of Physics Education Research, Department of Physics, University of Colorado at Boulder
- S. James Gates, Jr., John S. Toll Professor of Physics and Director, Center for String and Particle Theory, University of Maryland, College Park
- Jo Handelsman, Howard Hughes Medical Institute (HHMI) Professor, Frederick Phineas Rose Professor of Molecular, Cellular and Developmental Biology, Yale University
- Sylvia Hurtado, Professor and Director of the Higher Education Research Institute (HERI), University of California, Los Angeles
- Peter Lepage, Harold Tanner Dean of Arts and Sciences and Professor of Physics, Cornell University
- Kathy Mann Koepke, Director of Mathematics and Science Cognition and Learning, National Institutes of Health (NIH)
- Bassam Z. Shakhshiri, Professor of Chemistry, William T. Evjue Distinguished Chair for the Wisconsin Idea, University of Wisconsin-Madison, and 2011 President-Elect, American Chemical Society
- Candace Thille, Director, Open Learning Initiative (OLI), Carnegie Mellon University

Drawing upon the expertise of the advisory committee and working closely with its member institutions, AAU will:

- Develop an effective analytical framework for assessing and improving the quality of STEM teaching and learning;
- Create a demonstration program at a number of AAU universities to implement the framework; a demonstration program could develop tools to survey and assess: quality of teaching and learning in STEM classes, the extent to which effective teaching methods are being used by academic departments, and the effects improved teaching has on retention of STEM majors and completion of STEM degrees;

- Explore mechanisms that institutions and departments can use to train, recognize, and reward faculty members who want to improve the quality of their STEM teaching;
- Work with federal research agencies to develop mechanisms for recognizing, rewarding and promoting efforts to improve undergraduate learning; and
- Determine how best to evaluate and develop effective means for sharing information about promising and effective undergraduate STEM education programs, approaches, methods and pedagogies.

Rawlings said that AAU would work closely with other associations that are already engaged in efforts to improve STEM education, including the Association of Public and Land-grant Universities (APLU), which has undertaken major efforts to expand the number and quality of K-12 STEM teachers and to redesign gateway courses at universities and community colleges using online learning, and the Business-Higher Education Forum, which has launched major initiatives to improve college readiness, access, and success and to address issues relating to STEM workforce needs.

"This is a large, complex area of education, and our work is intended to complement the very significant work that APLU and others are already conducting," Rawlings said. "We believe that teaching of undergraduates is the area where we can have the greatest impact. By working together in a coordinated fashion, higher education associations, individual universities, disciplinary societies, federal agencies, and the business community can bring about major improvements in STEM education and retention at all levels."

A discussion draft of a longer paper on the STEM teaching issue and the AAU plan can be found here.

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The Association of American Universities is an association of 59 U.S. and two Canadian research universities organized to develop and implement effective national and institutional policies supporting research and scholarship, graduate and professional education, undergraduate education, and public service in research universities.

*Twin Cities Campus**Office of the Dean
The Law School**Room 381 Mondale Hall
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January 23, 2012

Robina Foundation
Board of Directors
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Members of the Board,

Thank you for the opportunity to address questions that have arisen regarding our proposal for an environmental and energy law center. I have outlined below the comparative advantages a University of Minnesota based center would have over the many existing environmental advocacy groups and non-profit organizations (NGOs). I have also identified various sources of support that should enable the proposed center to become self-sufficient within ten years.

1. The Comparative Advantage of a University of Minnesota Law School Center

While there are dozens of environmental NGOs, none is well positioned to carry out the interdisciplinary program we have proposed. As a university-based research program, the University of Minnesota Law School Center will bring to its proposed projects: (1) a broad interdisciplinary capacity grounded in legal expertise; (2) a commitment to innovative thinking based in academic freedom; and (3) strong interconnections with multiple stakeholders locally, statewide, regionally, nationally, and internationally. Environmental NGOs lack at least one and often two or three of these qualities.

a. Interdisciplinary Capacity

The four problems that the Robina Center for Innovation in Environmental and Energy Law seeks to tackle are exceedingly complex. For legal solutions to such problems to be effective, they need to be grounded in an understanding of the relevant science, engineering, geography, and public policy. The proposed Center will combine substantial legal expertise with the broad interdisciplinary resources in environment and energy available elsewhere in the University. As a result, the Center will have a capacity for ground-breaking interdisciplinary work that environmental advocacy groups and think tanks cannot match.

An extensive academic literature across disciplines has documented the ways in which universities can help spur environmental and energy law and policy change through both innovation leadership and diffusion leadership; universities can create new approaches

(innovation) and assist in their implementation and dispersion into society (diffusion).¹ The University of Minnesota Law School is particularly well suited to playing both innovation and diffusion roles with respect to the four issues that it has chosen as a focus—(1) transitioning to cleaner energy infrastructure; (2) reforming broken governance approaches; (3) addressing unequal distribution of climate, environmental, and energy harms and benefits; and (4) making urban areas more sustainable—because it has a depth of legal expertise and established cross-disciplinary and public policy partnerships on each of these issues. The Center's project leaders have all accomplished needed change in their past work and the cross-university collaboration the proposed Center will make possible should help us break important new ground.

By contrast, environmental non-profits tend to focus on particular advocacy approaches in support of pre-determined goals; they seldom engage in the kind of broad rethinking of approaches and problems that academic institutions emphasize. For example, the Sierra Club is a grassroots organization with 1.4 million members that works to achieve specific advocacy goals (e.g., protection of national forests and support for renewable energy). Its spin-off, Earthjustice (formerly the Sierra Club Legal Defense Fund), focuses primarily on bringing high-impact environmental litigation. The Natural Resources Defense Council (NRDC), another leading environmental non-profit, combines member-based advocacy campaigns and staff-initiated environmental litigation. This work is very important, and complements what we hope to achieve, but it is fundamentally different from the kind of work that a university center, with a broader focus, an interdisciplinary approach, and fewer preconceived notions of outcomes, can do.

Leading environmental and energy think tanks sometimes undertake important conceptual work, but they do not in that regard have the capacity of a major research university. For example, the Center for Progressive Reform (CPR) (Professors Karkkainen and Klass are both member scholars) brings together scholars from around the country to discuss health, safety, and environmental issues. We anticipate collaborating with CPR and a number of its member scholars, but CPR cannot replicate the ongoing, regular interactions and collaboration possible among scholars working from a base in a major research university with its panoply of teaching and research resources. CPR also has a more predetermined sense of policy outcomes than our proposed Center.

b. Open Inquiry

One reason universities have a unique capacity to provide innovation and diffusion leadership is their commitment to supporting research wherever it may lead. Academic freedom and the culture of open inquiry it supports help faculty pursue new theories and approaches free of pressure to reach particular outcomes. The Center and its projects will be led in its first five years by tenured academics who have no commitment to a particular policy outcome. We aim to rethink and reframe debates in ways that advocacy organizations are often incapable of doing because of pre-commitments driven by member and donor interests.

¹ For an example of this scholarship in the legal literature, see Elizabeth Burleson & Winslow Burleson, *Innovation Cooperation: Energy Biosciences and the Law*, 2011 U. ILL. L. REV. 651 (discussing the roles that universities play in innovation leadership and diffusion leadership in the context of energy and climate change).

The need for innovative, unconstrained rethinking of existing policies is underscored by recent developments. The December 2011 climate change negotiations in Durban, for example, resulted in some legal progress on both an eventual universal treaty and commitments to Kyoto Protocol goals by most of its parties, but that progress is not enough to achieve the emissions reductions that scientists say are needed. We need to move beyond current strategies and structures for negotiations to find pathways to faster emissions reductions. Our proposed Center would have the capacity to step back from current conceptual boxes to find cross-cutting, integrative strategies that might break through current deadlocks.

c. Coordination Capacity

Of course, we can't solve major environmental problems by ourselves. But we can, in partnership with others, make important contributions to the development of new approaches, in ways that existing NGOs cannot match.

The University of Minnesota Law School has the capacity to bring together key thinkers and policy makers to conceptualize new ideas and help see them implemented. Since submitting our proposal in November, we have made substantial progress on planning and finalized funding for a spring 2012 workshop and a spring 2013 conference that will focus on our four project areas.

For the workshop, academic invitees include key senior program builders and emerging junior stars across several disciplines from leading universities, with a core emphasis on law (about half of the participants have a law tenure home). We have invited experts from fifteen universities that are particular innovators on environment and energy, so that we can build collaborative projects that will maximize our impact on law and policy. The sessions this spring will help us convene a core collaborative group to refine our vision for the four projects. We are also providing awards for the best student scholarship and including it to help develop the newest thinkers in the field. We have already reached out to leading nongovernmental organizations, practitioners, and policymakers locally (who have been very enthusiastic about participating), and will continue to do so, in order to involve them in our project development and implementation.

The 2012 workshop will set the stage for a major conference in spring 2013 on "Legal and Policy Pathways for Energy Innovation," which the Consortium on Law and Values in Health, Environment, and the Life Sciences has agreed to fund with a \$50,000 budget. This conference will be organized around our four projects and will build from our core academic and policymaking group to include additional academic, government, corporate, and non-profit leaders and emerging voices from around the country. We are already in discussions with Washington University's law school about synchronizing this conference with a fall 2012 conference there in order to maximize the impact of both in synergistic ways. Moreover, we are in discussions with colleagues at Berkeley, the University of North Carolina, the University of Michigan, UCLA, George Washington University, and elsewhere about partnerships on aspects of our four projects. The attached chart shows the collaborations in progress or under discussion. Funding for a Robina Center would enable us to drive the development of these and other collaborations and make ours one of the leading programs in the country.

Our goal is not to compete with existing environmental advocacy programs or other universities' initiatives but rather to build a team of interconnected thinkers, advocates, and policy makers who can help bring needed change.

2. Possibilities for Ongoing Funding

We anticipate supplementing and eventually replacing Robina Foundation funding with a combination of government grants, foundation funding, and private donor support.

As our efforts of the past year to build interdisciplinary collaboration and initiate our proposed four projects reflect, the University of Minnesota is deeply committed to supporting interdisciplinary environmental and energy efforts. We have been able to fund a monthly interdisciplinary faculty lunch meeting, a workshop, and a major conference through commitments from the Consortium on Law and Values in Health, Environment and the Life Science (Consortium), the Institute on the Environment, and a private donor. In addition, two of our project leaders, Brad Karkkainen and Hari Osofsky, have received funding from the University's Institute for Advanced Study. Alexandra Klass, Hari Osofsky, and Elizabeth Wilson are currently Institute on the Environment Fellows and Hari Osofsky is an Associate Director in the Consortium, so we anticipate continuing support from a range of university sources for a number of our activities.

A number of foundations are giving increasing attention to the issues that are the focus of the Center and our project leaders and key collaborators have a proven track record at raising money from major foundations for their work, including from the Brookings Institution, the Ford Foundation, and the National Science Foundation. This combination provides exciting possibilities for future foundation funding to support the Center and its projects. For example, the Ford Foundation has a sustainable development initiative with a focus that fits the third project on addressing unequal distribution of climate, environmental, and energy harms and benefits. The Rockefeller Foundation is funding several initiatives that connect to our project areas, especially ones on developing climate resilience and promoting equitable, sustainable transportation. The McKnight foundation has a focus on climate change and renewable energy, with a Mid-Western orientation that would dovetail well with the Center's work. The National Science Foundation just sent around a broader call for law-related research projects. The Margaret A. Cargill Foundation, which lists "preserv[ing] and promot[ing] sustainable use of the environment" as one of its goals, may be another potential funder. We anticipate engaging in a global review of potential foundation sources during our first year to begin making proposals that will support our Center and its initiatives over time.

Finally, we anticipate finding both governmental and private support for the Center's efforts. The U.S. Department of Energy, the Environmental Protection Agency, and the Department of the Interior provide regular funding opportunities for which we could apply, especially in collaboration with our community and local government partners. State and local government funding also exist, and the strong partnerships we are building here will help us access those funds. In addition, we plan to cultivate private donors with an interest in these issues, a process we have already begun by obtaining private support for the student awards in conjunction with our spring 2012 workshop and a new environmental and energy graduation award.

We believe that the proposed Center can make a major contribution toward transformative change in environmental and energy law and policy and we are confident we can find the funding needed to make the Center sustainable after its start-up phase.

As always, I would be happy to answer any further questions you might have.

Sincerely,

A handwritten signature in black ink, appearing to read 'DW', is written over the printed name.

David Wippman
Dean and William S. Pattee Professor of Law

Attachment

The Robina Center for Innovation in Environmental and Energy Law Proposal to the Robina Foundation

Appendix on Collaborations January 18, 2012

We have already begun developing active collaborations with several other major research universities focused on our four project areas. The following table details their current status. We anticipate that our Spring 2012 workshop, which focuses on many of these collaborators, will deepen these relationships. In addition, we are considering reaching out further to our close colleagues working on these issues at the University of Arizona, University of Texas, and Vanderbilt in order to cover the United States more fully.

Institution	Key Contacts	Collaboration
George Washington University, Washington, D.C.	- Paul Berman, Dean - LeRoy Paddock, Assoc. Dean for Env. Studies	As they embark on a major expansion of their energy program, they have approached us about collaboration on energy issues and we will be having some joint meetings this spring while Dean Paddock is in Minnesota. This collaboration will connect to all four of our projects.
University of California, Berkeley	- Daniel Farber, Sho Sato Professor of Law and Chair of the Energy and Resources Group	We are actively exploring ways of bringing together their projects and ours in all four areas to maximize impact.
University of California, Los Angeles	- Ann Carlson, Shapiro Professor of Environmental Law and Faculty Director of the Emmett Center on Climate Change and the Environment	We are actively exploring collaboration on a range of environmental and energy issues that relate to all four projects. Alexandra Klass and Hari Osofsky will be participating in a research project that UCLA is organizing comparing different states public utility commissions' efforts on climate change and clean energy.
University of Michigan	- Rebecca Hardin, Associate Professor	We are exploring collaboration on a range of issues that relate to all four projects. We have been included as an institutional collaborator on their recent proposal to support sustainable forestry that respects indigenous peoples around the world, and initiative that connects to our third project.
University of North Carolina	- Victor Flatt, Thomas F. and Elizabeth Taft Distinguished Professor in Environmental Law; Director, Center for Law, Environment,	As they develop their efforts on energy law further in conjunction with their existing environmental law initiatives, we are exploring collaborations that connect to all four project areas. Hari Osofsky will visit UNC this spring to participate in a multi-school collaborative

	Adaptation, and Resources	dialogue on climate change adaptation, which particularly connects to our third project.
Washington University – St. Louis	- Leila Nadya Sadat, Henry H. Oberschelp Professor of Law, Director of the Whitney Harris World Law Institute	We have begun collaborative planning to connect their planned fall 2012 conference on climate change and biodiversity with our spring 2013 conference on legal pathways to energy innovation in order to maximize synergies and the impact of both conferences.

UNIVERSITY OF MINNESOTA

UNIVERSITY OF MINNESOTA FUNDING OPTIONS

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January 23, 2012

Robina Foundation Board of Directors
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Members of the Board,

As the Board considers our proposal for an energy and environmental law center, I wanted to offer two alternatives for consideration. I have attached brief descriptions of each alternative and would be happy to prepare a full proposal on either of them. The clinic funding opportunities alternative has several different options within it.

Each of these options addresses, in different ways, a common problem. Even as law schools struggle to place their graduates, millions of low and moderate income individuals lack access to basic legal services. Too many people lose their homes, child support, or other basic necessities because they cannot afford lawyers or find a legal aid office able to assist them. The longer the economy struggles, the worse the problem becomes. Legal services organizations find it more and more difficult to fund attorney positions even as demand for legal services grows.

As part of a land grant institution, the University of Minnesota Law School has a strong commitment to public service. Moreover, we want to provide our students with a full range of experiential learning opportunities and to ensure that students interested in public service careers do not find that option foreclosed by law school debt. Each of the attached proposals would serve these common goals in somewhat different ways.

The simplest and in many ways the most attractive option for the Law School would be a Robina Public Interest Scholars program. It would help meet pressing needs (offering students scholarships, internships, and post-graduation employment) while making it affordable for students to pursue public service careers. A Robina Community Based Legal Services Center would be the most potentially transformative option. It would expand services to the community, leverage resources from the University, area law firms, and the business community, and offer excellent practical training to current students. It is also the most complicated option and would require more time, investment, and planning than the other options. We have made some preliminary inquiries of University officials and local law firms and we believe we could generate considerable support for a community based center, but we would have to do a feasibility study to determine the best approach, staffing and space needs, and the corresponding budget.

I look forward to exploring options with you and appreciate the opportunity to present these ideas.

Sincerely,



David Wippman
Dean and William S. Pattee Professor of Law

Attachments

Cost of Public Interest Scholars Prog:

Sch: 20 @ 20k $\rightarrow$ 400,000

Summer: 20 @ 7500 $\rightarrow$ 150,000

Post grad 20 @ \$4000 $\rightarrow$ 80,000

loan 20 @ 4000 $\rightarrow$ 80,000

\$ 710,000 - High end

UNIVERSITY OF MINNESOTA LAW SCHOOL ROBINA PUBLIC INTEREST SCHOLARS PROGRAM

As the cost of legal education continues to climb, graduates increasingly find that debt service precludes public service, even as the demand for low cost legal services escalates. For most law students, at Minnesota and nationally, average debt on graduation is \$91,000. But public interest positions typically pay starting salaries under \$40,000, often well under. Even at those low salaries, increasingly cash-strapped public interest legal services providers can afford to do very little hiring. A Robina Public Interest Scholars program might help address these interrelated problems and create a national model for other law schools.

The Program would have four components intended to create a seamless path to public service:

① scholarships to attract students interested in public service; ② summer internships with public interest organizations during law school to expose students to the rewards of public interest work; ③ year-long post-graduate fellowships to enable graduates to launch a career in public interest work; and ④ loan repayment assistance to enable those graduates to continue public interest careers. yhs
model.

The Robina Foundation has already generously funded scholarships and public interest summer internships. We would like to offer targeted scholarships and internships to students whose background and interests indicate that they are good candidates for public service careers. How
different? Scholarship support would help attract top students to Minnesota and lessen their debt burden on graduation. Summer internships would inspire them and provide practical skills and networking opportunities. Year-long post-graduate positions would help graduates break into the world of public interest legal services, enabling them to work at legal services organizations that might not otherwise be comfortable giving them a chance. A targeted, public interest loan repayment program would enable graduates to pursue such careers for life.

As a result of recent changes to the federal student loan program, qualified recipients may elect an income-based repayment (IBR) plan. Under IBR, interest payments are limited to 10% of a graduate's discretionary income, defined as the difference between the graduate's Adjusted Gross Income and the poverty level. If a graduate works ten consecutive years in a public service position and during that time makes the IBR interest payments, the remaining loan interest and principal are forgiven.

A Robina Public Interest Scholars Program would offer 15-20 scholarships annually (averaging \$20,000 each); 15-20 summer internships (between \$5000 and \$7500 each); 15-20 full-year post-graduate public interest fellowships (averaging \$25,000 each); and 15-20 annual loan repayment grants to graduates pursuing public interest work (averaging \$4000 each). Ideally, a Robina Scholar would move automatically from scholarship to internship to fellowship to loan

repayment grant. As a practical matter, however, it is likely that some Robina Scholars may change their minds part way and seek private sector employment. But by the same token, other students might decide during the course of law school to pursue a public interest career. So we would want to design the program with some flexibility and with the overall goal of encouraging students to pursue public interest careers by making it affordable for them to do so. Such a program could transform the lives of the students in it and the lives of the clients they serve, and it could create a model for others to follow.

UNIVERSITY OF MINNESOTA LAW SCHOOL CLINIC FUNDING OPPORTUNITIES

Far too many low and moderate income individuals, families, and businesses cannot afford desperately needed legal services. This gap between supply and demand creates enormous hardships for individuals and undermines confidence in the judicial system. The simplest way for law schools to help address this quandary, and in the process to train students and instill in them a lifetime commitment to social justice, is to expand existing clinical programs. A more ambitious alternative is to create a community-based legal services center in partnership with local law firms.

The University of Minnesota Law School already offers one of the country's largest and most established clinical programs (24 clinics). But we cannot currently meet student demand or our strategic plan goal to offer every student at least one live-client clinic or comparable experiential learning opportunity.

Below is a summary of three possible ways to expand our current offerings. The first option is by far the most ambitious, but it has important community service advantages, it should enable us to use Robina funding to leverage additional University and law firm resources, and it would serve as a model for other law schools to emulate. In the process, we might begin to reframe the national debate about the role of law schools in supporting access to justice for underserved populations.

1. Community Based Legal Services Center

Law schools are under attack for failing to provide sufficient practical skills training and the legal profession is under attack for failing to meet the legal services needs of low and moderate income individuals, families, and businesses. An innovative, community-based legal services center offers a great model for addressing both concerns.

The University of Minnesota in 2009 opened up the Urban Research and Outreach Engagement Center (UROC), a 22000 square foot building in North Minneapolis. UROC is designed to be a link between the University and the North Minneapolis community and to create new models "for university-community engagement and urban problem solving." For years, the University has encouraged the Law School to create a community-based clinical program at UROC. The concept stalled because of the resources and logistics involved in creating and running a clinic in office space separate from Mondale Hall.

However, we would very much like to be able to create a community legal services program -- a general practice legal aid office staffed by clinical instructors, law students, local attorneys working pro bono, and possibly clinical fellows (described in part 2). By basing the clinic in a low-income neighborhood, we could offer some walk-in services, train students in a law office setting, and help satisfy a pressing need for community legal services. By partnering with one or more law firms in the Twin Cities, we could expand the legal services offered, tap the firms' expertise and resources to help serve clients, and help train the participating student attorneys. We could also experiment with a model in which low-income clients receive services free while moderate income clients pay legal fees commensurate with their ability to pay. We could start

small, perhaps with a focus on one or two areas of law, e.g., landlord-tenant issues and/or family law. Over time, and with additional resources, we could expand the legal services provided to include community business development and other more transactional projects.

This would be an ambitious undertaking, requiring an on-site manager, administrative staff, and technology and other logistical support from the University and the Law School. But it would be an invaluable service to the community, a great learning opportunity for students, and the chance to create a model that other law schools might follow. *What legal aid services now there?*

2. Create Robina Clinical Teaching Fellowships

Hiring teaching fellows would offer a new and simple means to expand our clinic program while helping to train the next generation of clinical faculty. A handful of schools already offer such fellowships. Typically, they entail two-year programs in which an experienced or recently graduated lawyer is given an opportunity to combine study with practice in the field of clinical legal education and public advocacy. Clinical fellows work with a clinical professor, supervise law students handling clinical cases, teach in the clinical program, supervise student attorneys, and work on their own cases, providing legal services to low-income clients. Robina Clinical Teaching Fellows would increase our capacity to enroll clinic students and expand the breadth of our representation to those with unmet legal needs. Each Fellow would cost roughly \$70-75,000 per year in salary and benefits. *

3. Hire additional clinic faculty

The simplest way to expand capacity is to hire additional clinic faculty. A variety of different clinics would be terrific additions. (?)

- a. The Bankruptcy Clinic has been an adjunct-taught clinic since its inception. It offers students the opportunity to advise and represent individuals in serious financial difficulty by negotiating with creditors, filing bankruptcy cases, and representing clients in adversary proceedings. It is a very popular clinic and is always oversubscribed. However, an adjunct clinic is always limited in its ability to provide students with an in-depth clinical experience. It would be terrific to pair the existing adjunct clinic with an in-house bankruptcy clinic taught by a full-time clinic faculty member.
- b. We have two environmental clinics, both taught by adjuncts: an Energy Policy Clinic and a Land Use Policy Clinic. The first allows students to engage in projects promoting public policy that reduces the impact of energy use on the environment, such as advocating before local, state, or federal agencies; drafting legislation; and researching and writing reports. The second allows students to engage in public policy projects that promote environmental sustainability in land use, housing and building, transportation, and urban growth by assisting and advocating before local, state, or federal agencies; drafting legislation; and researching and writing reports. These clinics are each limited to four students. If we could hire a full-time clinical professor, we could provide a more intensive experience for our clinic students and expand the number of law students able to participate.

To hire an additional full-time clinical faculty member would cost roughly \$185,000 per year in salary and benefits.

**Robina Foundation
Meeting Minutes
November 15, 2011**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on November 15, 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.

Mary Lou White was present and served as recorder.

Welcome and Call to Order

Crosby, Chair, called the meeting to order and welcomed Board Members. Hunt briefly previewed the agenda and highlighted those items ready for Board action.

Minutes of the August 23 - 24, 2011 Annual Meeting

Berresford proposed that the Minutes of the August 23-24, 2011, annual meeting included in the board book be amended on page 5 to read: "The Board agreed to review Board Members' time commitment each year to insure that compensation is appropriate."

A motion made and seconded to approve the Minutes of the August 23 – 24, 2011, annual meeting as amended was approved unanimously.

Executive Director's Report

Hunt called Board Members' attention to the Executive Director's Report in the board book.

Treasurer's Report

Investment Policy Statement

Crosby presented the Investment Policy Statement prepared by US Bank for Board approval, noting that US Bank had revised the statement following the Board's discussion at the August Board Meeting. Crosby noted that one further change was needed to provide an accurate description of the creation of the Foundation.

A motion made and seconded to approve the revised Investment Policy Statement was approved unanimously.

Assets and Grants / Assets Detail / Reports

Crosby noted that the timing of reports from JP Morgan and US Bank may reflect double accounting of the venture capital assets. This should be straightened out in the next reports from JP Morgan and US Bank. Crosby also noted that several assets

currently showing value on JP Morgan's reports have no value and will be written down to zero once they are transferred to the Foundation. He estimates that the Foundation will have approximately \$1.5 million in illiquid assets once all assets are transferred to the Foundation. These illiquid assets will be part of the Foundation's equity pool.

