



[Robina Foundation](#)

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ROBINA FOUNDATION **Board Meeting**

Conference Call

Tuesday, November 13, 2012

8:30 a.m. – 10:30 a.m. (CST)

9:30 a.m. – 11:30 a.m. (EST)

6:30 a.m. – 8:30 a.m. (PST)

COUNCIL *on* FOREIGN RELATIONS

58 East 68th Street, New York, New York 10065
tel 212.434.9400 fax 212.434.9800 www.cfr.org

October 25, 2012

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

Dear Penny:

Thank you for your letter of August 30. I and we much appreciate the opportunity to contribute our recommendations as the board begins to plan its final rounds of potential grants. At this time, the Council on Foreign Relations (CFR) sees a number of opportunities for Robina funding to continue to make a significant difference in our work and, perhaps more importantly, enhance our impact on the many constituencies, both domestically and globally, we seek to serve and inform. Some of the ideas presented here are technical in nature, while others relate to the substance of CFR's research agenda and programming.

INTERNATIONAL INSTITUTIONS AND GLOBAL GOVERNANCE PROGRAM

We trust you agree that Robina's investment in our International Institutions and Global Governance (IIGG) program has been a remarkable success. As you know, Secretary of State Hillary Rodham Clinton delivered a major address at CFR's Washington office in 2010 on the need for a "new global architecture" of international cooperation. The secretary's choice of CFR as the venue for this important speech reflected her understanding that our IIGG program has emerged as the leading U.S. platform for analysis of the state of multilateral cooperation.

The success of the IIGG program has uniquely positioned CFR to address diverse global issues from climate change to the Internet to nuclear proliferation, in addition to other as-yet unknown challenges and threats. Ours is an era in which the world matters as never before. Events have shown that a defining characteristic of the twenty-first century is globalization—yet there is a significant gap between multilateral arrangements and global challenges.

James H. Binger Center for International Institutions and Global Governance – \$20 million

Should the Foundation wish to ensure that the IIGG program remains a permanent and vibrant part of the CFR research agenda, Robina might consider an endowment gift of \$20 million. A gift at this level will ensure the continuation of the program conceptualized and launched with Robina funding. It would provide approximately \$1 million of support annually, or roughly half of the current operating budget for IIGG. CFR could leverage Robina's gift to raise additional funds from other sources to

support the continuation and expansion of its core programmatic work, including the Council of Councils initiative and multimedia features like our award-winning Global Governance Monitor.

It would be our privilege to name this important center of study in honor of Mr. Binger. This transformational gift would solidify the organization's voice in the national and international debate on global governance issues. We can think of no better partner than the Robina Foundation as we move CFR's work on these issues forward in the years to come.

James H. Binger Senior Fellow for Global Studies – \$7 million

A more modest option would be to build on IIGG's solid foundation of work by funding an endowed chair for the director of the program, which could be named the James H. Binger Senior Fellow for Global Studies. The Binger fellow would lead CFR's multi-scholar collaboration across disciplines and regions, as senior fellow Stewart Patrick has done so ably since the IIGG was established. Establishing such a chair would require a gift of \$5 million, and would ensure that CFR is able to promote independent scholarship on issues of global governance in the future. Additional support in the amount of \$2 million would generate roughly \$100,000 per year to underwrite activities associated with the fellow's work, including publications, roundtable series, and content on CFR.org.

GLOBAL HEALTH PROGRAM

Another CFR research area where Robina funding could make a significant difference is global health. CFR has recognized that global health issues are now integral to any serious thinking about foreign policy. Emerging infectious diseases like avian flu have the potential to affect U.S. national security and public health in ways that were unimaginable just a few years ago. The dramatic increase in chronic and noncommunicable diseases (such as cancer, diabetes, heart disease, and respiratory illnesses) could blunt global economic development as countries struggle to meet the demands of aging and sick populations. CFR's Global Health Program seeks to integrate—in both study and practice—these critical global health issues into U.S. foreign policymaking by examining diverse challenges such as the spread of new emerging infectious diseases, how trade policy inadvertently encourages tobacco use, the consequences of intellectual property rights for the availability of low-cost drugs, worldwide inequities in life expectancy and maternal mortality, the global shortage of health workers, weakness of health-care delivery systems, and rising threats posed by biological and chemical weapons.

Support for CFR's important work in this area has diminished as traditional global health funders have become more inclined to support technological advancements and direct-service programs, largely in the realm of infectious disease. However, a myriad of policy issues remain that can be tackled only through improving the domestic capacities and programs of developing countries and building international mechanisms for effective multilateral cooperation.

This set of issues is also an area where we envision potential opportunities to collaborate with two of Robina's other grantees whose work could be complementary—namely, Yale University and Abbott Northwestern Hospital. CFR's strength in this area is its concentration on global-health diplomacy and global health in a security framework. Though these themes are increasingly critical to U.S. foreign policymaking, they remain among the most under-studied.