Legal Report

Crosby reported on recent conversations with Peggy Quinn, lawyer for the Binger Estate, to update Board Members on the status of settlement of issues with the IRS as described in his October 26 memo to the Board included in the Board Book. According to Quinn, the parties are nearing settlement of all issues. Board Members were asked to confirm their support for a settlement as outlined in Crosby's memo.

A motion made and seconded to approve a settlement with the IRS that would result in a net return to the Foundation of at least \$12,445,745 was approved unanimously.

Grant Program

Hunt directed the Board's attention to the description of the Foundation's grant program included in the Board Book and noted the changes in the description to reflect the discussion at the August Board Meeting. Board Members suggested several additional changes and directed Hunt to provide Robina Grantees with appropriate parts of the description. The revised description is attached as Attachment 1.

Major Multi-Year Grants

Board Members discussed the Grant Spread Sheet and Bar Chart included in the Board Book, focusing in particular on the grant totals for each Robina Grantee and the issue of parity among grantees. Grantee parity will be discussed in more detail at the February Board Meeting.

Abbott Northwestern Hospital

Supportive Care Approach for Patients Late in Life (LLSC)

Board Members discussed Abbott Northwestern Hospital's revised proposal for the LLSC initiative, which was updated based on ANWH's internal review and comments from the two outside reviewers engaged by the Foundation.

Upon motion made and seconded the Board approved a three-year grant totaling \$9,666,454 to Abbott Northwestern Hospital to support the LLSC initiative, payable as follows: \$2,356,696 in 2012; \$4,245,492 in 2013; \$3,064,266 in 2014 subject to the submission of acceptable six-month and annual reports.

Board Members asked Hunt to learn more about the initiative with Twin Cities Public Television.

Care Guide Program

Board Members expressed interest in the early results of Phase II of the Care Guides program and a willingness to provide funding to enhance communication of the results, assuming they are positive. Schroeder and Hunt plan to talk with Drs. Adair and Wheeler about the status of the program.

Yale School of Drama: Endowment Support for the Center for New Theatre

Karoff, Berresford, Blatz and Hunt reported on their recent meeting with Yale School of Drama to discuss the school's endowment request and alternative gift scenarios based on the length of the grant. Board Members expressed interest in providing endowment support and asked Hunt to review the scenarios with Mike Sullivan and to obtain additional information from Yale for discussion at the February Board Meeting.

University of Minnesota Law School: Institute of Criminal Law and Criminal Justice

Dean Wippman provided revised information on the Institute to respond to questions and concerns expressed by Board Members at the August Board Meeting. Blatz and Hunt will discuss the Board's continued interest in the addition of a component of empirical research to the work of the Institute and the possibility of using Robina funds to support empirical work.

Discretionary Grants

Abbott Northwestern Hospital: Relaxation Response: Combat Burnout among Hospitalist/Physicians

Following discussion of the proposal included in the Board Book, Board Members decided not to provide the requested funding.

University of Minnesota Law School: Center for Innovation in Environmental and Energy Law

Board Members acknowledged the importance of environmental issues but would like additional information concerning the work of environmental organizations, the feasibility of the University's simultaneous implementation of several major institutes and the availability of funding through the Margaret Cargill Foundation. Blatz and Hunt will follow up with Dean Wippman to obtain additional information for consideration at the February meeting. If Robina wishes to consider this request further, outside reviewers will be needed.

Yale University: Transforming Undergraduate Science Education

Karoff, Berresford, Blatz and Hunt reported on their recent meeting at Yale to discuss this proposal. Although Blatz and Berresford indicated that the meeting heightened their interest in the proposal, Board Members acknowledged that support for funding is "soft." More details are needed, in particular on how Yale's efforts to transform undergraduate science education would be different with Robina participation.

Other Business**Speakers for February Meeting**

Board Members reviewed information on potential speakers included in the Board Book and directed Hunt to work with Karoff and Schroeder to pursue speakers on palliative care and the criminal justice system.

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Steven A. Schroeder, Secretary**Date**

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 that will leave a legacy within 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 and leave a legacy within Robina Grantees and society.

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's initial assets approximate \$150 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 major 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 ordinarily provide:

- General operating support
- Grants for capital projects or endowments

DISCRETIONARY GRANTS

In addition to the Robina Foundation's major Multi-Year Grants, the Foundation may from time-to-time provide "discretionary" grants, which support its mission by funding:

- Smaller, shorter-term grants to jump-start an important initiative or meet an important need of a Robina Grantee;
- Work outside Robina Grantees that will help Robina Grantees' mature projects achieve maximum impact;
- Ad hoc, unique, unforeseen opportunities deemed appropriate for the Foundation given the Foundation's mission.

ROBINA FOUNDATION MONITORING

Written Reports:

Each year Robina Grantees will submit an interim six month report and a longer annual report on work accomplished on initiatives funded by the Robina Foundation.

Site Visits:

- The Board's Lead Director and Executive Director will meet with each Grantee every year.
- The full Robina Board will conduct a site visit with each Robina Grantee approximately every two years.

Approved by Board of Directors: 2/23/2011; modified 11/15/2011

**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
February 15, 2012**

EXECUTIVE DIRECTOR'S REPORT

As in the past, my time following the November meeting was occupied with follow-up to that meeting and preparation for the February meeting.

Preparation for the February Meeting

Thanks to Steve's past work and friendship with Diane Meier and Kathleen's connections with Roger Warren, securing both of them to speak to the Board was easy. I'm confident that their participation will be interesting and helpful and will enhance our understanding of areas and subjects important to Robina.

Nancy did the lion's share of the logistical preparation for the Santa Barbara meeting (no small feat), leaving me to consult on meals and the fun parts of meeting planning.

Preparation for the meeting included work with Robina Grantees described below.

Work with Robina Grantees

Abbott Northwestern Hospital: LLSC Initiative

Needless to say, ANWH was thrilled to learn that the Robina Foundation Board had approved a three-year grant to support the Late Life Supportive Care Initiative. I worked with ANWH to finalize the internal announcement, as well as the press release describing the grant, which received considerable coverage in local media. Steve (by phone) and I met with Dr. Eric Anderson, Principal Investigator, and Sandy Schellinger, Co-investigator, to talk about the launch of the initiative and to learn more about the partnership with Twin Cities Public Television. (Additional material on the TPT partnership is included at Tab 4, along with an update on the status of the initiative.)

Abbott Northwestern Hospital: Care Guide Initiative

Steve and I spoke with Drs. Adair and Wheeler and Kim Radel in January to learn more about the early results of Phase II of the Care Guide Initiative and discuss ANWH's plans for communicating the results, assuming they are positive. At the Board Meeting, Steve and I will update you on our discussions. Dr. Adair has indicated that he would like to meet one last time with the Board during next summer's meeting. I'm sure we can accommodate that.

Abbott Northwestern Hospital: Change of Leadership

Tom and I met with Dr. Ben Bache-Wiig, who was named President of Abbott Northwestern Hospital in October, along with Penny Wheeler, Chief Medical

Officer of Allina. Dr. Bache-Wiig was Vice President of Medical Affairs for ANWH since 2009. He is board-certified in internal medicine and succeeds Jeff Peterson, who was promoted to Executive Vice President for Allina's Hospital Division earlier last year.

Council on Foreign Relations

I spoke several times with Jim Lindsay and Susan Berresford about a possible diversity initiative within CFR. Tab 5 includes CFR's proposal for a partnership with Humanity in Action to expose participants to opportunities in international affairs.

Since I planned to be in New York in early February to participate in Susan's meeting with Dean Post of Yale Law School (the introductory meeting described below), Susan and I decided to take advantage of my visit to meet with Richard Haass, Jim Lindsay and Stewart Patrick to talk about the various CFR initiatives funded by the Robina Foundation. (Unfortunately, the timing of the meeting didn't work for Gordy.) The meeting has not taken place as of this writing, but we anticipate that our conversation will be wide-ranging, but focused on the upcoming Council of Councils Inaugural Meeting, as well as IIGG II, Robina's technology grant and the diversity initiative. Susan and I can update you at the meeting. I believe all Board Members received information describing the Council of Councils meeting in March. Gordy and I are planning to attend.

University of Minnesota Law School

Kathleen and I provided David Wippman with the Board's feedback on the U's plans for the Institute of Criminal Law and the Environmental Law Center. To follow up on our conversation, David provided information included in the Board Book at Tabs 4 and 5. In addition, we suggested that Dean Wippman provide the Board with a description of other opportunities for Robina funding so that the Board can consider alternative approaches for Robina to support the U Law School. Material on additional funding opportunities is found at Tab 5.

Yale University: Yale School of Drama

Not surprisingly, Yale School of Drama was delighted to learn of the Board's interest in additional information concerning the proposal for endowment funding of the Center for New Theatre. Tab 5 includes information from YSD, as well as a letter from President Levin concerning Yale School of Drama. In addition, Tom, Nancy and I met with Mike Sullivan to discuss the alternative funding scenarios identified by YSD. Mike's analysis and recommendation are found at Tab 5.

Yale University: Yale Law School

Since it wasn't possible for Susan to attend the November 11 meeting at Yale Law School by phone as she did the meetings with YSD and the science faculty, Dean Post traveled to New York City in early February to meet with Susan. I was also able to attend that meeting. Susan and I will report on the meeting with Dean Post during the Board Meeting.

The blue folder in the back of the Board Book includes information from YLS to update the Board on the Robina Human Rights Initiative. Note in particular the organizational chart entitled "Components of the Yale Law School Human Rights Programs." You will recall that the Board found an earlier organizational chart confusing. This version is designed to provide a more coherent representation of the Robina Initiative, as well as YLS's other human rights programs. YLS has also reworked its website to give more visibility to its human rights programs, including the Robina Initiative. The website includes new Robina webpages and highlights the Robina Initiative on the right on the main entrance to the Yale Law School website and all related pages.

Yale University: Transforming Undergraduate Science Education Initiative

Following the November Board Meeting I contacted Inge Reichenbach to discuss the mixed response of the Robina Board to Yale's revised and reduced request for funding to transform undergraduate science teaching and the Board's interest in understanding the impact of a Robina grant not only on Yale, but also outside the university. The material at Tab 5 includes a letter from President Levin describing Yale's participation as a demonstration site for a national initiative of the Association of American Universities to improve STEM teaching and the role Robina funding could play in jumpstarting Yale's involvement with the AAU initiative.

Monitoring Robina Grants

Since the Board determined that Robina Grantees need not submit quarterly reports, Nancy and I developed a schedule for 6-month and annual reports, and I worked with the grantees to assure that the schedule is coordinated with their programs. The result is a schedule that spreads out the reports from the various grantees to permit the Board to focus on one or two grantees in connection with each meeting. The change in reporting was welcomed by Robina Grantees.

Excise Tax

In December Tom, Nancy and I talked with CPA Anne Ledwein to determine whether we should accelerate the payment of several of Robina's grant commitments so that the Foundation would be eligible to pay a 1% excise tax, rather than a 2% tax, for 2011. My memo at Tab 8 summarizes our discussion and decision.

**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
09/30/11	125,106,894	30,208,267	23,229,046
12/31/11	120,827,123	30,658,267	32,895,500 (1)

- (1) Includes commitments of \$9,666,454 (over 3 years) to Abbott's Late Life Supportive Care project; \$10,305,357 (over 5 years) to CFR's IIGG Phase II and \$276,805 (2012) for CFR's Online Video project; \$893,457 (2012) to U of M LaPPS final payment, \$7,503,427 (over 5 years) for U of M Institute of Criminal Law & Justice program, and \$1,250,000 (over 5 years) to U of M Scholarship program; and \$3,000,000 (over 3 years) to Yale Law School Human Rights II program.

ROBINA FOUNDATION

ASSETS DETAIL

USbank Checking, USbank Investment Account, TIFF Account, Estate of Jim Binger, IRS Refund

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

Assets	03/31/10	06/30/10	09/30/10
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

Assets	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
Total	\$128,007,811.51	\$128,482,893.73	\$128,031,543.16

Assets	09/30/11	12/31/11	03/31/12
USbank Checking	3,242,279	3,107,762	
USbank Investment	79,623,780	74,568,396	
Estate of Jim Binger	30,618,655	30,705,220	
IRS Refund	11,622,180	12,445,745 (4)	
Total	\$125,106,894	120,827,123	

- (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) The expected amount is at least \$12,445,745.



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

3039 IMG

Y ST01

THE PRIVATE CLIENT RESERVE
Business Statement

Account Number

Statement Period

Dec 1, 2011

through

Dec 31, 2011

Page 1 of 4



000002945 1 AT 0.365 106481404610165 P

ROBINA FOUNDATION
80 S 8TH ST STE 4900
MINNEAPOLIS MN 55402-2226



To Contact U.S. Bank

24-Hour Business

Solutions:

1-800-673-3551

Telecommunications Device

for the Deaf:

1-800-685-5061

Internet:

usbank.com

Not needed

INFORMATION YOU SHOULD KNOW

Bank statements and check images are available at no cost through U.S. Bank Internet Banking when you are enrolled in online statements. As a reminder, if you elect to receive your checks or front and back images of checks with a paper monthly bank statements, your account will be charged as indicated in the Business Pricing Information brochure whether or not checks or check images were returned with your monthly statement. For additional information or to enroll in online statements, visit www.usbank.com <<http://www.usbank.com>> or contact your local branch.

NON PROFIT CHECKING

Member FDIC

Bank National Association

Account Summary

	# Items				
Beginning Balance on Dec 1		\$	3,172,882.81	Interest Paid this Year	\$ 10,249.74
Other Deposits	1		401.69	Number of Days in Statement Period	31
Other Withdrawals	1		15,000.00-		
Checks Paid	14		50,522.25-		
Ending Balance on Dec 31, 2011		\$	3,107,762.25		

Other Deposits

Date	Description of Transaction	Ref Number	Amount
Dec 30	Interest Paid	3000003258	\$ 401.69
Total Other Deposits			\$ 401.69

Other Withdrawals

Date	Description of Transaction	Ref Number	Amount
Dec 14	Electronic Withdrawal From IRS		\$ 15,000.00-
Total Other Withdrawals			\$ 15,000.00-

Checks Presented Conventionally

Check	Date	Ref Number	Amount	Check	Date	Ref Number	Amount
	Dec 1		174.82		Dec 22		6,250.00
	Dec 7		2,520.00		Dec 27		6,250.00
	Dec 8		153.03		Dec 28		6,250.00
	Dec 9		961.92		Dec 29		6,250.00
	Dec 30		47.85		Dec 23		6,250.00
	Dec 9		81.46		Dec 29		6,250.00
	Dec 15		1,583.17		Dec 30		7,500.00

* Gap in check sequence

Conventional Checks Paid (14)

\$ 50,522.25-

Balance Summary

Date	Ending Balance	Date	Ending Balance	Date	Ending Balance
Dec 1	3,172,707.99	Dec 8	3,170,034.96	Dec 14	3,153,991.58
Dec 7	3,170,187.99	Dec 9	3,168,991.58	Dec 15	3,152,408.41

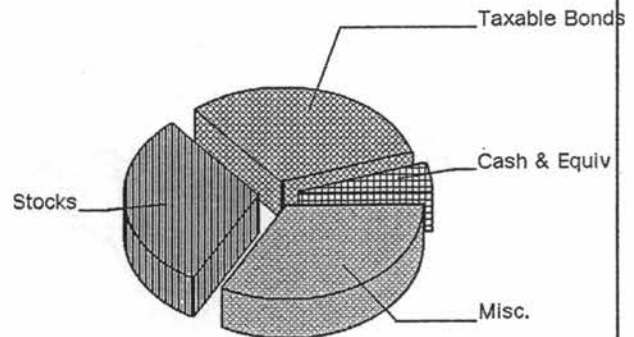
3



This statement is for the period from
December 1, 2011 to December 31, 2011

ASSET SUMMARY AS OF 12/31/11

Assets	Current Period Market Value	% of Total	Est Annual Income
Cash & Equivalents	1,248,046.38	1.70	3,120.12
Taxable Bonds	24,057,556.60	32.30	992,234.94
Stocks	23,856,657.80	32.00	579,461.47
Miscellaneous	25,406,135.57	34.00	.00
Total Market Value	\$74,568,396.35	100.00	\$1,574,816.53



YOUR INVESTMENT OBJECTIVE IS CONSERV
BAL/NONTAXABLE-2

MARKET VALUE SUMMARY

	Current Period 12/01/11 to 12/31/11	Year-to-Date 01/01/11 to 12/31/11
Beginning Market Value	\$74,691,916.21	\$21,160,516.65
Taxable Interest	50,613.97	740,863.55
Taxable Dividends	232,870.82	558,221.09
Other Income	75,094.00	75,094.00
Fees and Expenses	- 30,089.22	- 244,383.18
Cash Receipts	215,645.90	59,853,063.11
Cash Disbursements		- 7,884,718.04
Capital Gain Distributions	111,368.13	111,368.13
Long Term Gains/Losses	47,954.01	20,520.06
Short Term Gains/Losses	41,422.42	17,980.14
Other Gains/Losses	- 111,368.13	- 111,368.13
Cost Adjustments	- 75,094.00	- 75,094.00
Change in Investment Value	- 681,937.76	- 11,278,667.03
Assets Received		11,625,000.00
Ending Market Value	\$74,568,396.35	\$74,568,396.35

Current Residuary Assets on Hand (as of December 31, 2011)

Cash and Short Term¹

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 5,690,066.99
James H. Binger Revocable Trust - Income Account [REDACTED]	7,232,432.16
Estate of James H. Binger [REDACTED]	15,214,829.46
Estate of James H. Binger - Income Account [REDACTED]	449,342.08
Total Cash and Short Term:	\$ 28,586,670.69

Tartan I LP (as of 12/31/2011)

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	90,832.96	43.4%	39,421.50	
Tartan I LP - ScotchGard	89,929.55	33.3%	29,946.54	
Tartan I LP - Post It	77,104.91	19.8%	15,266.77	
Total:	257,867.42		84,634.82	\$ 84,634.82 (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	
Venture Capital	1,184,802.00	
Eridon	60,000	
Loring Pasta Bar	66,576	
Myfitlife Inc.	275,000	
Project Apple	-	
Raymedica Inc.	535	
Total:	2,033,914.00	\$ 2,033,914.00

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA:

\$ 30,705,219.51

Note: Distributions to date total \$90.52MM (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. Additionally, venture capital distributions were made of \$1.34MM on 7/11/2011 and of \$3.88MM on 7/14/2011.)

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

¹Cash and Short Term Values as of 12.30.11

Nancy Gilberg

From: Thomas Crosby [tcrosby@tcrosbylaw.com]
Sent: Tuesday, January 31, 2012 12:01 PM
To: 'Quinn, Peggy A.'; 'Tyson, Anita M'
Cc: 'Baker, David'; 'Garber, Adam'; 'penny'; ngilberg@robinafoundation.org
Subject: RE: Binger Status [IWOV-DM_US.FID936102]

Thanks for the report – March 15th will be here sooner than we think.

From: Quinn, Peggy A. [mailto:pquinn@mwe.com]
Sent: Tuesday, January 31, 2012 11:54 AM
To: Thomas Crosby; 'Tyson, Anita M'
Cc: Baker, David; Garber, Adam
Subject: FW: Binger Status [IWOV-DM_US.FID936102]

Anita and Tom,

I am happy to report that Dave Zoss has relayed his management's approval of the settlement described in my email below. We will spend the next several weeks exchanging more computations and other documents. We are aiming for a March 15 completion date, but that may fluctuate depending on the IRS. Dave Zoss has cases on the trial calendar in February, so will be focused on that for awhile. In the meantime, we will work on computations here.

Please let me know if you have any questions.

Peggy

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

From: Quinn, Peggy A.
Sent: Wednesday, December 14, 2011 1:07 PM
To: 'Thomas Crosby'; 'Tyson, Anita M'
Subject: Binger Status [IWOV-DM_US.FID936102]

Anita and Tom,

I have been exchanging spreadsheets with the IRS in an attempt to get to a final settlement resolution. Dave Zoss continues to bring up new issues on each call. He now has all of the additional computations he requested over the course of the last week or so. I have asked him for a time estimate on achieving finality with his management. I will let you know his response. In the meantime, we filed a status report with the Tax Court on Monday indicating that we had reached a tentative settlement subject to IRS management approval. If approved, the tentative settlement would give Robina total payments of \$12,577,323.81, which is better than the threshold approved by Robina.

Peggy

Peggy A. Quinn
McDermott Will & Emery LLP



ROBINA FOUNDATION

Quarterly Financial Report December 31, 2011

Prepared by:

Michael Sullivan

Nicole Klein

Mission Statement

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

Abbott Northwestern Hospital, Minneapolis, MN; The Council on Foreign Relations, New York, NY;
University of Minnesota Law School, Minneapolis, MN; and Yale University, New Haven, CT.

(<http://www.robinafoundation.org/index.php>)

The Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402
Phone: 612-333-2313
Fax: 612-333-0182

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\$345,000 - Apple
Exxon

33% common stock

Bonds

12st 6 mos. - 3.9%

1 yr - 3.69%

S&P 500 - flat

EXECUTIVE SUMMARY

Quarter 4, 2011

The report includes:

- Detail of USBANK's market portfolio
- Graphic representations of sources of capital and asset allocation
- Changes in these during the recent quarter
- Detailed spreadsheets of sources of capital and asset allocation
- Current and targeted portfolio allocations, and
- My observations.

Observations:

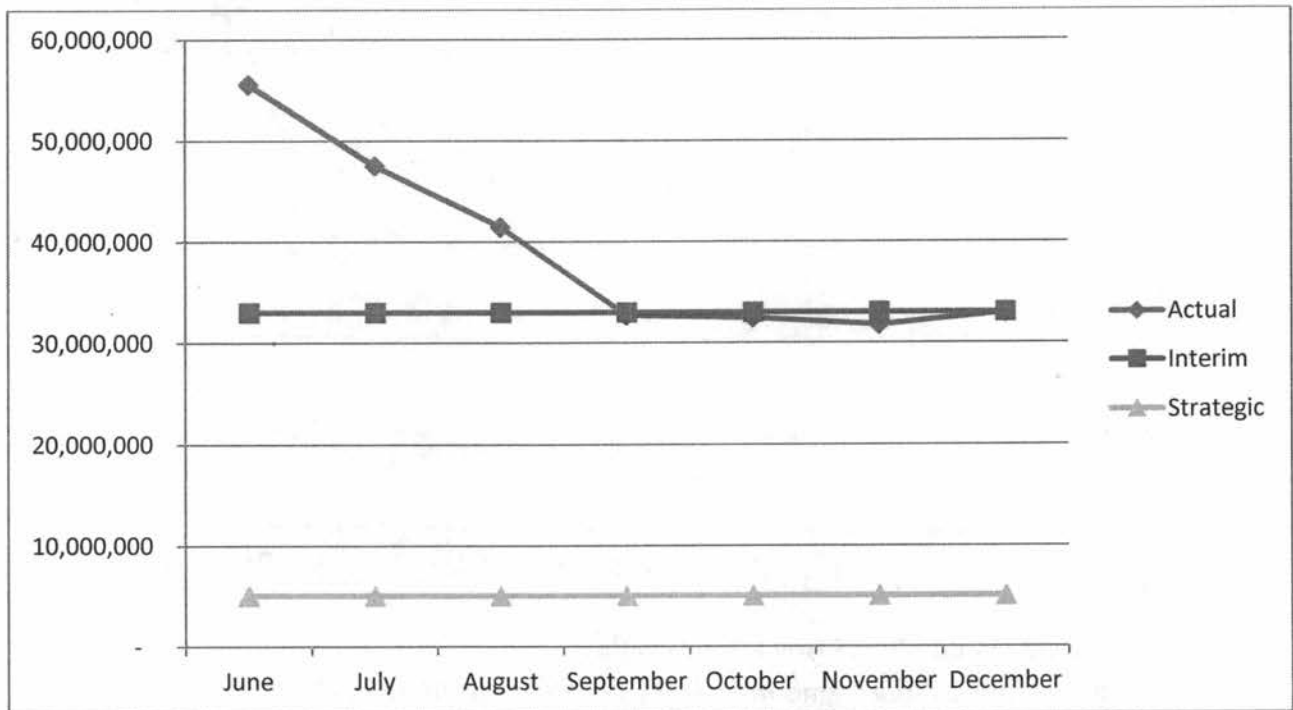
- Cash is still high at \$32.9M vs. strategic target of \$5.0M due to JP Morgan retainage and pending IRS refund. This is acceptable until a decision is made on the timing of the Yale Grant. This excess cash should be considered as substitute for US Government Bonds.
- There are no investments in US Government Bonds verses a strategic target of \$54.2M. The historic low returns will likely continue for two more years per the Fed FOMC announcement in January 2012. However, as a limited term foundation we need to invest in the safety of US Governments.
- The Market Portfolio is high at \$75.4M verses the strategic target of \$60.8M. This investment includes \$19.7M in Corporate Bonds, mostly as a substitute for US Government Bonds; the returns are higher, but the risk is greater (remember AIG, GM which were rated AAA before default three years ago).
- Once a determination on the timing of the Yale Grant is finalized, we will need to identify sources of funds and adjust the portfolio.
- Finally, we need to communicate an estimated cash flow budget for 2012 to US Bank.

EXECUTIVE FINANCIAL SUMMARY

	June 30, 2011	September 30, 2011	December 31, 2011
Cash	\$55,531,673	\$32,693,488	\$32,942,729
US Gov't Bonds	0	0	0
Market Portfolio	63,179,584	80,791,223	75,438,899
→ Corp Bonds		19,339,807	19,719,039
Equity		39,889,730	33,512,561
Other		22,501,686	22,207,299
IRS Refund	9,320,288	11,662,189	12,445,745
Total	\$128,031,545	\$125,146,891	\$120,827,373

SOURCES OF ASSETS

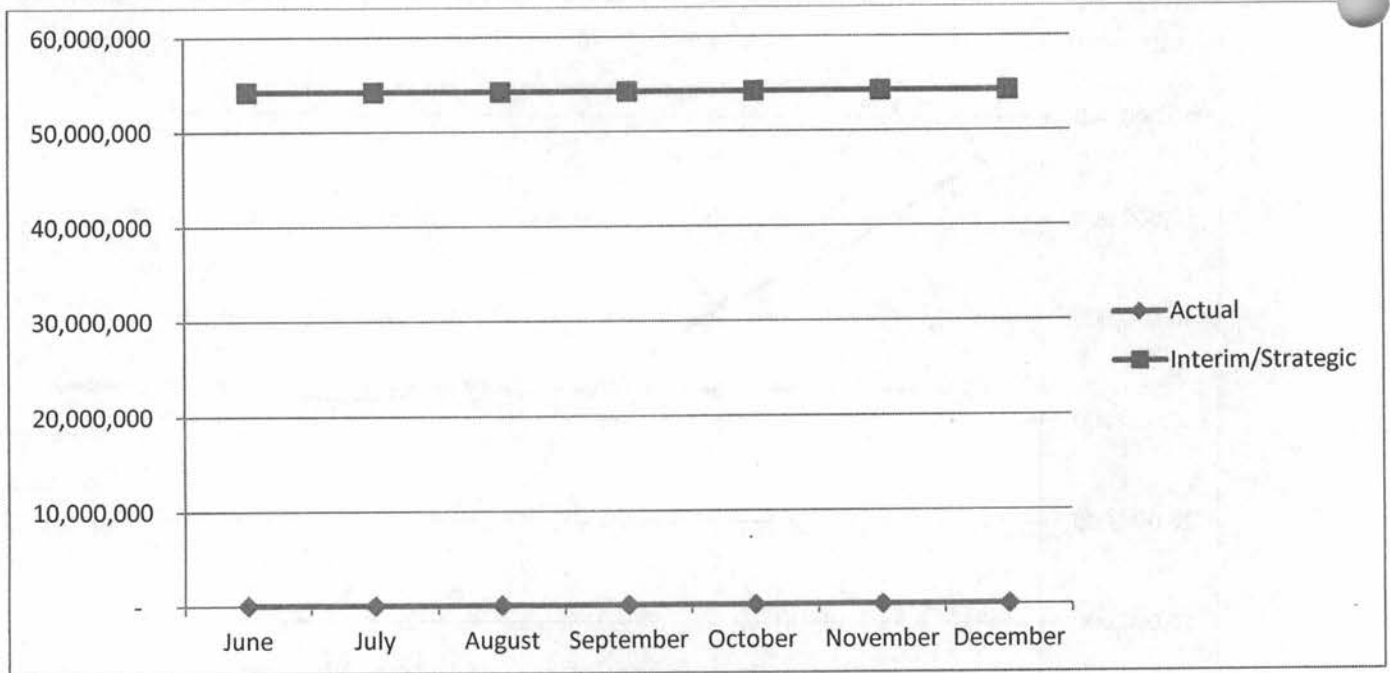
FIGURE 1: TOTAL CASH



- Accounts in Cash: JHB Cash/MM, JHB Income Cash/MM, JHB Revocable Trust, JHB Income Account, US Bank Cash/MM, US Bank Checking
- Interim amount is JHB accounts, checking accounts, rounded \$33M
- Strategic amount is six months in cash or \$5M

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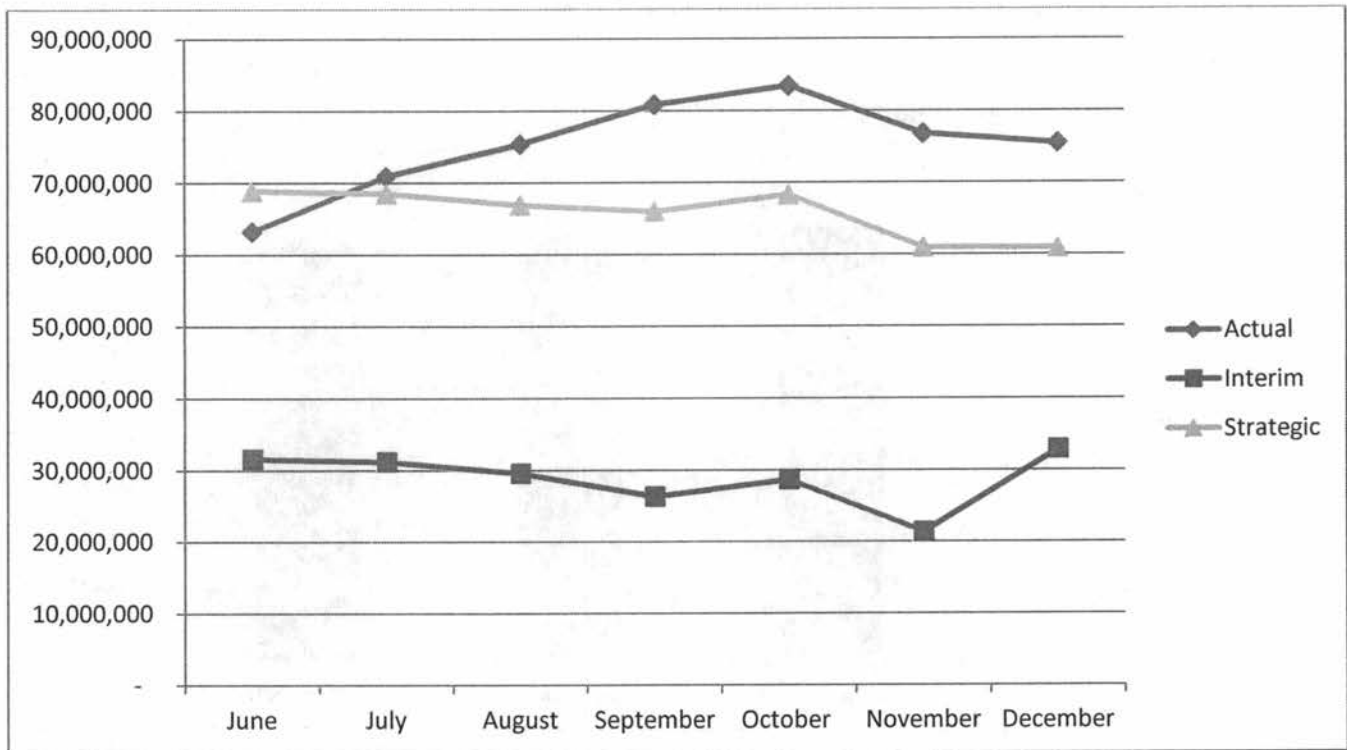
FIGURE 2: TOTAL US GOV'T BONDS



- Accounts in Bonds: US Gov't Bonds Only
- Interim and strategic amount is five years of grants or \$54.2M

Continued on next page...

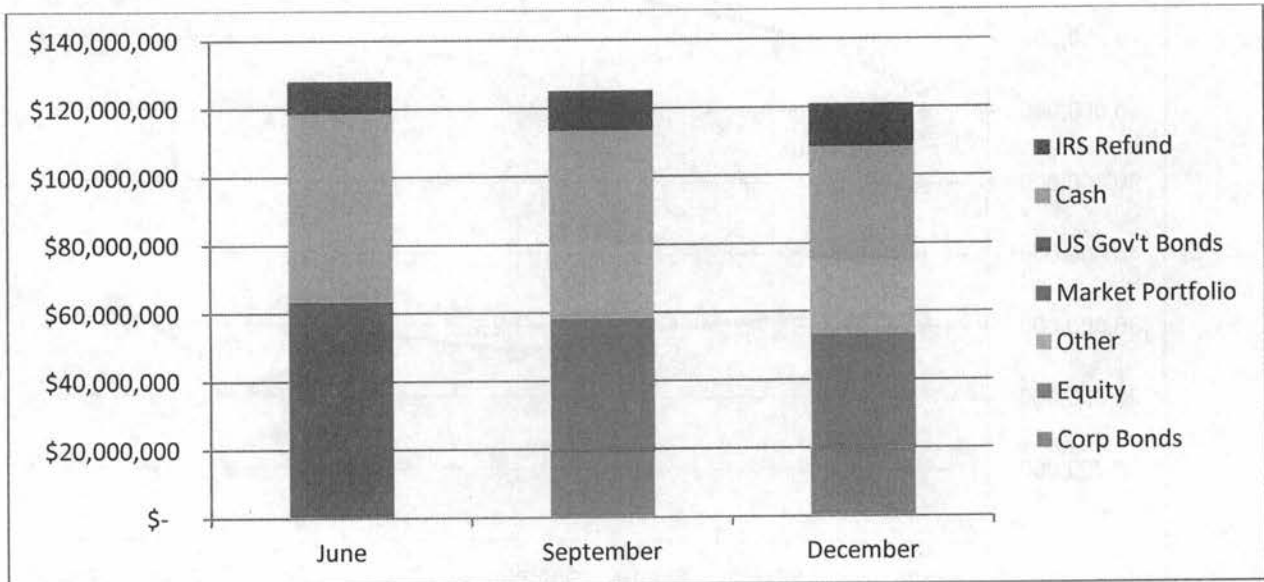
FIGURE 3: TOTAL MARKET PORTFOLIO



- Accounts in Market Portfolio: All other accounts
- Interim target is remaining amount
- Strategic target is remaining amount

STACKED BAR CHART

FIGURE 4: TOTAL SOURCES



SOURCES OF CAPITAL

	6/30/2011	9/30/2011	12/31/2011
JP Morgan			
JHB Cash/MM	\$ 15,355,849	\$ 15,293,671	\$ 15,214,829
JHB-Income Cash/MM	\$ 449,126	\$ 449,127	\$ 449,593
Total	\$ 15,804,975	\$ 15,742,798	\$ 15,664,422
Revocable Trust			
JHB Revocable Trust	\$ 5,365,466	\$ 5,526,532	\$ 5,690,067
JHB Income Account	\$ 7,228,877	\$ 7,230,756	\$ 7,232,432
Tartan I LP	\$ 95,872	\$ 84,654	\$ 84,635
Total	\$ 12,690,215	\$ 12,841,942	\$ 13,007,134
Other Securities			
Venture Capital	\$ 6,398,908	\$ 1,184,802	\$ 1,184,802
All Other Securities	\$ 849,112	\$ 849,112	\$ 849,112
Total	\$ 7,248,020	\$ 2,033,914	\$ 2,033,914
Total Estate of JHB	\$ 35,743,210	\$ 30,618,654	\$ 30,705,470

Continued on next page...

	6/30/2011	9/30/2011	12/31/2011
US Bank			
Total Cash/MM	\$ 23,232,807	\$ 951,124	\$ 1,248,046
US Gov't Bonds	\$ -	\$ -	\$ -
Corporate Issues	\$ 16,395,050	\$ 15,334,835	\$ 15,563,407
Ontario Province	\$ 162,468	\$ 162,305	\$ 161,181
Bp Capital Plc	\$ 737,205	\$ 742,154	\$ 747,467
Total Capital Sa	\$ 521,770	\$ 530,805	\$ 529,510
NuVeen Heigh Income Bond Fd Cl I	\$ 2,192,376	\$ 2,629,708	\$ 2,717,474
Total non- Gov't	\$ 20,008,869	\$ 19,399,807	\$ 19,719,039
Barclays Bank Plc	\$ 526,805	\$ 512,515	\$ 510,805
Ontario Province	\$ 226,883	\$ 225,717	\$ 223,761
T Rowe Price Intl Bond Fund	\$ 1,545,333	\$ 1,972,496	\$ 1,921,211
Total High Yield	\$ 2,299,021	\$ 2,710,728	\$ 2,655,777
Gam Absolute Return Bond Fund	\$ 3,109,083	\$ 3,087,532	\$ 3,056,933
Gca Credit Opportunities Offshore	\$ 3,893,014	\$ 3,881,166	\$ 3,920,421
Marathon Credit Opportunity Fund Ltd	\$ 3,079,995	\$ 2,929,891	\$ 2,808,318
Total Hedge	\$ 10,082,092	\$ 9,898,589	\$ 9,785,672
Total Bonds	\$ 32,389,982	\$ 32,009,124	\$ 32,160,488
Stock Funds	\$ 15,343,713	\$ 22,251,641	\$ 23,856,658
Common Sense Offshore Ltd	\$ 2,011,295	\$ 2,064,466	\$ 2,105,161
Flag Private Equity LP	\$ 3,000,000	\$ 2,500,000	\$ 1,195,695
Flag Venture Partners III LP	\$ -	\$ 5,000,000	\$ 1,009,145
Flag Venture Partners IV LP	\$ -	\$ 2,125,000	\$ 1,244,759
Pfingsten Partners III LP	\$ -	\$ 2,000,000	\$ 1,174,952
Pointer Offshore Ltd	\$ -	\$ 2,948,623	\$ 2,926,191
Total Hedge Equities	\$ 5,011,295	\$ 11,625,000	\$ 9,655,903
Total Equities	\$ 20,355,008	\$ 38,889,730	\$ 33,512,561

Continued on next page...

	6/30/2011	9/30/2011	12/31/2011
IDR Core Equity Re Strategy 2010	\$ 1,327,867	\$ 4,798,615	\$ 5,964,561
Total Real Estate	\$ 1,327,867	\$ 4,798,615	\$ 5,964,561
Baclays Bank Plc	\$ -	\$ 665,700	\$ -
Barclays Bank Plc	\$ 726,000	\$ 674,475	\$ -
Inv Balance Risk Comm Str Y	\$ 532,212	\$ 826,076	\$ 859,052
Oppenheimer Com Str Tr Fd Y	\$ 504,623	\$ 808,935	\$ 823,688
Total Commodities Funds	\$ 1,762,835	\$ 2,975,186	\$ 1,682,740
Total Commodities	\$ 1,762,835	\$ 2,975,186	\$ 1,682,740
US Bank Total	\$ 79,068,499	\$ 79,623,779	\$ 74,568,396
US Bank Checking	\$ 3,899,548	\$ 3,242,278	\$ 3,107,762
IRS Refund	\$ 9,320,288	\$ 11,662,180	\$ 12,445,745
Gross Total	\$ 128,031,545	\$ 125,146,891	\$ 120,827,373

ASSET ALLOCATION REPORT: DECEMBER

	12/31/2011	Actual %	Interim \$	Int %	Strategic \$	Strat %
Cash						
JHB Cash/MM	15,214,829					
JHB-Income Cash/MM	449,593					
JHB Revocable Trust	5,690,067					
JHB Income Account	7,232,432					
US Bank Cash/MM	1,248,046					
US Bank Checking	3,107,762					
Total Cash	\$ 32,942,729	27%	\$ 33,000,000	27%	\$ 5,000,000	4%
US Gov't Bonds	\$0	0%	\$ 54,200,000	45%	\$ 54,200,000	45%
Market Portfolio						
Corp Bonds	19,719,039					
Equity (US & non-US)	33,512,561					
Other	22,207,299					
Total Market Portfolio	\$ 75,438,899	63%	\$ 21,181,628	27%	\$ 61,627,373	51%
IRS Refund	12,445,745	10%	\$ 12,445,745	10%	\$0	0%
Gross Total	\$ 120,827,373	100%	\$ 120,827,373	100%	\$ 120,827,373	100%

ROBINA FOUNDATION

TO: Board of Directors

FROM: Penny Hunt

RE: Robina Foundation Excise Tax

DATE: February 1, 2012

In December Tom and I talked with CPA Anne Ledwein about Excise Tax the Foundation must pay for 2011. Although the standard rate for the tax is 2% of the Foundation's "net investment income," a reduced rate of 1% is available if the Foundation distributes for charitable purposes a greater percentage of the fair market value of assets in the current year than it has – on average – distributed over the past 5 years.

Anne estimated that the Foundation would need to distribute an additional \$4.7 million in 2011 in order to qualify for the 1% rate in 2011. This would be in addition to \$7,735,604 distributed in 2011. During the past several years, Robina has qualified for the 1% rate.

Although Robina could have accelerated payment of various funding commitments scheduled for 2012 (e.g. to ANWH and/or the University of Minnesota) in order to qualify for the reduced tax rate, Tom and I decided not to make those payments for the following reasons:

- According to Anne, the difference in the two tax rates was only approximately \$8,700.
- Since distributions during the previous five years are considered in calculating the excise tax rate, lower distributions in 2011 will make it easier for Robina to qualify for the 1% tax in 2012 when the Foundation will have higher net investment income subject to the excise tax.
- Acceleration of the payment of commitments may not be appropriate from the perspective of Robina Grantees and could conflict with their planning.

OPERATING EXPENSES				2011 Budget	2011 Actual	2012 Budget
Administration: Contract Services						
	Penny Hunt			\$90,000	97,500.00	\$90,000
	Baker Management (Nancy Gilberg)			30,240	30,195.00	30,240
	Outside Consultants			25,000	18,000.00	15,000
Accounting-Audit Fees				15,000	10,297.50	12,000
Directors' Fees				50,000	145,833.33	150,000
Insurance						
	D&O			4,800	4,800.00	4,800
	Property			506	505.50	506
Investment Management <i>+ US Bank</i>				0	28,750.00	25,000
Legal-Prof Fees				5,000	1,651.80	2,500
Meeting Expense				30,000	37,385.47	40,000
Membership Dues				695	695.00	695
Misc Expense				1,000	2,816.80	3,000
Office						
	Equipment and Furnishings			500	1,569.46	750
	Supplies			600	1,175.49	1,500
	Misc			2,000	495.00	500
Parking and Mileage				2,500	2,331.12	2,500
Postage and Delivery				1,000	1,709.80	2,000
Printing, Web Design and Maintenance				1,000	575.40	750
Professional Development				1,000	0.00	500
Rent				11,372	11,094.20	11,793
Telephone/Internet				2,700	3,070.14	3,100
Excise Tax				30,000	26,791.00	30,000
TOTAL OPERATING EXPENSES				304,913	427,242.01	427,134
<i>US Bank Investment Management Fees</i>						
GRANTS				6,800,854	7,735,604.00	7,670,775
TOTAL OPERATING/GRANTS				7,105,767	8,162,846.01	8,097,909

Admin.
Program

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

Operating Expenses

Administration – Consultants

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

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

External Consultants - \$15,000: grant due diligence, issue research, etc.

Accounting/Audit Fees

\$12,000: CBIZ Accounting.

Directors' Fees

\$150,000: \$25,000 annual fee for directors.

Insurance

Directors and Officers: Annual premium of \$4,800.

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

Investment Management

\$25,000: Mike Sullivan fee.

Meeting Expense (Board and Staff)

\$40,000: Includes travel, accommodations and meals for board meetings, grantee visits, staff meetings with advisors/outside consultants.

Membership Dues

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

Miscellaneous

\$3,000: Certificate of Incorporation annual fee (\$25), holiday gifts, compensation and bonus adjustments, etc.

Office Expense

Equipment and Furnishings: \$750.

Misc: \$500; Computer and technology consulting/maintenance/repair.

Supplies: \$1,500.

Parking and Mileage

\$2,500: Staff parking.

Rent

\$11,783: \$981.92/monthly lease.

Taxes

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

Telephone/Internet

\$3,100: Approximately \$250/monthly.

Grants

\$7,670,775: Grant payments scheduled for 2011. Additional grants may be made if approved by the Board.

*Six-month report
Feb 2012*

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January 24, 2011

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

Dear Penny,

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

In 2011, tumultuous events in the Middle East and Africa led to new demands on the international community to protect civilians, support democratic transitions, and adapt institutions as the world evolves. Over the past six months, the IIGG program has been deeply engaged with U.S. and international officials in assessing the UN-mandated intervention in Libya, the Group of Eight's efforts to support nations after the Arab spring, as well as the Palestinian bid for membership in the United Nations, and its successful entry into UNESCO. IIGG also released its in-depth assessment of the U.S.-led "War on Terror" on the tenth anniversary of the September 11 attacks, which received widespread accolades. Our planned activities—including the inaugural "Council of Councils" meeting, workshops to explore prospects for regional organizations, and a "Report Card" to evaluate the international community's response to global challenges—will continue to drive creative ideas that can break through bottlenecks in international cooperation.

The Council on Foreign Relations remains grateful for the trust the Robina Foundation has placed in the IIGG program with its generous grant, and is especially appreciative of the renewed grant.

Warm regards and best wishes,

Stewart Patrick

Stewart Patrick
Director and Senior Fellow
spatrick@cfr.org

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

A Program of the Council on Foreign Relations

UPDATE: July 1, 2011–December 31, 2011

Over the last six months, the IIGG program has continued to be the leading resource for U.S. and foreign policymakers seeking solutions to transnational problems. Influential leaders from the U.S. Department of State, United Nations, and Obama administration have turned to IIGG for expertise to effectively harness the power of multilateral institutions to manage international challenges. The IIGG program has also continued its robust series of meetings, publications, and multimedia products designed to enrich the public understanding of the shortcomings and potential of global governance. For a full list of IIGG activities from July 1, 2011, to December 31, 2011, please refer to the attached annex.

During the reporting period, several prominent policymakers approached the IIGG program for help in designing strategies for a range of challenges. At the request of Esther Brimmer, the assistant secretary of the Bureau of International Organization Affairs at the U.S. Department of State, IIGG hosted an intimate meeting of experts on the United Nations and the U.S. Congress, as well as high-level members of the NGO community, to discuss U.S. policy options after Palestine joined UNESCO, an action that forced the United States to cut funding for the organization. The meeting was initiated after Assistant Secretary Brimmer read one of IIGG Director Stewart Patrick's posts, "Palestine and UNESCO: We've Only Just Begun," on his CFR.org blog, *The Internationalist*. Many posts of *The Internationalist* are reposted on both CNN.com and *The Atlantic* online. Soon after the workshop the director general of UNESCO, Irina Bokova, asked IIGG to hold a meeting to discuss the best path forward for the UN agency. The subsequent event gathered U.S. and international policymakers and experts, including CFR Fellow for Middle East Studies Elliot Abrams. *

The IIGG program held additional roundtable events that featured influential leaders on important topics. Samantha Power, senior director and special assistant for multilateral affairs and human rights on the National Security Staff, spoke at an IIGG roundtable, "Taking Stock of the 2011 United Nations General Assembly." Also on the topic of the 2011 General Assembly meeting, Patrick's op-ed for CNN.com about U.S. strategy at the United Nations, "Obama Confronts a Noisy United Nations General Assembly," received 65,000 views in the first day alone. Michelle Bachelet, former president of Chile and executive director of UN Women, also spoke at an IIGG roundtable, "Why Women Matter in Peacebuilding," which assessed the prospects for better integrating women into post-conflict institutions. CNN.org

During the reporting period, Patrick continued to present the findings of his book *Weak Links: Fragile States, Global Threats, and International Security*, to audiences across the United States. Patrick toured California, Texas, and Washington State delivering over ten distinct presentations on the book. G. John Ikenberry, a prominent international relations expert and professor at Princeton University, called the *Weak Links* "superb:" in a highly favorable review in *Foreign Affairs*.

According to conversations with officials, *Weak Links* has gained the attention of officials in the U.S. Department of State, Department of Defense, and National Security Council Staff. Patrick continues to receive requests for private briefings on the book's implications from important decision-makers like the senior

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director of the National Security Council, Gayle Smith, and the assistant secretary for conflict and stabilization operations and coordinator for reconstruction and stabilization at the U.S. Department of State, Frederick Barton. Colleagues at the U.S. Naval War College, U.S. Army Command, and General Staff College have also indicated in private conversations that the book's findings have been discussed as an important contribution to ongoing debates about the future policies, strategies, and focus of the U.S. military.

Since our last update, the IIGG program released another installment of its awarding-winning multimedia interactive, the Global Governance Monitor. The new installment on terrorism debuted on the tenth anniversary of the September 11 terrorist attacks. The package assessed the unprecedented multilateral cooperation to combat terrorism over the last decade, and provided policymakers with vital suggestions to improve the global effort. Its conclusion that "counterterrorism efforts worldwide are still insufficient and uncoordinated" was included in the Congressional Quarterly review of homeland security, as well as the States News Service update and Lawfare homeland security newsletter. The terrorism Global Governance Monitor video was showcased at the CFR Symposium on 9/11: Ten Years Later, which gathered hundreds of prominent policy experts, including the keynote speaker Philip Zelikow, author of the 9/11 Commission Report and professor of history at University of Virginia. IIGG also released timely annual updates of its Global Governance Monitor components on public health, global finance, and climate change in anticipation of major events on the calendar such as the UN international climate conference in Durban and the Group of Twenty Summit. As a result of these new launches and a more aggressive promotional campaign, the Global Governance Monitor has received more than 40,000 page views in the reporting period—twice the amount during the same period last year. In total, the GGM has attracted 147,000 page views since its launch in 2009. check

The IIGG program expanded the Policy Innovation Memorandum series with the release of A Code of Conduct for Outer Space by Micah Zenko, CFR fellow for conflict prevention, in November 2011. The memo prompted numerous interview requests and was circulated through the U.S. Department of State and Department of Defense policy offices. 1

The IIGG program also kicked off two new initiatives in the last half of 2011. The "Rising Regionalism" workshop series is the next step to complement the "Emerging Powers and International Institutions Meeting Series," which held its final session in May 2011. The first two sessions, "The Future of U.S.-Pakistan Relations in an Asian Context" and "Peacebuilding in Africa: Regional and International Efforts," served to analyze regional cooperation in ~~the~~ South Asia and Africa as local nations evolve and increasingly take on international and regional responsibilities. IIGG launched this new meeting series in July 2011 to explore the increasing cooperation with and competition between global institutions as well as the proliferation of regional organizations. The performance of those institutions and arrangements varies hugely across regions and issue areas, but few experts in this area have analyzed the risks and opportunities of these trends—and how the United States can and should respond to them. The series will expand this approach to other regions in 2012, including the Middle East and Southeast Asia and/or Latin America.

* ② The second new initiative, the IIGG Video Series The Internationalist began in fall 2011 with the filming of a pilot that that was released January 2012. This weekly video series, featuring IIGG Director Stewart M. Patrick, provides brief but in-depth discussions and analysis about emerging trends and ideas in the field of global governance, and will also serve as a platform to discuss how current events are changing the direction

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of—and challenges to—international cooperation. The initiative aims to harness the power of new media and maximize IIGG's impact as more and more people get their news and analysis from video.

Finally, the IIGG program engaged in a small number of mid-course corrections of planned activities. Suzanne Nossel, former Deputy Assistant Secretary at the Bureau for International Organizational Affairs at the U.S. State Department, and now Executive Director at Amnesty International, joined ~~the~~ CFR during fall 2011 to assess the effectiveness of the UN Human Rights Council. A roundtable meeting on this topic is expected to take place winter 2012. The Middle East regionalism meeting, under the direction of CFR Senior Fellow Steven Cook, was pushed back to the first half of 2012 in light of the continued unrest in the region. Release of the Global Governance Scorecard—which will now be called the Global Governance Report Card—has been moved to summer 2012 as the IIGG team continues to refine its methodology to assess the international community's performance and effectiveness at addressing global challenges through multilateral organizations.

From these multiple and exciting efforts, IIGG has produced several findings pertinent to global governance and multilateral cooperation, including:

- + *The effort to integrate emerging powers into international institutions as responsible stakeholders will be more difficult to realize than many in the United States had originally hoped. This realization was most clearly observed in last year's UN Security Council (UNSC), which included several leading aspirants to permanent UNSC membership, including India, Brazil, and South Africa, as well as Germany. On issues like Iran, intervention in Libya, and the deteriorating situation in Syria, these aspirants often appeared reluctant to employ the coercive instruments of the UNSC in a way that the United States regarded as essential to advance international peace and security.*
- + *The Group of Twenty (G20) continues to struggle in its effort to shift from an emergency crisis committee to a more enduring steering group for the global economy. As the initial global financial crisis has faded, the G20 has been marked by increasing fissures among its large, diverse, and sometimes unwieldy membership. The G20 continues to debate whether to establish a more robust institutional identity and how broadly to expand its agenda beyond macroeconomic issues. Its remaining challenges include addressing persistent global imbalances, bolstering financial regulation, and providing the IMF with greater surveillance over member state commitments.*
 - *The Durban climate change conference in late 2011 reinforced the difficulties of reaching breakthrough agreements on complex global issues in large gatherings involving all 193 UN member states. Though the gathering held out the promise of a future extension of the Kyoto Protocol, it reinforced the growing sentiment that progress on mitigating and adapting to global warming will occur piecemeal through the parallel efforts of sovereign national governments.*
 - *Global counterterrorism efforts are still insufficient and uncoordinated, though the fight against terrorism has inspired unprecedented multilateral cooperation. Nations must forge a universal definition of what constitutes terrorism to build a transnational counterterror effort commensurate with the challenge. In addition, a demonstrated lack of will and capacity means that multilateral treaties and instruments are inadequately implemented today, requiring the world to devote more resources to capacity building and monitoring. Finally, counterradicalization and deradicalization initiatives have not progressed sufficiently, particularly in states with limited resources and expertise.*

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- * *Growing partisan differences exist in the United States over the value of multilateral cooperation*, and notably of the UN. The Republican presidential nomination contest, as well as a newly assertive House Republican leadership, has repeatedly declared its skepticism of the UN's performance and utility, in stark contrast to the Obama administration, which continues to regard multilateral institutions as an important force multiplier for U.S. foreign policy aims. Partisan divisions continue to exist over the dangers that globalization and international institutions pose to U.S. sovereignty.
- * Despite U.S. partisan divisions, public support for multilateral cooperation remains fairly robust, with the majority of Americans concluding that international institutions allow the United States to share the burdens of global leadership and avoid serving as the world's sole "policeman." Americans do show some anxiety about the impact of globalization on domestic jobs, but remain fairly hopeful that trade liberalization—with safeguards—can advance U.S. prosperity. As a group, they are also far less skeptical than political elites on the reality and potential costs of global warming.

A complete list of Robina-supported completed and future activities and projects for FY12 can be found in the annexes of this report.

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UPDATE: July 1, 2011–December 31, 2011

ANNEX OF COMPLETED AND ANTICIPATED ACTIVITIES: FY12

Over the last six months, the International Institutions and Global Governance (IIGG) program has undertaken the following:

- The IIGG program completed the following work on the Global Governance Monitor:
 - Published the Global Governance Monitor: Terrorism ahead of the tenth anniversary of the September 11 attacks (September 2011).
 - Updated the Global Governance Monitor: Global Health ahead of the UN High Level Meeting on Noncommunicable Diseases (September 2011).
 - Updated the Global Governance Monitor: Finance ahead of the annual Group of Twenty Summit (October 2011).
 - Updated the Global Governance Monitor: Climate Change ahead of the UN Framework Convention on Climate Change's seventeenth Conference of Parties held in Durban, South Africa (November 2011). Relaunched in January 2012 with post-Durban analysis and recent developments.
 - Launched a new enhanced online advertisement campaign, making use of the innovative Google Adwords space to complement the existing Facebook advertisements.
- The IIGG program produced the following publications by Stewart Patrick, director of IIGG:
 - "How Does the Debt Debate Affect Foreign Aid?" CFR.org interview (July 26, 2011).
 - "The Brutal Truth," *Foreign Policy* (July/August 2011). (At the request of *Foreign Policy* editor, Blake Hounshell, Patrick wrote this article as the framing piece for the *Foreign Policy* 2011 Failed States Index.)
 - "Obama's Dual Dilemmas at the United Nations," CFR.org expert brief (September 20, 2011).
 - "Obama Confronts a Noisy United Nations General Assembly," *CNN.com* op-ed (September 20, 2011). Received 65,000 views in the first day.
 - "Six Criteria for G20 Success in Cannes," CFR.org expert brief (November 2, 2011).
- Patrick has also shared insight on five video or radio interviews with CFR.org:
 - "Why Pakistan is a Terrorist Attraction," CFR.org video interview (July 13, 2011).
 - "9/11 Perspectives: Pursuing a Global Response to Terrorism," CFR.org video (August 18, 2011).
 - Patrick participated as a substitute host three times on CFR.org's weekly podcast, "The World Next Week" (July 21, 2011, August 17, 2011, and September 1, 2011).
- The IIGG program launched the tenth CFR Policy Innovation Memo, *A Code of Conduct for Outer Space*, by Micah Zenko, fellow for conflict prevention (November 2011).

of
Participants

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- The IIGG program published an IIGG Working Paper, *The African Union's Conflict Management Capabilities*, by Paul D. Williams, associate professor of international affairs and associate director of the Security Policy Studies Program at George Washington University (October 2011).
 - Patrick featured the paper on his [blog](#), "The Internationalist," and the CFR marketing team sent the report to a list of almost 1,500 experts and government officials, targeting journalists who specialize on Africa, the United Nations, the State Department, and the White House. In addition, the paper was posted to Facebook and Twitter as well as included in "The World This Week," which is sent to 50,000 people. Finally, it was also included in CFR's monthly member newsletter, the *Chronicle*.
- * The IIGG program updated the [IIGG web page](#) for enhanced usability and to spotlight major projects.
- The IIGG program published four updated chapters of the "Public Opinion on Global Issues: digests of international and U.S. Attitudes on World Order, the Environment, the Global Economy, and Human Rights." Patrick blogged about important findings of each updated chapter. Patrick's blog post on public opinion on human rights, "Surprising International Human Rights Consensus," was also reposted on the *Atlantic* online (December 8, 2011).
- IIGG director Stewart Patrick's blog, "The Internationalist," continues to have a significant impact. It has been viewed almost 5,000 times since July 2011, as well as reposted seventeen times on the *Atlantic* online and seven times on *CNN.com*.
- IIGG director Stewart Patrick also continues to tour the United States and present the findings of his most recent book, *Weak Links: Fragile States, Global Threats, and International Security*:
 - Patrick presented *Weak Links* in Washington, DC, to an undergraduate class from Davidson College at the request of professor Ken Menkhaus, noted expert on state failure (July 5, 2011).
 - Patrick lectured on *Weak Links* to Jim Goldgeir's graduate class at George Washington University (July 12, 2011).
 - Patrick spoke about *Weak Links* at a New York CFR event organized by the Corporate Program for Summer Associates (July 19, 2011). Approximately forty people attended, and several contacted the CFR Corporate program to offer extremely positive feedback.
 - Patrick delivered a lecture to Santa Fe Council on International Relations titled "Fragile States and Global Threats" (October 1, 2011).
 - Patrick spoke at the George Washington University Elliott School to a visiting group of prominent Russian academics on "U.S. and International Policy toward Fragile States," based on *Weak Links* (November 1, 2011).
 - Patrick presented *Weak Links* to a meeting of the Colorado Foothills World Affairs Council in Golden, Colorado, with over one hundred people in attendance (November 15, 2011).
 - Patrick delivered a lecture based on *Weak Links*, "Failed and Failing States: Do They Matter?" to the World Affairs Council of Colorado Springs, with over 150 people in attendance (November 16, 2011).
 - Patrick spoke to the Denver World Affairs Council, with more than one hundred people in attendance, on "Failed and Failing States: Do They Matter?" (November 16, 2011).

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- Patrick spoke to the Nashville Committee on Foreign Relations at an event, "Weak Links: Fragile States, Global Threats and International Security" (November 17, 2011).
 - Patrick presented *Weak Links* at a CFR-RAND Corporation Luncheon in Santa Monica, "Conventional Wisdom? Challenging the Premises of International Security Initiatives" (November 28, 2011).
 - The event included members of RAND's Policy Circle donors as well as CFR members, including former United States Trade Representative Mickey Kantor.
 - Patrick presented *Weak Links* at a Claremont-McKenna College (CMC) talk and dinner titled, "Weak Links: Fragile States, Global Threats, and International Security" (November 29, 2011).
 - Patrick also met with CMC President and CFR Board Director Pamela Gann to discuss *Weak Links*.
 - Patrick presented *Weak Links* in a taped interview program hosted by Harry Kreisler, executive director of the Institute of International Studies at University of California-Berkeley, titled, "Conversations with History" (November 29, 2011).
 - The program will be distributed on cable and archived on YouTube.
 - Patrick presented *Weak Links* at a University of California-Berkeley student seminar, "Weak Links: Fragile States, Global Threats, and International Security" (November 29, 2011).
 - Patrick presented *Weak Links* at a World Affairs Council of Northern California Education Program student briefing (November 29, 2011).
 - Patrick presented *Weak Links* at a CFR-World Affairs Council of Northern California public meeting, "Fragile States and Implications for International Security" (November 29, 2011).
 - The event was chaired by president and chief executive officer Jane Wales and will be broadcast on approximately twenty-five National Public Radio affiliates.
 - Patrick presented *Weak Links* at a CFR-World Affairs Council of Northern California private dinner for CFR National members, "Fragile States and Implications for International Security" (November 29, 2011).
 - Patrick presented *Weak Links* at the CFR Seattle National Program Roundtable, "Failed States and Terrorism" (November 30, 2011).
 - The event was chaired by Pamela Passman, president and chief executive officer of Center for Responsible Enterprise and Trade.
 - Patrick presented *Weak Links* at a Town Hall Seattle National Program, "Failing States and Security Threats" (December 1, 2011).
 - The event was chaired by Wier Harman, executive director of Town Hall.
 - Patrick presented *Weak Links* at a Dallas Committee on Foreign Relations/CFR National Program Roundtable, "Failed States and Terrorism" (December 5, 2011).
 - Patrick presented *Weak Links* at a CFR-Houston Committee on Foreign Relations Meeting, "Failed States and Terrorism" (December 6, 2011).
- [- IIGG Director Stewart Patrick has also engaged with the following officials and prominent leaders:
- Patrick met with Matt Burrows, counselor of the National Intelligence Council, and Alvaro de Vasconcelos, director of the European Union Institute for Security Studies (Paris), to discuss potential collaboration. Alvaro invited Stewart to become a member of his Global Governance

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Research Group—a loose network of experts and officials in several established and emerging countries (July 13, 2011).

- Patrick served as an advisory board member at a Boston event organized by Vanessa Kerry (and cosponsored by Harvard Medical School and NATO) on "Health and Human Security: Foreign Military Engagement in the Civilian Health Sector during State Stability and Reconstruction Initiatives" (September 8, 2011).
- Patrick met with Thierry Montbrial, head of the French think tank Institut Francais des Relations Internationales (IFRI), to discuss the 2011 World Policy Conference (October 26, 2011).
- Patrick met with Alvaro de Vasconcelos, director of the European Union Institute for Strategic Studies (EUISS) and Matt Burrows, counselor to the National Intelligence Council, to discuss continued collaboration as a follow up to the EUISS/NIC report *Global Governance 2025*, including the possibility of an IIGG-sponsored meeting or workshop on that general topic in New York in 2012 (October 27, 2011).
- Patrick met with Marie Okabe, acting director of the UN Information Center, in Washington, DC, to discuss CFR's work on UN issues (October 27, 2011).
- Claremont McKenna College President and CFR Board Director Pamela Gann, whom he briefed on the findings of *Weak Links* (November 28, 2011).
- World Affairs Council of Northern California President and CEO Jane Wales, whom he briefed on the findings of *Weak Links* (November 29, 2011).
- Kirsty Hayes, head of the department of international organizations in the UK Foreign and Commonwealth Office, to discuss the UNSC agenda, prospects for UNSC reform, and the Responsibility to Protect (December 8, 2011).
- Thierry Montbrial, head of the French think tank, Institut Francais des Relations Internationales (IFRI), with whom he discussed the current state of global governance and the eurozone crisis (December 10, 2011).
- Brendan Ballou of Google Ideas, whom he briefed on the implications of *Weak Links* for a Google project on the potential role of mobile communications technology in fragile states (November 22, 2011)
- IIGG Director Stewart Patrick also participated in the following activities:
 - Presented on "Global Governance: Its Current State" at the World Policy Conference (December 9-11, 2011).
 - Presented on "China's Shifting External Environment" at an Airlie House Conference, "China's Global Behavior under the Fifth Generation of Leadership," sponsored by the U.S. Department of State and National Intelligence Council (November 9-10, 2011).
 - Presided at a CFR lunch briefing with the Swiss ambassador to the United States, Manuel Sager (October 26, 2011).
 - Stewart served as an advisory board member at a Boston event organized by Vanessa Kerry (and co-sponsored by Harvard Medical School and NATO) on "Health and Human Security: Foreign Military Engagement in the Civilian Health Sector during State Stability and Reconstruction Initiatives." (September 8, 2011).

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- The IIGG program held the following sessions of the IIGG Future of Global Governance Roundtable Series and U.S.-UN Roundtable Series:
 - "Taking Stock of the United Nations High Level Meeting on Noncommunicable Diseases" with Nils Daulaire, director of the office of global affairs at the U.S. Department of Health and Human Services, and Thomas J. Bollyky, CFR senior fellow for global health, economics, and development, presiding (September 30, 2011). The event was cosponsored with the Global Health Program.
 - "Taking Stock of the 2011 Opening of the United Nations General Assembly: A Conversation with Samantha Power" featuring Samantha Power, special assistant to the president and senior director for multilateral affairs and human rights on the National Security Council. Patrick presided at the roundtable (October 6, 2011).
 - "Global Governance and National Sovereignty: What's at Stake" featuring John Fonte, director of the Center for American Common Culture at Hudson Institute, who presented his book *Sovereignty or Submission: Will Americans Rule Themselves or Be Ruled by Others?* with Patrick in the role of discussant. Mark Lagon, CFR adjunct senior fellow for human rights, presided (October 17, 2011). Patrick subsequently blogged a book review.
 - "Why Women Matter in Peacebuilding" with Michelle Bachelet, undersecretary general and executive director of UN Women and former president of Chile; Carla Koppell, senior coordinator for gender equality and women's empowerment at the U.S. Agency for International Development; Sanam Naraghi Anderlini, from the 2011 and 2012 standby team of senior mediation advisers at the UN and cofounder of the International Civil Society Action Network; and Rosa Brooks, professor of law at Georgetown University Law Center and former special coordinator for rule of law and humanitarian policy at the U.S. Department of Defense. Presided by Stewart Patrick and Gayle Tzemach Lemmon, CFR fellow for U.S. foreign policy and deputy director of Women and Foreign Policy Program (November 14, 2011). The event was cosponsored with the Women and Foreign Policy Program. A full transcript of the event is available on the IIGG home page.
 - "Taking Stock of Conflicts in Colombia, Liberia, Bosnia, and Afghanistan: Women, War and Peace" with Abigail E. Disney, co-creator of the *Women, War & Peace* PBS documentary series and founder of the Daphne Foundation. Gayle Tzemach Lemmon, CFR fellow for U.S. foreign policy and deputy director of the Women and Foreign Policy Program, and IIGG Director Stewart Patrick presided (November 14, 2011).
 - "UNESCO, Palestine, and the UN System" with Irina Bokova, director general of the United Nations Educational, Social, and Cultural Organization (UNESCO), and Elliott Abrams, CFR senior fellow for Middle Eastern Studies, presided by IIGG Director Stewart Patrick (December 16, 2011).
 - "Assessing Prospects for Security Council Reform" featuring Ambassador H. Singh Puri, permanent representative of India to the UN, Ambassador Maria Luiza Ribeiro Viotti, permanent representative of Brazil to the UN, and Ambassador Kazuo Kodama, deputy permanent representative of Japan to the UN, presided by IIGG Director Stewart Patrick (December 7, 2011).

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- The IIGG program has also cosponsored two U.S.-UN roundtables with the Center for Preventive Action:
 - "The United States and the Future of Peacekeeping" featuring Annie Pforzheimer of the U.S. Department of State (May 13, 2011).
 - "A Conversation with Riyad Mansour" featuring Ambassador Riyad Mansour, permanent representative of Palestine to the UN, presided by Micah Zenko, CFR fellow for conflict prevention (September 9, 2011).
 - "Engaging with Nonstate Armed Groups" featuring Payton L. Knopf, U.S. Department of State, and Teresa Whitfield, Center on International Cooperation, presided by Micah Zenko, CFR fellow for conflict prevention (December 13, 2011).
- IIGG also kicked off its new series, "Rising Regionalism," in July 2011 to explore the increasing cooperation with and competition between global institutions and the proliferation of regional organizations. The depth and performance of these institutions and arrangements varies hugely across regions and issue areas, but few have analyzed the risks and opportunities of these trends—and how the United States can and should respond to them. To fill this gap, the IIGG program is organizing meetings on Europe, Asia, Latin America, Africa, and the Middle East. Some of these events will occur in the United States, others in the respective regions. In the first half of FY12, two sessions of the series have occurred:
 - "The Future of U.S.-Pakistan Relations in an Asian Context" explored regional prospects in Central and South Asia with Dan Markey, CFR senior fellow for India, Pakistan, and South Asia (July 14, 2011). A meeting note of the event is available on CFR.org and Patrick explored the issue further in a blog post, "Rising Regionalism and Pakistan." The July 2011 workshop featured three panels that analyzed how various Asian countries perceive, are influenced by, and seek to influence the U.S.-Pakistan relationship:
 - The first panel, "From the East: Indian and Chinese Perspectives on U.S.-Pakistan Relations," focused on Afghanistan, Iran, and Arab states of the Persian Gulf. It included Mohsen Milani, professor at the University of South Florida; David Barno, retired general and scholar at the Center for a New American Security; and Thomas Lippman, formerly Middle East bureau chief at the *Washington Post* and currently a scholar at the Middle East Institute.
 - The second panel, "From the West: Afghan, Iranian, and Gulf Arab perspectives on U.S.-Pakistan Relations," focused on the perspectives of China and India and featured Walter Andersen, professor at The Johns Hopkins University School of Advanced International Studies, and John Garver, professor at the Sam Nunn School of International Affairs at Georgia Tech University.
 - The third panel, "The Future of U.S. Strategy in Asia," analyzed the future of U.S.-Pakistan relations in the context of shifting power dynamics in Pakistan's Asian neighborhood. It featured Teresita Schaffer, former U.S. ambassador and scholar at The Brookings Institution, and Ashley Tellis, scholar at the Carnegie Endowment for International Peace.
 - "Peacebuilding in Africa: Regional and International Efforts" discussed positive developments toward peace and stability in Africa and explored steps to maintain and expand on such gains

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in the future with Paul B. Stares, CFR General John W. Vessey senior fellow for conflict prevention and director of the Center for Preventive Action, and IIGG Director Stewart Patrick presiding (November 1, 2011). The event was divided into two panels, "Outlook for Africa" and "Peacebuilding Efforts:"

- The first panel examined the findings of the IIGG Working Paper, *The African Union's Conflict Management Capabilities*. It featured Jeffrey Burton, acting national intelligence officer for Africa at the National Intelligence Council; João Honwana, director of the Africa I Division (Southern and Eastern Africa) of the UN Department of Political Affairs; Jamie Ekern, director of investment insurance at the Overseas Private Investment Corporation.
- The second panel featured Paul D. Williams, associate professor of international affairs and associate director of the Security Policy Studies Program at George Washington University; Bernard Harborne, lead conflict advisor for the Africa region at the World Bank; and Steve McDonald, director of the Africa Program and Project on Leadership and Building State Capacity at the Woodrow Wilson International Center for Scholars.
- Johnnie Carson, assistant secretary of state for Bureau of African Affairs at the U.S. Department of State, delivered closing remarks.

In addition to the above activities, IIGG sponsored the following meetings and publications over the last six months:

a) **Protecting the global commons**

- "Cybersecurity," Senate Chiefs of Staff dinner with Adam Segal, CFR Ira A. Lipman senior fellow for counterterrorism and national security studies; Jason Healy, director of the Cyber Statecraft Initiative, Atlantic Council (July 25, 2011);
- "The Proliferation Security Initiative," expert bank briefing for the Senate Select Committee on Intelligence by Emma Belcher, 2010-2011 Stanton nuclear security fellow (September 26, 2011);
- "Cybersecurity and Freedom of Speech: Limits of Sovereignty in a Digitally Interconnected World," CFR roundtable with Andrew McLaughlin, executive director of the open source nonprofit Civic Commons and lecturer at Stanford Law School, presided by Matthew Waxman, CFR adjunct senior fellow for law and U.S. foreign policy (October 18, 2011).
- "Challenges and Opportunities in the Opening Arctic," CFR National Program Roundtable with CFR Adjunct Senior Fellow for International and National Security Law John Bellinger III (October 18, 2011).
- "A Code of Conduct for Outer Space," IIGG Policy Innovation Memo by CFR Fellow for Conflict Prevention Micah Zenko (November 2011).
- "The Global Energy Landscape," CFR general meeting with Daniel Yergin, chairman and founder of IHS Cambridge Energy Research Associates and author of *The Quest: Energy, Security, and the Remaking of the Modern World*, and Carlos Pascual, special envoy and coordinator for International Energy Affairs at the U.S. Department of State (December 13, 2011).

b) **Enhancing peace and security**

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- "Fulfilling Our Treaty Obligations and Protecting Americans Abroad," testimony before the Senate Judiciary Committee by CFR Adjunct Senior Fellow for International and National Security Law John B. Bellinger III (July 27, 2011).
- "Nuclear Weapons and the Future of Arms Control," expert bank briefing to the House Armed Services Committee by General Frank Klotz, ASAF (Ret.), CFR senior fellow for strategic studies and arms control (July 28, 2011).
- "10 Years After September 11—The State of the War on Terror," Congressional senior staff roundtable with William McCants, research analyst at the Center for Strategic Studies, CNA; adjunct faculty, Johns Hopkins University (September 9, 2011).
- "Nuclear Weapons & The Future of Arms Control," expert bank briefing to the office of Senator John Kyl (R-AZ) with General Frank Klotz, ASAF (Ret.), CFR senior fellow for strategic studies and arms control (September 12, 2011).
- "Threats to Regional Stability Posed by Boko Haram," expert bank briefing to the House Homeland Security Subcommittee on Counterterrorism and Intelligence by John Campbell, CFR Ralph Bunche senior fellow for Africa policy studies (September 23, 2011).
- "Threats to Regional Stability Posed by Boko Haram," expert bank briefing to the House Foreign Affairs Subcommittee on Africa, Global Health, and Human Rights with John Campbell, CFR Ralph Bunche senior fellow for Africa policy studies (September 27, 2011).
- "NATO mission in Libya," a Congressional senior staff roundtable with Paul B. Stares, CFR John W. Vessey senior fellow for conflict prevention and director of the Center for Preventive Action; Daniel Serwer, visiting scholar in conflict management and senior fellow in the Center for Trans-Atlantic Relations, School of Advanced International Studies. Presided by Patrick C. Costello, associate director of the CFR Congress and U.S. Foreign Policy Program (September 30, 2011).
- "By Overreaching in Libya, NATO Has Left Syria to Fend Alone" article in *The National*, by CFR Fellow for Conflict Prevention Micah Zenko (October 11, 2011).
- "After Qaddafi, every dictator will want to get his hands on a nuclear weapon" article in *Foreign Policy* by CFR Fellow for Conflict Prevention Micah Zenko (October 19, 2011).
- "Are Targeted Killings Lawful?" CFR roundtable with Marty S. Lederman, professor of law at Georgetown University Law School, presided by John B. Bellinger III, CFR adjunct senior fellow for international and national security law (October 24, 2011).
- "The Struggle for Egypt: From Nasser to Tahrir Square," academic initiative conference call with CFR Hasib J. Sabbagh Senior Fellow for Middle Eastern Studies Steven Cook (October 26, 2011).
- "Arab Uprisings," expert bank briefing for Congressman Adam Smith (D-WA) by Elliott Abrams, CFR senior fellow for Middle Eastern studies; Robert Danin, CFR Eni Enrico Mattei senior fellow for Middle East and African studies; and Chris Tuttle, director of the CFR Washington Program (November 7, 2011).
- "The End of Geography? (The World Looks Different from Geneva than New York)," CFR roundtable with Sir Daniel Bethlehem, former principle legal adviser of the UK Foreign and Commonwealth Office, presided by CFR Adjunct Senior Fellow for Law and U.S. Foreign Policy Matthew Waxman (November 10, 2011).
- "Middle East Peace Process," foreign policy breakfast forum for Congressman Randy Hultgren (R-IL), presided by Chris Tuttle, director of the CFR Washington Program (July 27, 2011).

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- "The United States, Egypt, and the New 'New Middle East,'" CFR National Program roundtable in Boston, Massachusetts, with CFR Hasib J. Sabbagh Senior Fellow for Middle Eastern Studies Steven Cook (December 1, 2011).
- Screening of *In the Land of Blood and Honey* with opening remarks by Angelina Jolie and Christiane Amanpour (December 5, 2011).
- "One Year Later: The Arab World and Egypt's Struggle for Democracy," CFR religion initiative conference call with CFR Hasib J. Sabbagh Senior Fellow for Middle Eastern Studies Steven Cook (December 8, 2011).

c) Strengthening the global financial system

- "Debt Crisis Implications," CFR Corporate media call with Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies (CGS) and Paul A. Volcker senior fellow for international economics (July 20, 2011).
- "The European Union," expert bank briefing to the office of Senator Ron Johnson (R-WI) by Charles Kupchan, CFR Whitney Shepardson senior fellow (July 21, 2011).
- "Challenges and Opportunities for the World Economy and the IMF," CFR general meeting with Christine Lagarde, then-managing director of the International Monetary Fund (July 26, 2011).
- "The Future of the Eurozone," CFR roundtable with Robert Rubin, co-chairman of CFR, former secretary of the treasury, and former co-chairman of Goldman Sachs (September 8, 2011).
- "The Eurozone: Internal Challenges and the Global Economy," CFR general meeting with Wolfgang Schauble (September 23, 2011).
- "Prospects for the Eurozone," CFR Roundtable with Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies (CGS) and Paul A. Volcker senior fellow for international economics; and Peter R. Fisher of BlackRock Inc. (October 17, 2011).
- "The EU's 'Make or Break Moment'," CFR.org interview with Charles Kupchan, CFR Whitney Shepardson senior fellow (October 2011).
- "The Future of the International Monetary System and the Role of the Renminbi," a three-day symposium held in Beijing, China (October 31, 2011–November 2, 2011). The symposium was cosponsored by a Chinese think tank, China Development Research Foundation. The CFR delegation was led by Martin Feldstein, professor of economics at Harvard University; and Robert Rubin, co-chairman of CFR, former secretary of the treasury, and former co-chairman of Goldman Sachs. In preparation for the symposium, Sebastian Mallaby, director of the Maurice R. Greenberg Center for Geoeconomic Studies (CGS) and Paul A. Volcker senior fellow for international economics, commissioned five CGS/IIGG Working Papers as background for the conference:
 - "What Drives CNH [Chinese Yuan Deliverable in Hong Kong] Market Equilibrium?" by Peter Garber, global strategist for global markets research at Deutsche Bank (November 2011).
 - "Historical Precedents for Internationalization of the RMB," by Jeffrey A. Frankel, the James Harpel chair for capital formation and growth at Harvard University (November 2011).
 - "Renminbi Internationalization and China's Financial Development Model," by Robert McCauley, senior adviser of the monetary and economic department of the Bank for International Settlements (November 2011).

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- "The Internationalization of the RMB: Opportunities and Pitfalls," Taktoshi Ito, professor at the graduate school of economics and public policy of the University of Tokyo (November 2011).
- "The Future of International Liquidity and the Role of China," by Alan M. Taylor, professor of arts and sciences in the department of economics at the University of Virginia (November 2011).

d) Integrating emerging powers

- The United States and India: A Shared Strategic Future, the final report of the U.S.-India Joint Study Group on Shared National Interests, chaired by Robert D. Blackwill, Henry A. Kissinger senior fellow for U.S. foreign policy, and Naresh Chandra, Indian ambassador to the United States (September 2011).
 - Prominent foreign policy experts met to discuss the specific policy recommendations of the final report, "A Special Dinner Meeting with Henry A. Kissinger" (September 15, 2011). Panelists included: Henry A. Kissinger, chairman of Kissinger Associates, Inc., and former U.S. secretary of state; Steven J. Hadley, senior adviser for international affairs at the United States Institute of Peace and former assistant to the president for national security affairs; Tarun Das, founding trustee of the Aspen Institute India and former chief executive of the Confederation of Indian Industry; and K. Shankar Bajpai, founding chairman of the Delhi Policy Group and former Indian ambassador to the United States. Richard Haass, president of CFR, delivered opening remarks.
- "Turkey's Rising Middle East Role," CFR.org first take by Steven Cook, CFR Hasib J. Sabbagh senior fellow for Middle Eastern studies (October 26, 2011)
- "South Africa's Role in Global Health: A Conversation with Ambassador Ebrahim Rasool," with Ebrahim Rasool, South African ambassador to the United States, presided by Yanzhong Huang, CFR senior fellow for global health (November 4, 2011).

e) Other notable projects

- CFR Briefing for Universidad Pontificia Comillas de Madrid with CFR Fellow for Conflict Prevention Micah Zenko (July 20, 2011).
- "The Challenge of Non-Communicable Diseases," with Derek Yach, senior vice president of global health and agriculture policy at PepsiCo, Inc.; Nils Daulaire, director of the Office of Global Health Affairs at the U.S. Department of Health and Human Services; and Babatunde Osotimehin, executive director and undersecretary general of the UN Population Fund (July 25, 2011).
- "The Fight against Chronic Disease," *New York Times International Weekly* op-ed by Yanzhong Huang was translated into multiple languages and syndicated in newspapers of India, Turkey, the Philippines, Japan, and Singapore (August 19, 2011).
- "Advancing Democracy, Human Rights, and Governance," with the deputy assistant administrator of USAID, Sarah Mendelson, presided by CFR Adjunct Senior Fellow for Human Rights Mark Lagon (September 28, 2011).
- "Lawlessness Devastating the Dream to End Global Poverty: What It Will Take to Make the Violence Stop," with Gary Haugen, president of International Justice Mission, presided by CFR Adjunct Senior Fellow for Human Rights Mark Lagon (October 5, 2011).

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- "U.S. Spotlight on Human Trafficking," Academic Initiative conference call with CFR Adjunct Senior Fellow for Human Rights Mark Lagon (November 10, 2011).
- "International Institutions and Human Dignity," workshop featuring Chester Crocker, Carol J. Lancaster, and Raj M. Desai of the Georgetown Edmund A. Walsh School of Foreign Service; Nancy E. Soderberg of the University of North Florida; U.S. Ambassador to Poland Lee Feinstein; Abiodun Williams of the U.S. Institute of Peace; and Anthony Clark Arend and Mark Dybul of Georgetown University; hosted by CFR Adjunct Senior Fellow for Human Rights Mark Lagon (November 16, 2011).
- "Palestinian Membership to UNESCO," an Israeli-Palestinian Congressional forum briefing with CFR Adjunct Senior Fellow for Human Rights Mark Lagon (November 17, 2011).
- "A Conversation with Aung San Suu Kyi," featuring Aung San Suu Kyi via videoconference with Paula Dobriansky, senior vice president of Thomson Reuters, presiding. Cosponsored by the IIGG Global Stakes in Human Rights Roundtable Series under CFR Adjunct Senior Fellow for Human Rights Mark Lagon (November 30, 2011).
- "Domestic Factors and China's Health Aid Programs in Africa," a book chapter by Yanzhong Huang in *China's Emerging Global Health and Foreign Engagement in Africa*, published by the Center for Strategic Studies Press (November 30, 2011).
- "The Sick Man of East Asia," *Foreign Affairs* article by Yanzhong Huang, (November/December 2011); also published in Chinese and reposted widely in numerous Chinese media outlets and triggered a debate within China.
- "Building the Evidence Base: How Safe is the Global Supply Chain?" First session of the new roundtable series, "The Global Drug Safety Roundtable Series," with Dr. Bryan A. Liang, E. Donald Shapiro distinguished professor of law and executive director of the Institute of Health Studies, University of California-San Diego; Roger Bate, Legatum fellow in global prosperity, American Enterprise Institute; Jennifer Brant, independent consultant and coauthor, *Eye on the Ball*, Oxfam Briefing Paper; John Clark, vice president of global security and chief security officer, Pfizer; Allan Coukell, director of medical programs, Pew Health Group; presided by Laurie Garrett (December 5, 2011).
- "Global Women's Health Issues," expert bank briefing to the office of Congressman William Keating (D-MA) with Isobel Coleman, senior fellow and director of the Civil Society, Markets, and Democracy Initiative and director of the Women and Foreign Policy Program (December 7, 2011).
- "Gauging Top Global Threats in 2012," CFR.org interview with CFR Fellow for Conflict Prevention Micah Zenko (December 8, 2011).
- Keynote address for the Bronx High School of Science Model UN, Academic Initiative Lecture by CFR Fellow for Conflict Prevention Micah Zenko (December 17, 2011).

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UPDATE: July 1, 2011–December 31, 2011

ANNEX OF PLANNED ACTIVITIES FOR THE SECOND HALF OF FY12

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

- Work with CFR's Executive Office to organize and host in Washington, DC, the inaugural meeting of the "Council of Councils," an innovative network of more than twenty leading policy institutes worldwide, to discuss today's major global governance challenges.
- Release the new multimedia package, Global Governance Monitor: Human Rights, which will track the international community's progress on protecting human rights for people worldwide.
- Provide annual updates to the individual packages of the Global Governance Monitor on nonproliferation, armed conflict, and oceans, and update the entire Global Governance Monitor project.
- Near completion of a new multimedia package, Global Governance Monitor: Organized Crime.
- Release two new Working Papers: *Strengthening UN Sanctions* by Sue Eckert, senior fellow at the Watson Institute, and *Promoting Strategic Cooperation Among Major Democracies* by Ash Jain, visiting fellow at The Washington Institute.
- Refine and draft the IIGG Global Governance Report Card.
- Hold two "Rising Regionalism" sessions: one to be held in Cairo, Egypt, cosponsored with the American University in Cairo, is scheduled for mid-March; and one on Asia or Latin America.
- IIGG Director Stewart Patrick will begin researching and writing on his next book on sovereignty in an age of transnational problems.
- Continue its roundtable and workshop series on U.S.-U.N. and Making Multilateralism Work. The next workshop series on Making Multilateralism Work will be held in March 2012 and will focus on humanitarian and disaster assistance.
- Co-sponsor a "Think 20" conference at the Mexican Council of Foreign Relations, designed to bring policy experts from around the world to advise the host Mexican government on its agenda for the 2012 G20 summit (Mexico City, February 27–28).
- Co-sponsor a third annual Global Governance Workshop at Princeton University in May 2012.
- Patrick will brief congressional senior staff at a roundtable on Capitol Hill on the findings and policy implications of *Weak Links* on Friday, January 20, 2012, at the request of the CFR Congressional Program.
- Patrick plans to brief Gayle Smith, director of the National Security Council, on the findings of *Weak Links*.
- Patrick also plans to brief Rick Barton, recently nominated to be assistant secretary of state for the State Department's new office of Conflict and Stability Operations, on the findings of *Weak Links*.

file - 6-month
Yale Drama Report
Feb 2012



January 24, 2012

Ms. Penny Hunt
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Dear Penny,

It is my pleasure to provide you and the Trustees of the Robina Foundation with this six-month report on the activities of the Center for New Theatre.

Provide an update on your activities/work on the Robina-funded project since your last report, including how this work advances the goals and objectives set for the project.

Now in its fourth year, the work of the Center continues to be productive and rewarding. We are on track to match (or possibly exceed) the robust level of commissioning and development activities achieved in FY11. To date, we have conducted three residencies/retreats and three workshops. We have development activities booked on the Center's calendar through the winter and spring of 2012, and we are prepared to respond to additional requests for residencies, retreats, and workshops from our commissioned artists during our 2011-12 season.

Residencies/Retreats

In August, the Center invited three commissioned playwrights (Alice Tuan, Lucy Thurber, Carson Kreitzer) to attend our annual "Boot Camp" retreat (August 21-26, 2011), which was held in conjunction with Yale School of Drama's four-day intensive writing workshop, led by Paula Vogel.

The Center hosted a residency in New Haven for playwright Carson Kreitzer and composer Matt Gould, who worked on their commissioned musical, *Lempicka*, from October 12-23, 2011. Music Director Ian Axness joined Carson and Matt in New Haven to develop vocal arrangements for new songs. The team's work was in preparation for a five-day workshop held at New Dramatists in New York from October 24-28, 2011. The residency-workshop combination was devised by Yale Rep and New Dramatists as part of our partnership in the Full Stage USA program.

Workshops

In July, the Center conducted a one-day reading of Will Eno's commission *The Realistic Joneses* in New York. Director Sam Gold led a cast of four actors (Noah Emmerich, Marin Ireland, Paul Sparks, and

Heather Burns) in rehearsal and discussion of a draft of Eno's play. The Center also conducted a one-day reading of the next draft of *The Realistic Joneses* on November 21, 2011. The acting company for the November reading included Parker Posey, Amy Ryan, Adam Rothenberg, and Paul Sparks. *The Realistic Joneses* will have its world premiere at Yale Rep this spring, supported by the Center. We begin rehearsals for the production March 19, 2012.

In October, the Center conducted a one-week workshop of Lina Patel's *Love Play* (October 13-18, 2011) in New York. Director Eric Ting led a cast of seven (Vivienne Benesch, Cary Donaldson, Janina Gavankar, Kenneth Lee, Jo Mei, Alex Podulke, and Rachel Lu) in an exploration of an early draft of Lina's commission. The workshop was scheduled so that the playwright had two days off in the middle of the week to focus on rewrites, which she then brought back for further rehearsals and discussions with the company.

Commissions

We are pleased to announce that we have commissioned playwright Christina Anderson to write an original play for Yale Rep. A recent graduate of Yale School of Drama, Christina is the author of *Good Goods*, which will have its world premiere at Yale Rep in February 2012. It has been our pleasure to witness the growth of Christina's artistry during her time at Yale School of Drama, and we look forward to beginning our relationship with her as a commissioned artist. Her bio is attached for your review.

We anticipate awarding the majority of the fiscal year's commissions this spring and will update the complete roster of new writers in our year-end report.

New Play Production

This fall, Yale Rep produced the world premiere of Amy Herzog's *Belleville*. The production began rehearsals on September 12, and the show ran October 21 to November 12, 2011. The production represents the culmination of more than two years of development and artist-driven support for Amy by the Center for New Theatre. *Belleville* was a critical success. Press clippings and reviews are attached. We are currently in conversations with New York Theatre Workshop, which has expressed interest in producing the play this season.

Rehearsals for Christina Anderson's *Good Goods* began in New Haven on January 3, 2012. The world premiere, which is being supported by the Center, will run February 3 to February 26, 2012. Tina Landau directs the production, which features Oberon K.A. Adjepong, de'Adre Aziza, Kyle Beltran, Clifton Duncan, Marc Damon Johnson, and Angela Lewis.

Production Enhancement Fund

This season, the Fund will support Pittsburgh City Theatre's production of Maggie-Kate Coleman and Anna K. Jacobs's musical *POP!* The production, which will run May 5-27, 2012, will feature Anthony Rapp as Andy Warhol; the Fund will help underwrite the cost of orchestrating new songs written specifically for Rapp.

Describe any unanticipated results or lessons learned during this period and any changes you have made or propose to make in your plans.

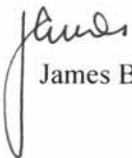
Now that we are in the fourth year of the Center's activity, we have had time to observe the correlation between the volume and quality of development opportunities we provide to our commissioned artists and the artists' productivity. Specifically, residencies and retreats appear to be making a significant impact on our artists. They report to us that spending time doing a portion of their writing in New Haven and interacting with the Center staff increases their investment in Yale as an artistic home. The Center sees more completed drafts submitted by artists who have taken advantages of these opportunities than from those who have not. In response, we have reached out with more frequency to our commissioned artists to communicate with them about their development needs and to offer them residency/retreat opportunities in New Haven throughout the season.

Highlight any other issues or matters you think the Robina Foundation should be aware of, including changes in allocation of funds provided by Robina.

Our decision to extend money from the Center's Production Enhancement Fund to support the City Theatre production of *POP!* represents a change in the allocation of funds provided by Robina. As we mentioned to the Foundation in October, we have had inquiries about the Center using the Fund to underwrite future productions of plays that were not originally commissioned by Yale. In the initial conception of the Production Enhancement Fund, we focused exclusively on commissioned work, but we now think it is wise to use the Fund to foster future productions of new plays and musicals produced by the Center, even if the projects were not commissioned or developed here. The artistic and reputational advantage seem disproportionately favorable, given the large original investment in production and the relatively small investments that seem to make a big difference to other producers. We do not project that this change will have a significant impact on the overall financial model, but it allows the Center to make a substantive change based on real opportunities. We appreciate the Foundation's support for this adjustment to our policy.

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

Sincerely,



James Bundy

CHRISTINA ANDERSON Christina's plays include *Drip*, *Hollow Roots*, *Blacktop Sky*, *Inked Baby*, and *Man in Love*. Her work has been produced by or developed with Steppenwolf Theatre Company, Playwrights Horizons, Crowded Fire, American Conservatory Theater, About Face, The Public Theater, Penumbra Theatre, and other theatres all over the country. Awards and honors include the PONY Fellowship nomination, ASCAP Cole Porter Prize (Yale School of Drama), Schwarzman Legacy Scholarship awarded by Paula Vogel, two Susan Smith Blackburn Prize nominations, Lorraine Hansberry Award (American College Theater Festival), Van Lier Playwriting Fellowship (New Dramatists), Wasserstein Prize nomination (Dramatists Guild), Lucille Lortel Fellowship (Brown University), and Core Writer (Playwrights' Center). *American Theatre* magazine selected Anderson as one of fifteen up-and-coming artists "whose work will be transforming America's stages for decades to come." Born and raised in Kansas City, KS, she received her B.A. from Brown University and her M.F.A. from Yale School of Drama. Through the National New Play Network, Anderson is currently a playwright-in-residence with Magic Theater in San Francisco, CA.

November 4, 2011

THEATER REVIEW

When Two Beautiful Lives Begin to Unravel

By CHARLES ISHERWOOD

NEW HAVEN — The young couple in “Belleville,” a quietly devastating new play by Amy Herzog, would seem to have everything going for them. Attractive, amiable and well educated, they are still playfully affectionate after five years of marriage. Sure, their funky new apartment in Paris is on the scruffier outskirts of the city, in the neighborhood that gives the play its title. But what’s better than to be young, in love and living in Paris — anywhere in Paris?

And yet as the play proceeds, Ms. Herzog slowly scrapes away the surface of glossy hope and promise coating the central characters, Zack (Greg Keller) and Abby (Maria Dizzia). Hints of unhappiness and disorder are slowly, almost stealthily revealed, until we come to see, with a clarity that is both heartbreaking and hair-raising, how both members of this seemingly contented couple are walking a tightrope over a chasm of despair.

Ms. Herzog’s thrillingly good play, having its premiere here at Yale Repertory Theater, confirms her reputation as one of the brightest new talents in the theater. (Her play “4000 Miles” will reopen at Lincoln Center Theater in the spring after its acclaimed run in a smaller theater last summer.) Directed with flawless finesse by Anne Kauffman, “Belleville” is both a perceptive drama depicting the sudden fraying of a young marriage and a nail-biting psychological thriller about how festering secrets and reservoirs of guilt can drive even stable people to the brink of violence.

After meeting in college and marrying shortly after, Zack and Abby have embarked on a new life in Paris, where he is working for Doctors Without Borders on research to prevent the spread of AIDS among children. Abby, an aspiring actress who feels she is already surfing toward Social Security at 28, has to settle for teaching yoga. (“To be an actor you have to love to suffer,” she says in one of the play’s lighter moments, “and I only *like* to suffer.”) Their move was inspired in part by the death of Abby’s mother, from which Abby has not entirely recovered, although she has finally decided to stop taking antidepressants.

In the play’s opening scene Abby shuffles in from a canceled yoga class, expecting to find the apartment empty. Instead she stumbles on Zack in the bedroom, in front of the computer



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<http://scribblers.us/nhti/?p=1919>

The Belleville Review

Posted by Christopher Arnott on October 28, 2011

Belleville

Through Nov. 12 at the Yale Repertory Theatre. Written by Amy Herzog. Directed by Anne Kauffman. Scenic Designer: Julia C. Lee. Costume Designer: Mark Nagle. Lighting Designer: Nina Hyun Seung Lee. Sound Designer and Composer: Robert Kaplowitz. Production Dramaturgs: Amy Boratko and Alex Ripp. Vocal and Dialect Coach: Beth McGuire. Fight Directors: Rick Sordelet and Jeff Barry. Stage Manager: Gina Noele Odierno.

Belleville opens like Neil Simon's *Barefoot in the Park*, with newlyweds indulging the glories of their own cool apartment. Except there's stuff about masturbation. Belleville closes like an Ionesco play, with an awful lot of attention being paid to the furniture. Except a very disturbing human tragedy has happened. In the middle, Belleville plays like an early 20th century melodrama, in which everyone has dark ulterior motives and everytime a knife is brandished—to cut bread, mostly—someone comments on how menacing it seems.

Except that Belleville's chills and thrills come from everyday, present-day anxieties like establishing yourself in a career and a relationship when you're in your 20s, or losing a parent at a sensitive time, or wondering where the rent's going to come from.

The main characters in Belleville reek with that all-American air of entitlement and superiority. They're smug, self-centered, oblivious to the problems they're causing others and grotesquely wrapped up in themselves. This is a play of constant conflicts: internal, external, cultural, psychological and epidermal.



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Calendar for year 2012 (United States)

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Holidays and Observances:

Jan 1 New Year's Day	Sep 3 Labor Day
Jan 2 'New Year's Day' observed	Oct 8 Columbus Day (Most regions)
Jan 16 Martin Luther King Day	Oct 31 Halloween
Feb 14 Valentine's Day	Nov 6 Election Day
Feb 20 Presidents' Day	Nov 11 Veterans Day
Apr 8 Easter Sunday	Nov 12 'Veterans Day' observed
May 13 Mother's Day	Nov 22 Thanksgiving Day
May 28 Memorial Day	Dec 24 Christmas Eve
Jun 17 Father's Day	Dec 25 Christmas Day
Jul 4 Independence Day	Dec 31 New Year's Eve

**Robina Foundation
2012 Board Meeting Dates**

DATE	PLACE/TIME
February 13-15, 2012 (Mon, Tues, Wed) (Valentine's Day – February 14) Santa Barbara, California	California Monday, February 13 – 6:30 p.m. Dinner (PST) Tuesday, February 14 – 8 a.m. – 4 p.m.(PST) Dinner at the Karoff's home 6 p.m. (PST) Wednesday, February 15 – 8:00 a.m. to 12 noon (PST)
May 15, 2012 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CDT)
July 30 – August 1, 2012 (Mon, Tues, Wed) Annual Meeting Minneapolis, Minnesota	Minneapolis, MN Monday, July 30 – 6:00 p.m. Dinner (CDT) Tuesday, July 31 – 8 a.m. to 4 p.m. (CDT) Wednesday, August 1 – 8 a.m. to 12 noon (CDT)
November 13, 2012 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CST)

approval of
CFR's Diversity
Initiative

Email to Jim Lindsay re Approval of the CFR's Diversity project

Tuesday, February 21, 2012

Dear Jim,

I'm back in Minneapolis with a functioning computer (I was forced to use my iPhone for emails in California when my computer crashed), so can write a longer email about the Robina Board of Directors' approval of funding for *CFR's Expanded Diversity Initiative in Foreign Policy* as well as the Board's discussion of Robina support for CFR.

First and foremost, the Robina Board approved CFR's request for three years of funding to support the initiative, with the hope and expectation that we will support the initiative for five years. Board Members appreciated the thoughtful, strategic approach reflected in the multi-faceted set of activities aimed at enriching and enhancing diversity in the foreign policy arena. We share CFR's belief that effective implementation of the initiative will, over time, have a positive impact not only on the young people who participate in the various activities, but also on the foreign policy field as a whole. I know that you were instrumental in developing the proposal. Thank you.

As I mentioned in my earlier email, the Board's approval of the three-year grant is subject to an adjustment in funding for "indirect costs." Since a portion of the direct costs will be incurred by HIA rather than by CFR, the Robina Board believes that 15% should be applied only to CFR's direct costs.

We hope you agree with this reasoning. I've attempted to calculate the amount of the grant with the change, but, quite frankly, don't trust my math without the aid of Excel, so would appreciate it if you would re-work the budget and send it to me, along with the proposal revised to reflect the resulting changes in the budget.

Your proposal calls for Year 1 funding in FY13. We would like to provide Robina funding for the first year and subsequent years at the best time for CFR, so would appreciate your input on the timing of our payments.

I believe my earlier email explained that Robina funding will not be available for the London project described in your proposal.

As you know, Robina's interest in funding a diversity initiative arose when members of the Robina Board visited CFR last February and noted the make-up of CFR's senior management. That led to a discussion of diversity within CFR and the broader foreign policy community and exploration of ways CFR could stimulate greater diversity in the field. We're pleased to support the diversity initiative, but don't want to lose sight of CFR's efforts to enhance diversity within CFR. Given that, we would ask that CFR include its statistics in reports on the results of the new initiative. Perhaps you and I could talk about the best way to do that.

I think that's it at this point. We're eager to finalize Robina's grant so hope that you can work on the budget and timing of Robina payments in the near future. Speedy resolution of these issues is important since HIA needs to get busy on recruitment for the summer. I'm available by email or phone. Should we set up a time to talk?

Warm regards,
Penny

Penny A. Hunt
Executive Director

file CFR Proposed
"Diversity"
Revised
"approved"
3/2012

COUNCIL ON FOREIGN RELATIONS
PROPOSAL TO THE ROBINA FOUNDATION TO SUPPORT
AN EXPANDED DIVERSITY INITIATIVE IN FOREIGN POLICY

EXECUTIVE SUMMARY

America's ethnic and racial make-up has changed dramatically over the past four decades. The ethnic and racial make-up of America's foreign policy community has not. Foreign policy decision-making positions in the U.S. government and the supporting think-tank world remain overwhelmingly white and male. The discrepancy between what America looks like and who decides what America should do overseas robs the foreign policy debate of talented voices and diminishes the chances that U.S. policy will reflect the broad array of perspectives that its citizens hold. The make-up of the U.S. foreign policy community is not likely to change significantly without a concerted effort to identify talented members of underrepresented groups, expose them to the career possibilities in foreign policy, and actively recruit them for positions.

With the support of the Robina Foundation, CFR proposes to launch a five-year, expanded diversity initiative that would enrich and diversify the American foreign policy community. The initiative would consist of four inter-related and mutually reinforcing sets of activities: 1.) a partnership with Humanity In Action; 2.) an expansion of CFR's current Franklin Williams internship for college students or graduate students from underrepresented groups; 3.) a partnership with the International Career Advancement Association; and 4.) increased CFR participation in career fairs in New York, Washington, DC, and select cities around the country. These forward-looking and practical activities would build on CFR's extensive previous efforts to promote diversity, leverage CFR's demonstrated strengths in the foreign policy arena, and mobilize the complementary skills and networks of partner organizations.

The proposed CFR expanded diversity initiative has the power over time to transform the composition of the American foreign policy community. The five-year projected cost of the initiative is \$2,176,511. CFR respectfully requests \$1,274,248 to fund the initiative during its first three years. CFR would commission an external review of the initiative during year three. This review, which would supplement and extend CFR's ongoing in-house reviews of the initiative, would be modeled along the lines of the external review that CFR commissioned in 2011 for the International Institutions and Global Governance Program. The external review committee's findings and recommendations would heavily influence the proposal that CFR would submit to the Robina Foundation to fund years four and five of the expanded diversity initiative.

PROPOSAL

A. CFR's Current Diversity Initiatives

CFR constantly seeks to increase diversity among its approximately 4,600 members, on its staff, on its Board, and in its programming activities. CFR defines diversity broadly, including racial, ethnic, gender, political, religious, geographical, and professional considerations. Bringing such diversity to the full range of CFR activities and programs is a challenge, and one which is considered in all aspects of CFR's work. To address this challenge, CFR has over the past two decades pursued a broad range of initiatives at a variety of levels to increase diversity within CFR, among its membership, and in the broader foreign policy community. A leading example was the decision the CFR Board of Directors took in 2006 to increase its own diversity by increasing the size of the Board.

CFR has focused on and continues to emphasize bringing women and minorities into its membership and programs. Today, 26 percent of CFR's entire membership are women and 15 percent of are African American, Asian, Hispanic, Alaskan Native, or American Indian. CFR's Term Member Program, which brings individuals between the ages of thirty and thirty-six into CFR for five-year terms, is approximately 40 percent women and 26 percent minority—an excellent indicator of what the future life membership of CFR will begin to look like, as term members are a significant part of the pool from which CFR draws its life members.

CFR is an equal opportunity employer and actively seeks candidates from a diverse background. Currently, 54 percent of CFR's staff is made up of women and 27 percent are minorities. Thirty-one of the 149 professional staff members are African American, Asian, or Hispanic, and seventy-six are women. Thirty-nine of 115 support staff members are African American, Asian, or Hispanic, and sixty-seven are women. CFR's senior management consists of six women and three men.

CFR's Franklin Williams internship provides opportunities for underrepresented populations in New York and Washington, DC, to participate in CFR's internship program. CFR established the internship in 1990 in honor of the late Ambassador Franklin H. Williams, a distinguished foreign policy expert and former member of the CFR Board of Directors who helped to form several organizations that advance opportunities for American minority groups, including the Association of Black American Ambassadors.

CFR currently collaborates with Global Kids, an organization that seeks to transform urban youth into successful students, and global and community leaders. CFR is working to reach out to religious and congregational leaders; state and local officials; and various minority-based organizations (ethnic and gender) whose members include prominent leaders in the African-American, Hispanic, and other communities that may be under-represented in CFR's membership, staff, and activities. The goal is to raise awareness of CFR and its mission among these constituencies and ultimately to keep increasing diversity of all kinds in the membership, on staff, and in CFR's activities. CFR similarly works with the Colin Powell Center for Policy Studies at the City College of New York to bring student groups throughout the year to CFR for customized briefings by CFR scholars and staff. Students from the Powell Center are invited to attend select CFR meetings over the course of the program year.

CFR also actively participates in the Global Access Pipeline (GAP) consortium. GAP brings together an array of think tanks and non-profit groups to enhance the quality and diversity of U.S. participation in international affairs. GAP seeks to accomplish its mission by encouraging collaboration among internationally-oriented programs for the underrepresented, from the pre-collegiate level through mid-career professional development programs, and linking these to diversity efforts with leading research and policy institutions such as CFR. CFR hosted the 2012 annual GAP conference at its Washington, DC, location.

B. CFR's Proposed Expanded Diversity Initiative

CFR proposes with the support of the Robina Foundation to expand its efforts to encourage diversity in foreign policy and to encourage members of underrepresented groups to pursue careers in international relations. CFR's expanded diversity initiative rests on the time-tested premise that CFR can maximize the impact of its efforts by leveraging the talents of organizations that have already been working to increase diversity in foreign affairs. CFR's thinking on which organizations to partner with and how to conduct those partnerships reflects the results of its Robina-funded scan of diversity opportunities, which was completed in early fall 2011.

CFR's expanded diversity initiative consists of four specific elements that are intentionally conceived to be interrelated, complementary, and mutually reinforcing: 1.) a partnership with Humanity In Action; 2.) an expansion of CFR's current Franklin Williams internship for college students or graduate students from underrepresented groups; 3.) a partnership with the International Career Advancement Association; and 4.) increased CFR participation in career fairs in New York, Washington, DC, and select cities around the country. CFR is seeking support for these activities for an initial three-year period. The requested funds would also cover the costs of the CFR staff time needed to support the four sets of activities.

1. Partnership with Humanity in Action

Humanity in Action (HIA) is an international educational organization that seeks to educate, inspire and connect a global network of students, young professionals, and established leaders committed to promoting human rights, diversity, and active citizenship in their own communities and around the world. (See Appendix A.) HIA currently runs fellowship programs each summer in Denmark, France, Germany, the Netherlands, and Poland. Each of the five programs has between seven and ten American students who work with approximately ten to fifteen peers drawn from a range of European countries. Over the course of the five-week program, each group analyzes, discusses, and generates policy recommendations that address a specific diversity issue in the host country.

CFR proposes that it would support the participation of ten African American, Asian, Hispanic, Alaskan Native, or American Indian students in HIA's summer 2012 program. The goal would be to increase the number of minority students in years two through five of the initiative to fifteen a year. (The lower number in year one reflects the fact that the HIA selection process is already underway, making it unlikely that CFR could secure a full set of complement of minority participants.) The estimated cost per student in the first year is \$8,000, which would fund each student's travel to and participation in the five-week summer program, as well as his or her involvement in the HIA

network's continuing activities, which include internship and professional fellowship opportunities. CFR would work with HIA to ensure that the summer program opportunity is widely advertised at colleges and universities across the country, and particularly at historically black colleges and universities and at schools with large Hispanic populations.

In addition to sponsoring minority participation in HIA's summer programs, CFR would host a two-day workshop at the CFR office in Washington, DC, each June for all of the American participants in that summer's HIA programs in Europe. Participants would receive briefings from CFR fellows, government officials, journalists, and other foreign policy influentials, as well as participate in skillbuilding exercises. The purpose of the workshop would be to introduce the HIA participants, including the minority participants, to cutting-edge discussions in international relations and to the broad range of careers they could pursue in the foreign policy field. The workshop would include all the HIA participants in recognition of the fact that promoting minority involvement in foreign policy requires both building networks within minority communities and integrating those networks into the broader foreign policy community.

CFR would actively work to keep students who have participated in the CFR-HIA program involved in foreign affairs issues. HIA has a vibrant program of activities designed to keep students involved in the network it has created over the years. CFR will encourage CFR-sponsored students participating in HIA summer programs to participate in the activities of the International Career Advancement Association (discussed below), and CFR will encourage members of the International Career Advancement Association to serve as mentors to CFR-HIA program participants.

Over the next five months, CFR and HIA will discuss the possibility of extending their partnership to include launching an annual HIA fellowship program in the United Kingdom, beginning in the summer of 2013. That program would bring together twenty to twenty-five students each year, with roughly half from the United States and half from the United Kingdom. The program's focus would be on efforts to prevent and mitigate radicalism among British youth, and it would take advantage of CFR experts such as Ed Husain, who is a pioneer in counter-radicalization and anti-jihadi efforts. A CFR-HIA fellowship program in the United Kingdom would follow the successful blueprint that HIA has developed for establishing high-caliber programs in other European countries. CFR anticipates that it will make a decision in mid-summer 2012 on whether to launch a joint CFR-HIA program in London. If CFR decides to proceed, it will submit a separate grant proposal to the Robina Foundation in time for consideration at its August Board meeting. CFR estimates that a joint CFR-HIA program in the United Kingdom would cost \$250,000 per year.

2. An Expanded Franklin Williams Internship Program

The Franklin Williams Internship Program targets minority students who are in their junior year and above, with the aim of helping them to gain exposure, knowledge, and skills as a foundation for future work in the foreign policy field. (See Appendix B.) Students selected as Franklin William interns serve under the mentorship of a current CFR fellow or programmatic director. In such a capacity, interns work on cutting-edge research, attend CFR General Meetings and Roundtables, participate in CFR's professional development programming for junior staff, expand their knowledge of international affairs, and learn about the multitude of different foreign policy career paths. CFR currently takes on

two Franklin Williams interns each year, and they each spend one academic semester in residence at CFR.

The Franklin Williams internship is paid, thereby enabling students of modest means to take the internship. With an expanded Franklin Williams Internship Program, CFR would select one additional student for each of three semesters (fall, spring, and summer), thereby creating three new internship opportunities each year. As is the case with the CFR-sponsored students participating in HIA summer programs and for the same reasons, CFR would actively work to include its Franklin Williams interns in the activities of the International Career Advancement Association and encourage members of the International Career Advancement Association to serve as their mentors.

CFR would continue its past practice of aggressively marketing the Franklin Williams internship to a wide range of institutions to attract the best candidates. CFR posts the internship opportunity on its award-winning website, CFR.org, as well as distributes it through a variety of listservs that target underrepresented college-age populations. With the rise of social media, the internship opportunity will in the future also be announced on James M. Lindsay's CFR blog, *The Water's Edge*, as well as on his Twitter feed. CFR already distributes internship brochures to a wide range of schools, including historically black universities and colleges as well as colleges with large Hispanic populations. CFR also distributes copies of the internship brochure at various international affairs conferences such as the International Studies Association.

3. Partnership with the International Career Advancement Association

The International Career Advancement Association (ICAA) is the alumni association of the International Career Advancement Program, which seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. (See Appendix C.) As such, ICAA constitutes the most diverse and robust network of people of color working across every sector in international affairs. Its participants are identified as "rising stars" early on in their careers, and many of them now hold senior foreign policy positions.

CFR proposes to partner with ICAA to open its annual conference in Washington, DC, to include a broader minority audience beyond its alumni group. The goal would be to create a more extensive networking opportunity for the participants, as well as to have a substantive discussion of foreign policy issues that would take advantage of the expertise of fellows in CFR's David Rockefeller Studies Program. A CFR-ICAA partnership would complement the proposed CFR-HIA partnership and the expanded Franklin Williams internship. Where HIA and the Franklin Williams internship target current college students and recent graduates, ICAA targets mid-career professionals. As previously noted, CFR would actively work to involve students who have participated in the CFR-HIA program or served as Franklin Williams interns in the work of the ICAA, expanding the network and creating durable mentorships that would over time become a self-sustaining and virtuous cycle.

CFR has extensive interaction with the ICAA. Several ICAA alumni have been CFR International Affairs Fellows, former CFR employees, and/or term members. CFR hosted the 2011 ICAA conference at its Washington, DC, office. The lack of dedicated funding and restrictions on the bond

covenant for the CFR building in Washington, DC, (which limits how many pro bono events CFR can sponsor for another organization) prevented CFR from hosting the conference in 2012.

Under the terms of the partnership with ICAA, CFR would host the day-long conference and identify non-ICAA participants, as well as contribute ideas for outside speakers to address the gathering. Upon completion of the conference, CFR would compile and publish an electronic rapporteur's report summarizing the main points of the discussion. CFR would also work with ICAA to create an electronic listserv through which participants could continue to collaborate and share news and ideas after the conference's completion.

4. Increased Participation in Career Fairs that Target Diverse Student Populations

CFR's Human Resources Program currently participates in career fairs in New York City and Washington, DC. CFR proposes to expand these efforts to cover participation in career fairs in other cities and on college campuses, especially historically black colleges and universities. CFR's participation in such career fairs would involve CFR Human Resources staff members as well as CFR fellows or research associates. The aim would be to draw attention to job opportunities at CFR specifically and in foreign policy more generally. CFR would also use its participation in career fairs to recruit students to apply for the proposed CFR-HIA partnership as well as to apply to the proposed Franklin Williams Internship Program. CFR anticipates participating in three "off-site" career fairs each year.

C. Measuring Success and Impact

Efforts to increase the number of people from underrepresented groups pursuing careers at foreign policy think tanks specifically and in international relations more generally will by definition yield demonstrable results only over decades. Nonetheless, CFR believes that evidence that the diversity initiative is likely to succeed could be found by monitoring several metrics over the term of the proposal:

- The quality of the students participating in the CFR-HIA partnership;
- The assessments of students who have participated in the CFR-HIA partnership of the CFRHIA program, both immediately upon finishing the program and a year or more after completing it;
- The number and quality of the students who apply for the proposed Franklin Williams Internships;
- The assessments of Franklin William interns of the benefits of the internship program, both immediately after completing the internship and a year or more after completing the internship.
- The number and background of participants in the CFR-ICAA conference, the development of mentorships between ICAA members on the one hand and CFR-HIA alumni and Franklin Williams interns on the other, and the success of building post-conference networks;
- The number of students who attend CFR presentations at off-site career fairs.

CFR would track each of these indicators and adjust its efforts in light of the feedback it receives. CFR conducts systematic exit assessments of all departing CFR staff as a matter of standard operating procedure. CFR would also work with its various partners in the expanded diversity initiative to track the initiative's longer term impact. HIA in particular has a long history of soliciting feedback from participants in its programs. HIA continues its assessments after the completion of the summer program, as HIA works to keep alumni of its programs involved in its post-program activities. Where necessary, CFR would refine and improve the expanded diversity initiative based on the feedback it receives from its review process.

In addition to monitoring the progress of the expanded diversity initiative on its own and in conjunction with its various partners, CFR would commission an external review committee in year three to review the overall initiative. The external review would be modeled along the lines of the external review that CFR commissioned in 2011 for the International Institutions and Global Governance Program. CFR would provide the external review committee members with the data that it and its partners have compiled on the initiative's effectiveness. CFR would work diligently with committee members to identify and secure any additional information they might need, which could extend to observing the various programs in action. The external review committee's findings and recommendations would heavily influence the proposal that CFR would submit to the Robina Foundation to fund years four and five of the expanded diversity initiative.

D. Long-Term Vision

CFR approaches its expanded diversity initiative with great humility. Numerous factors explain the relative dearth of African Americans, Hispanics, and other underrepresented minorities in American think tanks and in the U.S. foreign policy community more broadly. Many of these factors, especially those dealing with college and graduate school recruitment and training, lie beyond CFR's capacity to influence. Nonetheless, with the Robina Foundation's support, CFR believes that it can use its unique strengths and experience to challenge the status quo and attract minority students in larger numbers to the foreign policy field. The partnerships that CFR seeks to develop and extend would create a unique opportunity to encourage and sustain the careers of minority students and mid-career professionals in international affairs, as well as strengthen the network of students and professionals working in the foreign policy arena. CFR is grateful for the Robina Foundation's strong interest in the diversity challenge as well as for encouraging and considering CFR's proposal for its expanded diversity initiative.

Appendix A

Humanity in Action

Humanity in Action (HIA) is an international organization that educates, inspires and connects a global network of university students and young professionals committed to promoting human rights, diversity and active citizenship in their own communities and around the world.

HIA has educated over 1,100 young leaders in their 20s and 30s who now form a diverse international network. It contributes in innovative ways to advance human rights and democratic freedoms.

HIA's annual fellowship programs bring together more than 100 European and American university students and young professionals each summer in Denmark, France, Germany, Poland and the Netherlands to discuss, learn and research in international groups. HIA Fellows meet leading experts and activists to study historical and contemporary challenges to minority rights. Fellows write research-based articles and develop teaching tools to share what they learned in their programs. HIA supports all Fellows financially for the duration of their programs, allowing for the merit-based selection of diverse applicants.

HIA also provides professional development opportunities. It maintains an international network of students, young professionals, established leaders, experts and partners for which it organizes a range of educational and career opportunities, including seminars, workshops, study trips and fellowship positions at leading civic and political institutions, such as the European Parliament, U.S. Congress, and the International Criminal Tribunal for the Former Yugoslavia. These opportunities encourage emerging leaders to develop their professional abilities and introduce established leaders to the ideas of the younger generation.

HIA's network of leaders is a valuable resource to policy-makers, diplomats, educators, business leaders and civic-minded individuals and organizations. By the end of the decade, HIA will connect over 2,500 professionals working in all sectors, on a range of international and human rights issues, in countries around the world.

HIA is a non-profit, non-partisan organization with governing and advisory Boards in Bosnia Herzegovina, Denmark, France, Germany, the Netherlands, Poland and the United States. HIA's international headquarters is in New York City. Major supporters of HIA have included the Ford Foundation, Mellon Foundation, the Richard and Rhoda Goldman Fund, Foundation Remembrance, Responsibility and Future (EVZ), the Dutch Ministry for Health, Welfare and Sport and the U.S. Department of State. Over 12 years, HIA has raised more than \$12 million for its work.

Appendix B

The Franklin Williams Internship

The Franklin Williams Internship, named after the late Ambassador Franklin H. Williams, has been established for undergraduate and graduate students who have a serious interest in international relations. The goal of the internship is to create opportunities for minority students to develop their knowledge and leadership abilities as a foundation for future work in the foreign policy arena.

Ambassador Williams had a long career of public service, including serving as the former American Ambassador to Ghana, as well as the former Chairman of the Board of Trustees of Lincoln University, one of the country's historical black colleges. He was also a Director of the Council on Foreign Relations, where he made special efforts to encourage the nomination of black Americans to membership.

CFR selects two individuals each year as Franklin Williams interns to work in CFR's New York City headquarters. The length of the internship typically corresponds with an academic semester. The intern works closely with a Program Director or Fellow in either the Studies or Meetings Program. He or she is involved with program coordination, substantive and business writing, research, and budget management. In addition, the intern is encouraged to attend CFR's extensive meetings programs and participate in informal training designed to enhance management and leadership skills. The selected intern is required to make a commitment of at least 16 hours per week, and she or he is paid \$10 an hour. The selected intern for the summer term may choose to make a full-time commitment, if he/she has the availability.

CFR accepts applications all year. There are no deadlines. Candidates should be currently enrolled in either their junior year of an undergraduate program or in a graduate program in the area of international relations or a related field. They should have a record of high academic achievement, proven leadership ability, and previous related internship or work experience.

Appendix C

International Career Advancement Association

The International Career Advancement Association (ICAA) is a non-profit organization set up by alumni of the International Career Advancement Program (ICAP) to continue to pursue the goals of diversity and quality in U.S. leadership, to help organize the various activities of the alumni and to extend support and participation in activities to mid-career professionals who share the ICAP vision. To give organized support and greater permanence to these follow-up activities, the ICAA organizes occasional policy forums, career workshops, social events and other activities to reinforce the mutual support group and mentoring that are part of the ICAP experience. The ICAA also helps in fund raising and providing other support for the continuation of ICAP.

The purpose of ICAP is to help bring greater diversity to the staffing of senior management and policy-making positions in international public service, both in the government and for private nonprofit organizations. Its goal is to assist highly promising mid-career professionals from underrepresented groups in advancing to more senior positions in international affairs.

ICAP is based on the conviction that the expanding diversity of U.S. society should be reflected in its leadership. There are some programs designed to increase the pool of minorities with credentials for successful public service and international careers. These serve an important role. However, increasing the pool of talented professionals from underrepresented groups with graduate credentials and an interest in international affairs does not necessarily lead to diversity at senior levels. We need to take steps to assist and mentor minority recruits to rise to the highest levels of international public service. ICAP is designed to facilitate this goal.

During its annual week-long seminar, ICAP brings together mid-career professionals from underrepresented groups with senior officials, faculty and staff at the Aspen Institute and then follows the program with additional activities designed to reinforce ICAP's impact. The beautiful mountain setting of the week-long seminar, away from the office and the constant pressures of work, enables participants to focus on the program, reflect on their careers and develop relationships within the group. The ICAP seminar at Aspen includes lectures, seminars, discussions, workshops, and informal events. In addition to these aspects of the seminar, each mid-career participant meets with a career counselor for individual career discussions, advice and planning.

CFR's Expanded Diversity Initiative in Foreign Policy

March 13, 2012

	Total	Year 1	Year 2	Year 3	Total 4	Year 5
		FY13	FY14	FY15	FY16	FY17
Item of Expenditure	Total (Budget)					
1 Partnership with Humanity in Action						
<i>Humanity in Action's Summer Program</i>						
Minority participation in summer internship program	584,490	80,000	122,400	124,848	127,345	129,897
HIA programmatic and administrative costs	286,222	55,000	56,100	57,222	58,366	59,534
HIA program assessment costs	26,020	5,000	5,100	5,202	5,306	5,412
HIA recruitment travel	54,164	10,000	10,400	10,816	11,249	11,699
Total	950,896	150,000	194,000	198,088	202,266	206,542
<i>Two-Day Workshop</i>						
Staff support	47,357	9,100	9,282	9,468	9,657	9,850
Meals, catering, set-up expenses for workshop	43,060	8,000	8,290	8,630	8,925	9,215
Travel for 30 student participants to DC (air, hotel, meals, transport)	207,850	39,000	40,250	41,525	42,875	44,200
Travel for 3 CFR fellows from NY to DC (air, hotel, meals, transport)	17,105	3,210	3,315	3,420	3,525	3,635
HIA staff travel expenses for CFR DC workshop	8,124	1,500	1,560	1,622	1,687	1,755
Miscellaneous cost (bus for DC group travel)	5,000	900	950	1,000	1,050	1,100
Total	328,496	61,710	63,647	65,665	67,719	69,755
TOTAL Partnership with Humanity in Action	1,279,392	211,710	257,647	263,753	269,985	276,297
2 Expanded Franklin Williams Internship Program						
Intern compensation (3)	135,304	26,000	26,520	27,050	27,591	28,143
Travel for 3 interns (air, hotel, meals, transport)	17,250	3,300	3,375	3,450	3,525	3,600
Recruiting costs	4,683	900	918	937	955	973
Intern brochure (printing and mailing)	2,750	500	525	550	575	600
Total	159,987	30,700	31,338	31,987	32,646	33,316
TOTAL Expanded Franklin Williams Internship Program	159,987	30,700	31,338	31,987	32,646	33,316
3 Partnership with the International Career Advancement Association						
Meals, catering, set-up expenses for workshop	88,208	16,950	17,289	17,635	17,987	18,348
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	28,622	5,500	5,610	5,722	5,837	5,953
Rapporteur report	5,000	1,000	1,000	1,000	1,000	1,000
Total	121,831	23,450	23,899	24,357	24,824	25,301
TOTAL Partnership with the International Career Advancement Association	121,831	23,450	23,899	24,357	24,824	25,301
4 CFR Participation in Career Fairs						
Travel for 2 CFR senior staff to 3 career fairs (air, hotel, meals, transport)	68,686	12,825	13,267	13,742	14,197	14,655
Staff support (3)	30,000	6,000	6,000	6,000	6,000	6,000
Total	98,686	18,825	19,267	19,742	20,197	20,655
TOTAL Increased Participation in Career Fairs	98,686	18,825	19,267	19,742	20,197	20,655
5 Program Management						
<i>Program Management Salaries and Benefits</i>						
Core Human Resources Program staff	278,961	53,605	54,677	55,770	56,886	58,023
Total	278,961	53,605	54,677	55,770	56,886	58,023
TOTAL Program Management	278,961	53,605	54,677	55,770	56,886	58,023
6 External Review Committee	30,000	0	0	30,000	0	0
TOTAL DIRECT COSTS	1,968,856	338,290	386,828	425,608	404,538	413,592
Indirect Costs at 15% of Direct Costs (excluding minority participation in summer internship program)	207,655	38,744	39,664	45,114	41,579	42,554
TOTAL PROJECT COST	2,176,511	377,034	426,492	470,722	446,117	456,146

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Palliative Care — A Shifting Paradigm

Amy S. Kelley, M.D., M.S.H.S., and Diane E. Meier, M.D.

Palliative care focuses on relieving suffering and achieving the best possible quality of life for patients and their family caregivers. It involves the assessment and treatment of symptoms; support for decision making and assistance in matching treatments to informed patient and family goals; practical aid for patients and their family caregivers; mobilization of community resources to ensure a secure and safe living environment; and collaborative and seamless models of care across a range of care settings (i.e., hospital, home, nursing home, and hospice). Palliative care is provided both within the Medicare hospice benefit (hospice palliative care) and outside it (nonhospice palliative care). Nonhospice palliative care is offered simultaneously with life-prolonging and curative therapies for persons living with serious, complex, and life-threatening illness. Hospice palliative care becomes appropriate when curative treatments are no longer beneficial, when the burdens of these treatments exceed their benefits, or when patients are entering the last weeks to months of life.¹

Comprehensive palliative care services integrate the expertise of a team of providers from different disciplines to address the complex needs of seriously ill patients and their families. Members of a palliative care team typically include professionals from medicine, nursing, and social work, with additional support from chaplaincy and professionals in nutrition, rehabilitation, pharmacy, and other professional disciplines, as needed. These programs are now available at more than 80% of large U.S. hospitals (those

with more than 300 beds), where most Americans receive their care during complex and advanced illness.²

Despite the increasing availability of palliative care services in U.S. hospitals and the body of evidence showing the great distress to patients caused by symptoms of the illness,³ the burdens on family caregivers,⁴ and the overuse of costly, ineffective therapies during advanced chronic illness,⁵ the use of palliative care services by physicians for their patients remains low. Physicians tend to perceive palliative care as the alternative to life-prolonging or curative care — what we do when there is nothing more that we can do — rather than as a simultaneously delivered adjunct to disease-focused treatment.⁶

In this issue of the *Journal*, Temel and colleagues challenge this prevailing notion of palliative care by presenting the results of a randomized, controlled trial of early palliative care in addition to standard oncologic care for patients with newly diagnosed metastatic non-small-cell lung cancer.⁷ A total of 151 subjects were recruited and enrolled in the study at a single academic thoracic oncology practice. Health-related quality of life and mood were measured at baseline and at 12 weeks. In addition to standard oncologic care, patients in the intervention group met with a palliative care clinician at the time of enrollment and at least monthly thereafter. As compared with the standard care group, the intervention group had better quality of life, lower rates of depression, and a 2.7-month survival benefit.



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ORIGINAL ARTICLE

Early Palliative Care for Patients with Metastatic Non–Small-Cell Lung Cancer

Jennifer S. Temel, M.D., Joseph A. Greer, Ph.D., Alona Muzikansky, M.A., Emily R. Gallagher, R.N., Sonal Admane, M.B., B.S., M.P.H., Vicki A. Jackson, M.D., M.P.H., Constance M. Dahlin, A.P.N., Craig D. Blinderman, M.D., Juliet Jacobsen, M.D., William F. Pirl, M.D., M.P.H., J. Andrew Billings, M.D., and Thomas J. Lynch, M.D.

ABSTRACT

BACKGROUND

Patients with metastatic non–small-cell lung cancer have a substantial symptom burden and may receive aggressive care at the end of life. We examined the effect of introducing palliative care early after diagnosis on patient-reported outcomes and end-of-life care among ambulatory patients with newly diagnosed disease.

METHODS

We randomly assigned patients with newly diagnosed metastatic non–small-cell lung cancer to receive either early palliative care integrated with standard oncologic care or standard oncologic care alone. Quality of life and mood were assessed at baseline and at 12 weeks with the use of the Functional Assessment of Cancer Therapy–Lung (FACT-L) scale and the Hospital Anxiety and Depression Scale, respectively. The primary outcome was the change in the quality of life at 12 weeks. Data on end-of-life care were collected from electronic medical records.

RESULTS

Of the 151 patients who underwent randomization, 27 died by 12 weeks and 107 (86% of the remaining patients) completed assessments. Patients assigned to early palliative care had a better quality of life than did patients assigned to standard care (mean score on the FACT-L scale [in which scores range from 0 to 136, with higher scores indicating better quality of life], 98.0 vs. 91.5; $P=0.03$). In addition, fewer patients in the palliative care group than in the standard care group had depressive symptoms (16% vs. 38%, $P=0.01$). Despite the fact that fewer patients in the early palliative care group than in the standard care group received aggressive end-of-life care (33% vs. 54%, $P=0.05$), median survival was longer among patients receiving early palliative care (11.6 months vs. 8.9 months, $P=0.02$).

CONCLUSIONS

Among patients with metastatic non–small-cell lung cancer, early palliative care led to significant improvements in both quality of life and mood. As compared with patients receiving standard care, patients receiving early palliative care had less aggressive care at the end of life but longer survival. (Funded by an American Society of Clinical Oncology Career Development Award and philanthropic gifts; ClinicalTrials.gov number, NCT01038271.)

From Massachusetts General Hospital, Boston (J.S.T., J.A.G., A.M., E.R.G., V.A.J., C.M.D., J.J., W.F.P., J.A.B.); the State University of New York, Buffalo (S.A.); Adult Palliative Medicine, Department of Anesthesiology, Columbia University Medical Center, New York (C.D.B.); and Yale University, New Haven, CT (T.J.L.). Address reprint requests to Dr. Temel at Massachusetts General Hospital, 55 Fruit St., Yawkey 7B, Boston, MA 02114, or at jtemel@partners.org.

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By R. Sean Morrison, Jessica Dietrich, Susan Ladwig, Timothy Quill, Joseph Sacco, John Tangeman, and Diane E. Meier

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Foundation, Inc.

THE CARE SPAN

Palliative Care Consultation Teams Cut Hospital Costs For Medicaid Beneficiaries

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ABSTRACT Patients facing serious or life-threatening illnesses account for a disproportionately large share of Medicaid spending. We examined 2004–07 data to determine the effect on hospital costs of palliative care team consultations for patients enrolled in Medicaid at four New York State hospitals. On average, patients who received palliative care incurred \$6,900 less in hospital costs during a given admission than a matched group of patients who received usual care. These reductions included \$4,098 in hospital costs per admission for patients discharged alive, and \$7,563 for patients who died in the hospital. Consistent with the goals of a majority of patients and their families, palliative care recipients spent less time in intensive care, were less likely to die in intensive care units, and were more likely to receive hospice referrals than the matched usual care patients. We estimate that the reductions in Medicaid hospital spending in New York State could eventually range from \$84 million to \$252 million annually (assuming that 2 percent and 6 percent of Medicaid patients discharged from the hospital received palliative care, respectively), if every hospital with 150 or more beds had a fully operational palliative care consultation team.

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Medicaid spending, excluding the \$87 billion in relief provided through the American Recovery and Reinvestment Act of 2009, increased by 9 percent (\$18 billion) in 2009—the highest rate of growth in more than a decade.¹ This increase occurred even though nearly every state adopted at least one new Medicaid policy that resulted in reductions to patient benefits and payments to health care providers.² It is estimated that annual Medicaid spending will increase from \$339 billion in 2010 to \$458 billion in 2020.^{1,3}

The national economy is expected to improve—although slowly—but state revenues are not. This means that enrollment in Medicaid, which swelled during the economic downturn, is likely to remain high. States will continue to be

challenged to maintain existing eligibility requirements, benefit levels, and provider payments.²

The escalating costs of the Medicaid system endanger not only the health of its enrollees, but also the health of the country's economy. Indeed, in its report, *The Budget and Economic Outlook: Fiscal Years 2010 to 2020*, the Congressional Budget Office cites federal health care spending—which includes Medicare as well as Medicaid—as the “single greatest threat” to the stability of the US budget.¹

Past and present efforts to reduce Medicaid spending have focused on reducing provider reimbursement, tightening and reducing eligibility for programs, deploying Medicaid managed care programs with capitation, and devising formulary restrictions.³ Although Medicaid



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State Sentencing & Corrections Reform: A Judicial Perspective

Judge Roger K. Warren (Ret.)
President Emeritus
National Center for State Courts

Robina Foundation
Santa Barbara, California
February 14, 2012

Criminal Justice Reform

	Robina Institute	Justice Reinvestment
Who	Law Professors	Policy Makers, Data Analysts, TA Providers
What	Criminal Justice Theory & Policy	Corrections Reform
Goals	Fairness Proportionality Disparity Reduction Rationality	Reduce Prison Costs Reduce Recidivism Effectiveness High Benefit/Cost Ratio

Criminal Justice Reform

	NCSC
Who	Judges, Researchers, Probation Leaders
What	Sentencing & Probation Reform
Goals	Recidivism Reduction Offender Accountability

Criminal Justice Reform

	Robina Institute	Justice Reinvestment
Focus	Theory	Data/Experience
	General	Specific/Tailored
	Penalties/Offenses	Interventions/Offenders
	Long Term	Short Term

Criminal Justice Reform

	NCSC
Focus	Research
	Application of Research to Practice
	Penalties & Interventions
	Mid Term

Criminal Justice Reform

	Robina Inst.	Justice Reinvestment
Focus	Structure/Inputs	Processes/Outcomes
E.G.	Model Penal Code Sent. Commissions Guidelines Commissions Conferences Articles/Reports Recommendations	EB Interventions & Responses to Violations Risk/Needs Assessment Performance Incentives Swift and Certain Sanctions Penalties Review

Criminal Justice Reform

	NCSC
Focus	Processes/Outcomes
E.G.	EB Interventions & Responses to Violations Risk/Needs Assessment Performance Incentives Swift and Certain Sanctions Application of Principles of EBP to Sentencing Reducing Use of Mandatory Minimums

"Getting Smarter About Sentencing" NCSC's National Sentencing Reform Project

- CCJ-COSCA : direction & support (2006)
 - Survey of court leaders
 - Public opinion survey
- Seminal article on EBS (2007)
- Publications, research, training, and TA on EBS & performance incentive funding ('07-'12)
- Partner: Pew Public Safety Perf. Project ('07-'12)
- Model judicial curricula on EBS (2009)
- Guidelines on Use of Risk/Needs Assessment Information at Sentencing (2011)

State Chief Justices

Top two sentencing reform objectives:

- Reduce recidivism through expanded use of evidence-based practices, programs that work, and offender risk and needs assessment tools
- Promote the development, funding, and utilization of community-based alternatives to incarceration for appropriate offenders

State Chief Justices

Top concerns of state trial judges
in felony cases:

1. High rates of recidivism
2. Ineffectiveness of traditional probation supervision in reducing recidivism
3. Absence of effective community corrections programs
4. Restrictions on judicial discretion

"What is done [today] in corrections would be grounds for malpractice in medicine."

(2002) Latessa, Cullen, and Gendreau,
"Beyond Correctional Quackery..."

Evidence-Based Practice (EBP) & Evidence-Based Sentencing (EBS)

- EBP: corrections interventions demonstrated by scientific research to reduce recidivism
- EBS: application of Principles of EBP to the sentencing process for the purpose of reducing recidivism and holding offenders accountable

EBS & Purposes of Sentencing

1. "Just Deserts:" penalty or punishment proportionate to the gravity of the offense & blameworthiness of the offender
2. Public Safety
 - Rehabilitation
 - Specific Deterrence
 - Incapacitation/Control
 - General Deterrence
3. Restitution/Restoration

Risk
Reduction &
Management

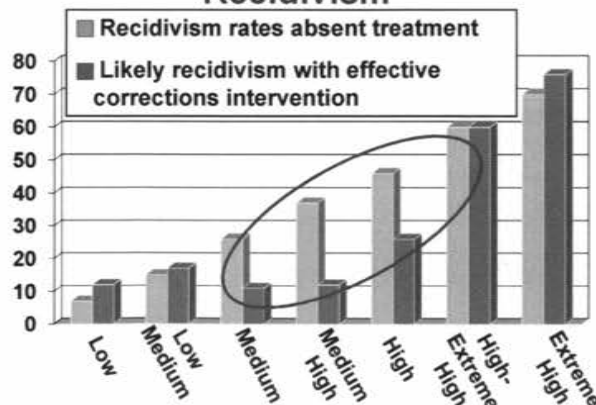
Principles of EBP

- Risk Principle (Who)
- Needs Principle (What)
- Treatment Principle (What Works)

Risk Principle (Who)

The level of supervision or services should be matched to the risk level of the offender, i.e., more intensive supervision and services should be reserved for higher risk offenders

Impact of Risk Level on Recidivism



Needs Principle (What)

The targets for intervention should be those offender characteristics that have the most effect on the likelihood of re-offending

Risk of Heart Attack

- 1) Elevated LDL and low HDL levels
- 2) Smoking
- 3) Diabetes
- 4) Hypertension
- 5) Psychosocial (i.e., stress/depression)
- 6) Abdominal obesity
- 7) Failure to eat fruits and vegetables
- 8) Lack of exercise

Dynamic Risk Factors (Criminogenic Needs)

- Anti-social attitudes
- Anti-social friends and peers
- Anti-social personality pattern
- Family/marital
- Substance abuse
- Education
- Employment
- Anti-social leisure activities

Anti-Social Personality Pattern

- Lack of self-control
- Risk taking
- Impulsivity
- Poor problem solving
- Lack of empathy
- Narcissism
- Anger and hostility

Actuarial Risk/Needs Assessment

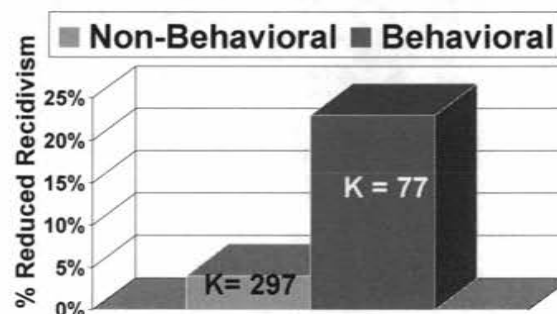
- The engine that drives evidence-based recidivism reduction strategies
- Much more accurate in predicting recidivism
- Identifies dynamic risk factors
- Risk is dynamic; risk scores are static
- Intended to inform not replace professional judgment

Treatment Principle (What Works)

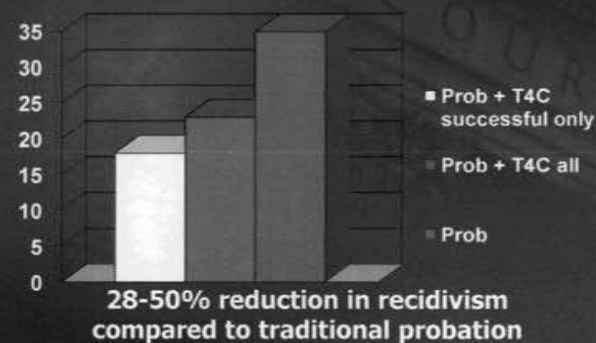
The most effective interventions in reducing recidivism among medium and high risk offenders:

- target the most critical dynamic risk factors
- utilize a cognitive behavioral approach, i.e.
 - positive reinforcement & incentives
 - swift, certain, & proportionate sanctions
 - skill development
 - address criminal thinking patterns

Behavioral v. Non-Behavioral



T4C: Recidivism Rates



What Doesn't Work: Traditional Sanctions Alone

- Punishment, sanctions, or incarceration
- Specific deterrence, or fear-based programs (e.g. Scared Straight)
- Physical challenge programs
- Military models of discipline and physical fitness (e.g. Boot Camps)
- Electronic monitoring
- Intensive supervision

Potential Areas of Collaboration

- Incorporation of Risk/Needs Assessment Information into State Sentencing Guidelines
- EB Responses to Probation Violations
- Assessment-Driven Approaches to Drug & Mental Health Offenders
- Reducing Use of Mandatory Minimums
- Reducing Racial/Ethnic Disparities
- Pre-Trial Release

State Sentencing & Corrections Reform: A Judicial Perspective

Judge Roger K. Warren (Ret.)
President Emeritus
National Center for State Courts

Robina Foundation
Santa Barbara, California
February 14, 2012

Palliative Care 2012: Matching Care to Our Patient's Needs

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www.getpalliativecare.org

Health care in the U.S.

- What are the ends of medicine?
– What are they in the U.S.?
- What should they be? "To cure sometimes, relieve often, comfort always."
- The problem: "The nature of our healthcare system- specifically its reliance on unregulated fee-for-service and specialty care- ...explains both increased spending and deterioration in survival."

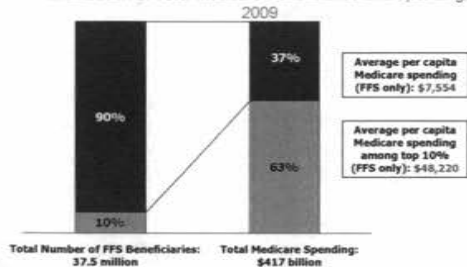
Muenning PA, Gled SA. What changes in survival rates tell us about U.S. health care. Health Affairs 2010;11:1-9.

What is this money buying us?

Organization for Economic Development and Cooperation
Among OECD member nations, the United States has the:

- Lowest life expectancy at birth.
- Highest mortality preventable by health care.

Target Population for Palliative Care Distribution of Total Medicare Beneficiaries and Spending, 2009



NOTE: FFS is fee-for-service. Includes noninstitutionalized and institutionalized Medicare fee-for-service beneficiaries, excluding Medicare managed care enrollees.
SOURCE: Kaiser Family Foundation analysis of the CMS Medicare Current Beneficiary Survey Cost & Use file, 2009.

Core Principle

- "The secret of the care of the patient is caring for the patient." Francis Peabody, Harvard University, 1921

How They Think About it in Washington:

The Value Equation-1

$$\text{Value of health care} = \frac{\text{Quality}}{\text{Cost}}$$

Numerator problems

- 100,000 deaths/year from medical errors
- Millions more harmed by overuse, underuse, and misuse
- Fragmentation
- Medical practice based on evidence <50% of the time
- 50 million Americans (1/8th) without access
- U.S. ranks 40th in quality worldwide

The Ends of Medicine: Our Professional Obligations

"I will follow that system of regimen which, according to my ability and judgment, I consider for the benefit of my patients"

-Oath of Hippocrates, 400 BC

"May I never see in the patient anything but a fellow creature in pain."

-Maimonides, 12th century AD



The Value Equation- 2

$$\text{Value of health care} = \frac{\text{quality}}{\text{cost}}$$

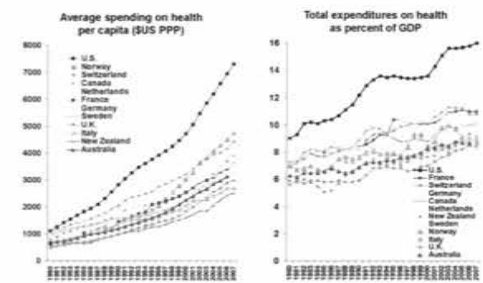
Denominator problems

- Insurance premiums increased by 181% in the last 10 years.
- U.S. spending 17.9% GDP, >\$8,400 per capita/yr
- Nearing 30% of total State spending
- Despite high spending, 15% of our population has no insurance, and half are underinsured in any given year.
- Health care spending is the #1 threat to the American economy and way of life.

Objectives

- What's wrong with the U.S health care system?
- How can it be fixed?
- How is palliative care important to improving value (quality and cost) in health care reform?
- Changing the delivery system to improve access to quality palliative care in and beyond the hospital

Cost: International Spending on Health, 1980-2007



Source: OECD Health Data 2009 (June 2009)

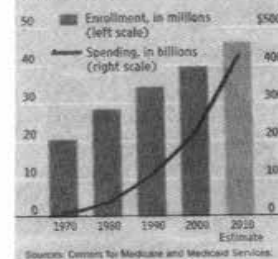
Cost: Hospital Spending per Discharge, 2009 Adjusted for Cost of Living



Source: OECD Health Data 2009 (June 2009)

Burden of Care

Growth in Medicare enrollment and spending



Source: Centers for Medicare and Medicaid Services

Wall Street Journal
page 1
Sept. 18, 2003

Palliative Care is Central to Improving the Value Equation

- Because our patient population is driving most of the spending



Medical Spending in the U.S. \$2.9 trillion in 2010

- The costliest 5% account for 50% of all healthcare spending

Medicare Payment Policy: Report to Congress. Medpac 2009 www.medpac.gov
Health Affairs 2005;24:903-14.
CBO May 2009 High Cost Medicare Beneficiaries www.cbo.gov
nchc.org/facts/cost.html



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Why Palliative Care is Important to Improving Value in Health Care

Value = Quality/Cost

- Improves patient quality/length of life
– Reduces pain, depression and other symptoms; in several studies *prolongs* life
- Improves family satisfaction and well-being
- Reduces resource utilization and costs
....and does so for the sickest 5%-10% of the population driving over half of total healthcare costs.



"It is borinlike in appearance, but I need to order a battery of tests."

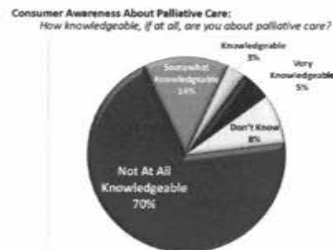
1. Improving Access: Lack of Public Awareness

Consumers' familiarity with "palliative care" is low, but most consumers have direct experience with serious illness.

Regence Foundation and National Journal Polling, 2/2011 and CAPC and ACS POS Polling 6/2011

Yet, there is strong consumer "demand" for palliative care.

The Good News- The Public Has Never Heard of Palliative Care



Source: "Data from a Public Opinion Strategies national survey of 800 adults age 18+ conducted June 5-8, 2011."

Palliative Care Language Endorsed by the Public

CAPC-ACS sponsored POS Polling Data June 2011

"Palliative care is specialized medical care for people with serious illnesses. This type of care is focused on providing patients with relief from the symptoms, pain, and stress of a serious illness - whatever the diagnosis.

The goal is to improve quality of life for both the patient and the family. Palliative care is provided by a team of doctors, nurses, and other specialists who work with a patient's other doctors to provide an extra layer of support. Palliative care is appropriate at any age and at any stage in a serious illness, and can be provided together with curative treatment."

After being given a definition of "palliative care," consumers would like it to be more available. Regence/National Journal Poll

It is important that patients and their families be educated about palliative care and end-of-life care options available to them along with curative treatment

**97%
AGREE**

How important it that these health and life issues be a top priority for the health care system in this country?

**96%
IMPORTANT**

Discussions about palliative care and end-of-life care treatment options should be fully covered BY HEALTH INSURANCE

**86%
AGREE**

Pol #1: n=1000 American Adults Age 18+ Feb 10-17-12 2011. MoE +/- 3.1%

Educating consumers is important, and they aren't hearing enough.

Also, once informed, feelings about palliative care are positive regardless of partisan affiliation.

Image of Palliative Care by Party Age 25+

	Democrats	Independents	Republicans	Tea Party Supporters
Mean Rating Score	76	69	73	72
% 75-100	63%	50%	60%	58%

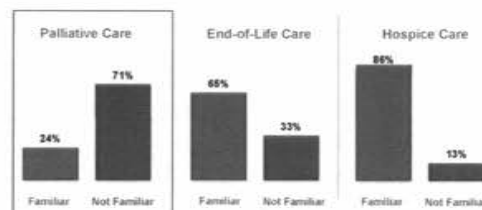
Personal experience – not partisan attitudes or religious behavior – drive opinions.

Note: I am going to read you some different words or phrases being used to describe health care today. Please pay careful attention as I read each one. Some of these might sound somewhat similar, but they are different. For each term, please rate your overall impression of the term using a scale of 1 (not at all important) to 10 (very important). You can use any number between 1 and 10 based on your own overall feeling or impression of the term.

Slide 46

Most consumers are not familiar with palliative care.

Now, I'd like to read you a list of some different terms related to health care and, for each one, please tell me how familiar you are with that term.



Pol #1: n=1000 American Adults Age 18+ Feb 10-17-12 2011. MoE +/- 3.1%

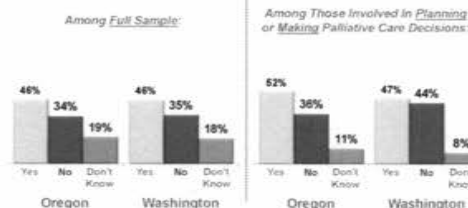
Exceptionally High Positives

CAPC-ACS sponsored POS Polling Data June 2011
Once informed, consumers are extremely positive about palliative care and want access to this care if they need it:

- ✓ 95% of respondents agree that it is important that patients with serious illness and their families be educated about palliative care.
- ✓ 92% of respondents say they would be likely to consider palliative care for a loved one if they had a serious illness.
- ✓ 92% of respondents say it is important that palliative care services be made available at all hospitals for patients with serious illness and their families.

Fewer than half believe that doctors and other providers do a good enough job of talking about the full range of palliative care options.

In your opinion, do you believe that doctors and other health care providers do a good enough job of talking with seriously ill patients about the full range of options available to them including palliative care alongside all other treatments?



Pol #1 & #2: n=1000 Registered Voters in OH, 800 Registered Voters in WA, June 15-18, 19-12 2011. MoE +/- 4%

Regardless of party, consumers see an important need for palliative care to be made available to patients with serious illness at all hospitals.

Importance of Palliative Care Being Made Available At All Hospitals

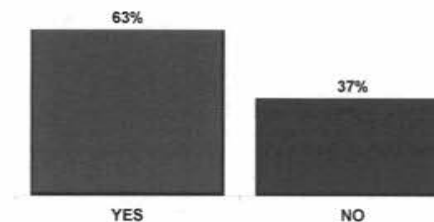
	Democrats	Independents	Republicans	Tea Party Supporters
Very important	78%	63%	55%	64%
Somewhat important	18%	23%	34%	27%
Not too/Not at all important	1%	10%	9%	8%

Thinking some more about palliative care: how important do you think it is that palliative care services be made available at all hospitals for patients with serious illness and their families?

Slide 47

BUT Most consumers have had some personal or family experience with palliative care, end-of-life care, or hospice.

Have you, personally, had experience with palliative care, end-of-life care, or hospice care either for yourself or a family member?



Pol #1: n=1000 American Adults Age 18+ Feb 10-17-12 2011. MoE +/- 3.1%

What do consumers believe to be true about palliative care?

Statements Tested:	Strongly Agree	Total Agree
It is important that patients with serious illness and their families be educated about palliative care options available to them together with curative treatment.	78%	95%
Palliative care is appropriate at any age and at any stage in a serious illness, and can be provided together with curative treatment.	73%	94%
Discussions about palliative care treatment options with a doctor should be fully covered by health insurance.	71%	86%
Discussions about palliative care treatment options with a doctor should be fully covered by Medicare.	60%	80%

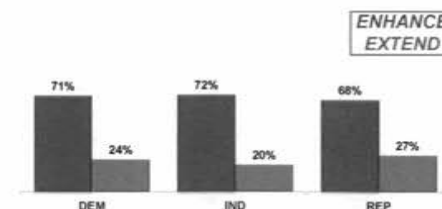
Slide 40

POS/CAPC/ACS
Biggest Concerns For Patients With Serious Illness:

Subsequent Line of Patient Concerns	Percentage
Doctors might not provide all of the treatment options or choices available	58%
Doctors might not talk and share information with each other	55%
Doctors might not choose the best treatment option for a seriously ill patient's medical condition	54%
Patients with serious illness and their families leave a doctor's office or hospital feeling unsure about what they are supposed to do when they get home	51%
Patients with serious illness and their families do not have enough control over their treatment options	51%
Doctors do not spend enough time talking with and listening to patients and their families	50%

Slide 44

Meanwhile, the partisan affiliations of consumer has no statistically significant impact on their views.



Pol #1: n=1000 American Adults Age 18+ Feb 10-17-12 2011. MoE +/- 3.1%

ENHANCE
EXTEND

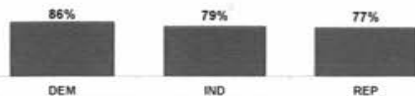
48

Likewise, the partisan affiliation of consumers has NO statistically significant impact on views re: Medicare coverage.

Now, please tell me whether you agree or disagree with the following statements regarding these health and life issues.

Discussions about palliative care and end-of-life care treatment options should be fully covered BY MEDICARE

**81%
AGREE**



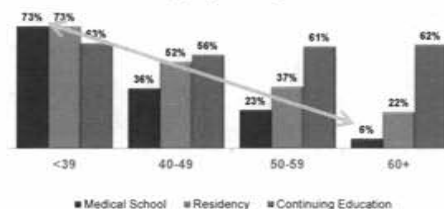
Pol #1: n=1000 American Adults Age 18+; Feb 16, 17, 19, 2011; MOE = +/- 3.1%

2. Improving Access: Professional Training

Physicians think palliative care is important...so why don't they refer?

Younger physicians are being exposed to information about palliative care in Med School at a considerably higher rate than their predecessors.

% "Great Deal" or "Some" Exposure to Palliative Care by Physician Age



50

Pol #4: n=500 board-certified U.S. physicians from ABIM master file; October 28-November 2, 2011

Physicians under age 40 are much more likely to be more familiar with palliative care.

3. Improving Access: Increasing Regulatory and Accreditation Requirements

- The Joint Commission:** Announced September 2011 release of a Palliative Care Advanced Certification Program.
- Commission on Cancer:** 2012 Standards now require access to palliative care as a condition of accreditation for cancer centers.
- NY State:** Mandates access to palliative care as a condition of participation in Medicaid in 2012.



Major Health Systems Get It

Making multimillion dollar investments in palliative care integration across settings:

- Partners Health System/ Harvard Medical School
- Clarion/ U. of Indiana Health System
- U. of Pittsburgh Health System
- Duke U. Health System
- North Shore-LIJ Health System
- Abbott-Northwestern!

Palliative care models are effective both inside and beyond the hospital...

Examples of creative approaches to person-centered palliative care, launched and proven effective by the private sector

Physicians are nearly unanimous in their belief that it is more important to enhance the quality of life versus extend life by any means.

Which statement comes closer to your point of view?



50

Pol #4: n=500 board-certified U.S. physicians from ABIM master file; October 28-November 2, 2011

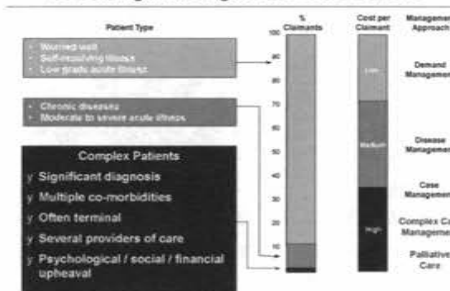
Physicians see some barriers to ensuring palliative care is available to those who want it.

Strategic Partnerships



Payer Perspective:

Care Management Targeted to Needs of Patients



Nearly all physicians agree that palliative care should be widely available and that patients should be informed about their options for care.

And, to what extent do you AGREE or disagree with the following statements

96% The health care system in this country should place a higher priority on providing palliative care to all patients who need it and want it

96% It is important that patients and their families be educated about palliative care and end-of-life care options available to them along with curative treatment

95% Palliative care should be available to all seriously ill patients who need it and want it and this treatment should be fully covered by health insurance

94% Palliative care should be available to all seriously ill patients who need it and want it and this treatment should be fully covered by Medicare

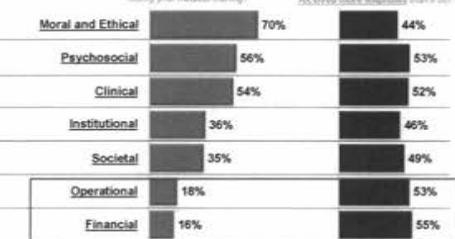
94% Palliative care should be available to all seriously ill patients who need it and want it and this treatment should be provided alongside curative intent treatment

50

Pol #4: n=500 board-certified U.S. physicians from ABIM master file; October 28-November 2, 2011

Physicians believe that palliative care training can be improved, particularly on operational and financial topics.

And, from what you recall, what specific aspects of Palliative Care training should be improved during your medical training?



50

Pol #4: n=500 board-certified U.S. physicians from ABIM master file; October 28-November 2, 2011

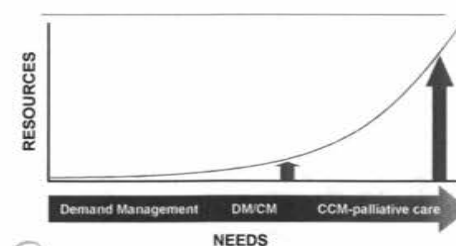
4. Improving Access: Lack of Supportive Delivery and Payment Policy

The window of opportunity for palliative care is wide-open:

- Accountable Care Organizations
- Patient Centered Medical Homes
- Bundled payments

Adding palliative care targeted to the highest cost highest risk populations to the specifications for these new delivery and payment models is key to success at improving quality and reducing cost.

Matching (Payer) Resources to Needs



Payers Have Skin in this Game

Highmark Introduces Advanced Illness Services Program

Aetna End of Life Care

Excelsus

Public Service Announcements on End-of-Life Care Earn Bronze Telly

RURAL PALLIATIVE CARE EMERGING AS A HEALTH CARE PRIORITY

Private Payer Led Initiatives, Examples

Highmark – BCBS in Pennsylvania	- Jan 1, 2011 New Program, "Advanced Illness Service" for Medicare Advantage - Up to 10 consultative/supportive visits - Providers + contracted hospice - Case Managers involved; social workers often provide care - Concurrent care, homebound not required - Physician attestation that it "would be no surprise if the patient died within the year." CPT II code 1150F
BCBS - Michigan	2011 "Physician Group Incentive Program" quality metrics for palliative care - Part of P4P incentive payments - Focus on commercial population - Coordination with CMS demonstration projects - Concurrent statewide Advance Care Planning initiative with MI AMA
AETNA – Nationwide	- Compassionate Care Program introduced 9/1/2009 - Enhanced hospice benefit, given at same time as curative treatments 12 month prognosis (vs. 6) - Elimination of limits on hospice

Common Features & Implications

Platform	Commonality & Implications
- Expand Hospice benefit (Aetna) - Lengthen timeline (12 mo vs. 6) - Allowing concurrent curative care	- Reduces barriers to early hospice use - Still tied to terminal diagnosis
- Adding outpatient/home services (PN) - Provided by hospice, but not hospice - Homebound criteria not required - Program limitations (up to xx visits)	- Gets supportive care to more people, earlier, tied to hospices meeting quality standards, program limits do not apply to palliative care - MD/NP visits - Still tied to terminal diagnosis
- Payment Mechanisms - Pay for Performance Incentives (MI) - Separate benefit or reimbursement stream (U-Care)	- P4P inclusion raises awareness, \$\$ - Separate benefit or reimbursement effective in support of creative service options by providing critical mass of \$\$ incentives
- Community engagement - Rural outreach (MN) - Public Awareness (NY) - Community initiatives for quality and advance directives / POLST (many communities)	All 3 approaches appropriate for many states; \$\$ support by payers critical move forward – ensures a focused, professional initiative – improves care "across the board", building base for benefit/program enhancements

Although the world is full of suffering, it is full also of the overcoming of it.

Helen Keller
Optimism 1903

**ROBINA FOUNDATION
FINANCIAL STATEMENTS
December 31, 2011
(Compiled)**

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

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Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

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Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

ACCOUNTANTS' COMPILATION REPORT

To the Board of Directors

ROBINA FOUNDATION

We have compiled the accompanying statements of financial condition - excise tax basis of Robina Foundation as of December 31, 2011 and 2010, and the related statements of activities - excise tax basis for the periods indicated and the accompanying supplementary information - excise tax basis as listed in the accompanying index, which is presented only for supplementary analysis purposes. We have not audited or reviewed the accompanying financial statements and supplementary information and, accordingly, do not express an opinion or provide any assurance about whether the financial statements and supplementary information are in accordance with the excise tax basis of accounting.

Management is responsible for the preparation and fair presentation of the financial statements and supplementary information in accordance with the excise tax basis of accounting and for designing, implementing, and maintaining internal control relevant to the preparation and fair presentation of the financial statements and supplementary information.

Our responsibility is to conduct the compilation in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. The objective of a compilation is to assist management in presenting financial information in the form of financial statements without undertaking to obtain or provide any assurance that there are no material modifications that should be made to the financial statements and supplementary information.

Management has elected to omit substantially all of the disclosures ordinarily included in financial statements prepared on the excise tax basis of accounting. If the omitted disclosures were included in the financial statements, they might influence the user's conclusion about the Foundation's financial position, results of operations and cash flows. Accordingly, these financial statements are not designed for those who are not informed about such matters. We are not independent with respect to Robina Foundation.

Minneapolis, Minnesota
January 21, 2012

Robina Foundation
STATEMENTS OF FINANCIAL CONDITION
(Excise Tax Basis)
December 31, 2011 and 2010

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

	<u>2011</u>	<u>2010</u>
ASSETS		
CURRENT ASSETS		
US Bank checking account	\$ 3,101,392	\$ 5,269,343
Prepaid federal excise tax	<u>0</u>	<u>0</u>
TOTAL CURRENT ASSETS	<u>3,101,392</u>	<u>5,269,343</u>
 INVESTMENTS	 <u>78,943,650</u>	 <u>30,941,422</u>
 PROPERTY AND EQUIPMENT		
Furniture and fixtures	14,880	13,311
Less: accumulated depreciation	<u>8,249</u>	<u>6,202</u>
TOTAL PROPERTY AND EQUIPMENT	<u>6,631</u>	<u>7,109</u>
 TOTAL ASSETS	 <u><u>\$ 82,051,673</u></u>	 <u><u>\$ 36,217,874</u></u>

See Accountants' Compilation Report

Robina Foundation
STATEMENTS OF FINANCIAL CONDITION
(Excise Tax Basis)
December 31, 2011 and 2010

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

	<u>2011</u>	<u>2010</u>
LIABILITIES		
CURRENT LIABILITIES		
Accounts payable	\$ 0	\$ 0
Accrued expenses	0	0
Grants payable	<u>0</u>	<u>0</u>
TOTAL CURRENT LIABILITIES	<u>0</u>	<u>0</u>
NET ASSETS		
Foundation equity	<u>82,051,673</u>	<u>36,217,874</u>
TOTAL NET ASSETS	<u>82,051,673</u>	<u>36,217,874</u>
 TOTAL LIABILITIES AND NET ASSETS	 <u>\$ 82,051,673</u>	 <u>\$ 36,217,874</u>

Robina Foundation
STATEMENTS OF ACTIVITIES
(Excise Tax Basis)

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

Twelve Months Ended December 31, 2011 and 2010

	<u>Year-To-Date This Year</u>		<u>Year-To-Date Last Year</u>	
	<u>Amount</u>	<u>%</u>	<u>Amount</u>	<u>%</u>
REVENUES				
Investment income:				
Interest income	\$ 751,302	1.4%	\$ 1,026,220	1.9%
Dividend income	558,221	1.0	0	0.0
Capital gain distributions	0	0.0	0	0.0
Realized gains and losses	(530,187)	(1.0)	(206,956)	(0.4)
Investment fees	(291,320)	0.5	(83,328)	0.2
Total investment income	488,016	0.9	735,936	1.4
Contributions	53,509,106	99.1	0	0.0
Miscellaneous income	0	0.0	0	0.0
TOTAL REVENUES	53,997,122	100.0	735,936	1.4
EXPENSES				
Grants paid	7,735,604	14.3	8,203,570	15.2
Administrative expenses	400,927	0.7	207,597	0.4
TOTAL EXPENSES	8,136,531	15.1	8,411,167	15.6
OPERATING INCOME (LOSS)	45,860,591	84.9	(7,675,231)	(14.2)
Federal excise tax	26,791	0.0	3,000	0.0
INCREASE (DECREASE) IN NET ASSETS	45,833,800	84.9%	(7,678,231)	(14.2)%
NET ASSETS, BEGINNING OF YEAR	36,217,874		43,896,105	
TOTAL NET ASSETS	\$ 82,051,674		\$ 36,217,874	

See Accountants' Compilation Report

Robina Foundation
SUPPLEMENTARY INFORMATION

SCHEDULES OF INVESTMENTS

(Excise Tax Basis)

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

Twelve Months Ended December 31, 2011 and 2010

	<u>Year Ended 12/31/11</u>		<u>Year Ended 12/31/10</u>	
	<u>Cost</u>	<u>Market Value</u>	<u>Cost</u>	<u>Market Value</u>
Cash & cash equivalents:				
First Amer Prim Oblig Fund CI Y	\$ 1,248,046	\$ 1,248,046	\$ 5,238,293	\$ 5,238,293
J.P. Morgan account cash	189	189	0	0
TOTAL CASH & CASH EQUIVALENTS	1,248,235	1,248,235	5,238,293	5,238,293
Corporate issue bonds:				
Credit Suisse USA Inc. 5.25% 3/02/11	0	0	504,025	503,765
General Elec Cap Corp. 4.375% 11/21/11	0	0	518,275	516,220
Morgan Stanley 5.625% 1/09/12	532,789	510,076	323,941	323,683
Bear Stearns Co. Inc. 5.35% 2/01/12	451,030	431,471	419,652	418,568
Pfizer Inc. 4.45% 3/15/12	0	0	527,280	521,730
Bb T Corporation 3.85% 7/27/12	321,811	314,043	321,811	321,450
PepsiAmericas Inc. 5.75% 7/31/12	134,478	128,766	134,478	134,519
Procter Gamble Co. 1.375% 8/01/12	606,498	602,880	0	0
Helwett Packard Co. 2.95% 8/15/12	516,530	504,610	516,530	515,520
Northern Trust Co. 5.20% 11/09/12	281,692	271,526	0	0
Bottling Group LLC Sr Nt 4.625% 11/15/12	259,542	248,117	259,542	256,529
Abbott Laboratories 5.15% 11/30/12	541,155	521,000	0	0
Nucor Corp 5.00% 12/01/12	533,357	512,830	533,357	530,625
Alabama Power Co. Ser 07 D 4.85% 12/15/12	379,424	363,853	379,424	375,403
John Deere Co. Med. Term 4.95% 12/17/12	538,420	520,880	538,420	539,310
Wells Fargo Co. 4.375% 1/31/13	383,296	387,563	383,296	396,844
Bank Of NY Mello Bk. 4.50% 4/01/13	428,132	417,224	0	0
Oracle Corp. 4.95% 4/15/13	405,041	396,019	405,041	408,525
Emerson Electric 4.50% 5/01/13	374,196	366,033	374,196	376,757
IBM Corp. 2.10% 5/06/13	399,544	408,252	399,544	409,712
Colgate Palmolive Co. 4.20% 5/15/13	369,551	367,574	369,551	375,706
Conoco Phillips 4.40% 5/15/13	417,760	414,075	417,760	424,096
Dupont El Nemour 5.00% 7/15/13	536,880	531,160	536,880	546,885
Household Automotive Trust 5.340% 9/17/13	0	0	384,911	378,931
Berkshire Hathaway Fin. 4.625% 10/15/13	527,755	531,985	527,755	542,965
Goldman Sachs 5.25% 10/15/13	531,260	510,165	531,260	541,110
Disney Walt Co. 4.50% 12/15/13	427,684	430,552	427,684	436,852

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF INVESTMENTS
(Excise Tax Basis)

Subject to Change
PRELIMINARY DRAFT
 For Discussion and Review Purposes Only

Twelve Months Ended December 31, 2011 and 2010

	<u>Year Ended 12/31/11</u>		<u>Year Ended 12/31/10</u>	
	<u>Cost</u>	<u>Market Value</u>	<u>Cost</u>	<u>Market Value</u>
Corporate issue bonds (continued):				
Novartis Capital 4.125% 2/10/14	367,283	374,472	367,283	373,517
Honeywell Int'l 3.875% 2/15/14	507,929	522,786	507,929	520,355
Unilever Capital Corp. 3.65% 2/15/14	459,618	473,640	459,618	467,984
Eli Lilly Co. 4.20% 3/06/14	424,132	428,588	424,132	428,820
Coca Cola Co. 3.625% 3/15/14	513,285	532,260	513,285	529,195
United Parcel Service 3.875% 4/01/14	420,596	426,792	420,596	426,168
Glaxosmithkline 4.375% 4/15/14	392,658	400,425	392,658	398,938
Bellsouth Corp. 5.20% 9/15/14	396,002	404,609	396,002	399,559
Procter & Gamble 3.50% 2/15/15	360,199	376,894	360,199	367,472
Merck & Co. Inc. 4.75% 3/01/15	122,963	128,408	122,963	126,638
Procter & Gamble 3.15% 9/01/15	100,086	107,375	100,086	103,862
Praxair Inc. 3.25% 9/15/15	349,636	374,405	349,636	360,854
Barclays Bank Plc Zero Cpn 6/07/16	750,000	656,700	0	0
Barclays Bank Plc Zero Cpn 7/15/16	750,000	665,400	0	0
TOTAL CORPORATE ISSUE BONDS	15,812,212	15,563,408	14,149,000	14,299,067
Foreign issue bonds:				
Barclays Bank Plc 5.45% 9/12/12	535,030	510,805	0	0
Ontario Province 3.50% 7/15/13	225,126	223,762	225,126	226,806
Ontario Province 4.10% 6/16/14	154,970	161,180	154,970	162,028
Bp Capital Plc 3.875% 3/10/15	718,820	747,467	718,820	722,043
Total Capital Sa 3.125% 10/02/15	499,240	529,510	499,240	512,280
TOTAL FOREIGN ISSUE BONDS	2,133,186	2,172,724	1,598,156	1,623,157
Fixed income funds:				
Inv Balance Risk comm Str Y	971,000	859,052	0	0
Nuveen High Income Bond Fd Cl I	2,984,000	2,717,474	0	0
Oppenheimer Com Str Tr Fd Y	971,000	823,687	0	0
T Rowe Price Int'l Bond Fund	2,016,000	1,921,211	0	0
TOTAL FIXED INCOME FUNDS	6,942,000	6,321,424	0	0

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF INVESTMENTS
(Excise Tax Basis)

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Twelve Months Ended December 31, 2011 and 2010

	<u>Year Ended 12/31/11</u>		<u>Year Ended 12/31/10</u>	
	<u>Cost</u>	<u>Market Value</u>	<u>Cost</u>	<u>Market Value</u>
Stocks - equity funds:				
Aberdeen Fds. Emrgn. Mkt. Inst'l	1,347,000	1,164,383	0	0
American Cent. Small Cap Valu Ins	599,800	512,120	0	0
I Shares Msci Eafe Index Fund	10,774,754	8,984,742	0	0
Midcap Spdr Trust Series I	2,638,229	2,392,350	0	0
Neuberger Berman Genesis Int'l Fund	471,200	433,166	0	0
Oppenheimer Developing Mkts. Fds. CI Y	1,347,000	1,107,997	0	0
Spdr S&P 500 Etf Trust	9,698,662	9,261,900	0	0
TOTAL STOCKS	26,876,645	23,856,658	0	0
Other investments:				
Tiff Multi-Asset Fund	0	0	9,955,973	9,262,202
Common Sense Offshore Ltd.	2,010,000	2,105,161	0	0
Flag Private Equity LP	1,133,228	1,195,695	0	0
Flag Venture Partners III LP	1,173,633	1,009,145	0	0
Flag Venture Partners IV LP	1,207,145	1,244,759	0	0
Gam Absolute Return Bond Fd. Offshore	3,110,000	3,056,933	0	0
Gca Credit Opportunities Offshore Fd. Lfd.	3,880,000	3,920,421	0	0
IDR Core Equity Re Strategy 2010 LP	5,924,906	5,964,561	0	0
Marathon Credit Opportunity Fund Ltd.	3,110,000	2,808,318	0	0
Pfingsten Partners III LP	1,382,460	1,174,952	0	0
Pointer Offshore Ltd.	3,000,000	2,926,191	0	0
TOTAL OTHER INVESTMENTS	25,931,372	25,406,136	9,955,973	9,262,202
TOTAL OF ALL INVESTMENTS	\$ 78,943,650	\$ 74,568,585	\$ 30,941,422	\$ 30,422,719

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF ADMINISTRATIVE EXPENSES
(Excise Tax Basis)

Subject to Change
PRELIMINARY DRAFT
For Discussion and Review Purposes Only

Twelve Months Ended December 31, 2011 and 2010

	<u>Year-To-Date This Year</u>		<u>Year-To-Date Last Year</u>	
	<u>Amount</u>	<u>%</u>	<u>Amount</u>	<u>%</u>
ADMINISTRATIVE EXPENSES:				
Accounting & audit fees	\$ 10,280	0.0	\$ 7,490	1.0
Bank charges	18	0.0	0	0.0
Contract services:				
Penelope Hunt	97,500	0.2	63,333	8.6
Baker Management	30,195	0.1	29,700	4.0
Other consultants	18,000	0.0	6,000	0.8
Depreciation expense	2,046	0.0	1,902	0.3
Directors' fees	145,833	0.3	49,167	6.7
Insurance:				
Directors' and officers'	4,800	0.0	4,800	0.7
Property	506	0.0	506	0.1
Investment management expense	28,750	0.1	0	0.0
Legal fees	1,652	0.0	4,376	0.6
Meeting expense	37,385	0.1	18,947	2.6
Membership dues	695	0.0	495	0.1
Miscellaneous expense	2,817	0.0	793	0.1
Office expense	495	0.0	1,727	0.2
Office supplies	1,175	0.0	583	0.1
Parking & mileage	2,331	0.0	2,449	0.3
Postage & delivery	1,710	0.0	863	0.1
Printing, web design & maintenance	575	0.0	440	0.1
Rent expense	11,094	0.0	11,371	1.5
Telephone & internet	3,070	0.0	2,655	0.4
 TOTAL ADMINISTRATIVE EXPENSES	 \$ 400,927	 0.7	 \$ 207,597	 28.2

See Accountants' Compilation Report

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF ADMINISTRATIVE EXPENSES WITH BUDGETS
(Excise Tax Basis)
 Twelve Months Ended December 31, 2011

	<u>Year-To-Date This Year</u>			<u>Annual</u>
	<u>Actual</u>	<u>Budget</u>	<u>Variance</u>	<u>Budget</u>
ADMINISTRATIVE EXPENSES:				
Accounting & audit fees	\$ 10,280	\$ 15,000	\$ 4,720	\$ 15,000
Bank charges	18	0	(18)	0
Contract services:				
Penelope Hunt	97,500	90,000	(7,500)	90,000
Baker Management	30,195	30,240	45	30,240
Other consultants	18,000	25,000	7,000	25,000
Depreciation expense	2,046	1,902	(144)	1,902
Directors' fees	145,833	50,000	(95,833)	50,000
Insurance:				
Directors' and officers'	4,800	4,800	0	4,800
Property	506	506	0	506
Investment management expense	28,750	0	(28,750)	0
Legal fees	1,652	5,000	3,348	5,000
Meeting expense	37,385	30,000	(7,385)	30,000
Membership dues	695	695	0	695
Miscellaneous expense	2,817	1,000	(1,817)	1,000
Office expense	495	2,000	1,505	2,000
Office supplies	1,175	1,100	(75)	1,100
Parking & mileage	2,331	2,500	169	2,500
Postage & delivery	1,710	1,000	(710)	1,000
Printing, web design & maintenance	575	1,000	425	1,000
Professional development	0	1,000	1,000	1,000
Publications & subscriptions	0	30	30	30
Rent expense	11,094	11,372	278	11,372
Telephone & internet	3,070	2,700	(370)	2,700
TOTAL ADMINISTRATIVE EXPENSES	\$ 400,927	\$ 276,845	\$ (124,082)	\$ 276,845