Senior Fellow for Global Health – \$7 million

As we look to institutionalize global health as an area of study at CFR and further integrate it with the IIGG program, our goal is to endow a chair (\$5 million) for a senior fellow who would produce research and direct related activities across the organization. The establishment of this position along with additional endowment funds on the order of \$2 million to support publications, roundtables, and other associated activities will ensure that global health remains a permanent part of the CFR research agenda.

International Affairs Fellowship in Global Health – \$3 million

One of the best and most important things CFR does is invest in people. Our visiting fellows program is a unique training ground for the next generation of foreign policy leaders. This program offers talented mid-career professionals from academia or the private sector the opportunity to spend a year in government. It similarly offers rising stars in government the opportunity to work in a scholarly atmosphere where they can engage in sustained analysis and writing, free from operational pressure. The goal is to develop a network of scholar-practitioners who have spent time both in and out of government, which advances their analytic capabilities and broadens their foreign policy experience. More than 500 individuals have participated in the program since it was established forty years ago, including former secretary of state Condoleezza Rice, undersecretary of state Robert Hormats, MacArthur Foundation president Robert Gallucci, and U.S. ambassador to NATO Ivo Daalder.

Should Robina chose to invest in this specific area of study at CFR, it could consider establishing a Global Health International Affairs Fellowship (IAF) for talented young professionals in this area. To foster collaboration between Robina's grantees, the Global Health IAF could be chosen by a selection committee comprised of representatives from Yale University's new Global Health Initiative, Abbott Northwestern Hospital, CFR members, and representatives of the Robina board of directors. The fellow would reside in either New York or Washington for the fellowship period, and would have the opportunity to become involved in the intellectual life of CFR, interfacing with CFR scholars and gaining exposure to a wide range of foreign policy issues well beyond his or her own career experience and portfolio. Through CFR's programs, the fellow would also regularly interact with CFR members from many sectors, ranging from financial and business executives to leaders from academic, cultural, nonprofit, and state and local entities.

Global Health Symposium – \$1,000,000

A capstone event for CFR's Global Health Program would be an annual symposium that would focus on the state of the global health field. This event would convene practitioners, academics, policymakers, and CFR members to reflect on current and emerging trends in the international public health sphere. We believe that this event could become the preeminent annual meeting on this topic. We would explore collaboration with Yale University and Abbott Northwestern on this initiative, and the budget for the conference could include dedicated travel costs for Robina grantees as well as international guests and speakers. This annual event could be established with an endowment gift of \$1,000,000.

GRANTMAKING SCHEDULE

Finally, we would like to suggest that the beneficiaries of Robina's final grants might begin their work while the Foundation is still operating, thereby maximizing each organization's opportunity to

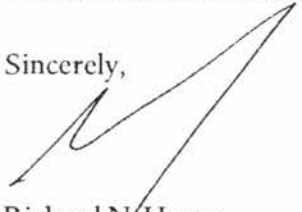
collaborate with members of the Robina board and its other grantees. To facilitate this, you might structure payments so that a large portion of the commitment is transferred at an early stage in the grant period. For example, something on the order of half of the total grant amount could be administered upon grant approval, with additional payments distributed over a multi-year period.

CONCLUSION

Thank you for soliciting our ideas and for your consideration of such meaningful support. Robina's legacy of supporting transformational programs is evident in its investments in CFR. The example set by the Foundation will undoubtedly encourage others to make meaningful contributions to institutions that provide thought leadership.

I trust Mr. Binger would be pleased to know that his legacy is helping the Council on Foreign Relations shape U.S. and international policy during these especially challenging times. We would be delighted to work with the Robina board to determine an appropriate way to honor both the Foundation and Mr. Binger's distinguished association with CFR. Please feel free to contact me or Senior Vice President and Director of Studies James Lindsay if you would like additional information. We look forward to hearing from you.

Sincerely,



Richard N. Haass
President

tel 212.434.9540 fax 212.434.9880
president@cfr.org

*we are very
excited about
these possib. wkps -*

*Thank you for
this opportunity*



ROBINA FOUNDATION

TO: Robina Board of Directors

FROM: Penny Hunt

RE: November 13, 2012 Board Meeting

DATE: November 6, 2012

When Nancy and I started to map out an agenda for the Board Meeting, we thought the agenda would be "light." We were wrong! The meeting agenda turned out to be a typical Robina Board Meeting agenda --- filled with interesting material and food for thought.

Note in particular:

- You're receiving two books: one the usual Board Book and a second file containing the "big ideas" submitted by Robina Grantees and Board Members. We separated the "big ideas" from the balance of the meeting material with the thought that this material may be discussed at the February Board Meeting as well as the November meeting. Please save the file for future reference. You can see that Robina Grantees' responses reflect several approaches to our request for ideas for the foundation's future grantmaking.
- As explained in my Executive Director's Report, the Board Book includes a number of items to follow up on Board discussions at the summer meeting: the U of M's requests for funding to support *Sentencing Law Program Enhancements* and *Binger Center for New Americans*; ANWH's proposal for *CoPILoT* and response to questions concerning the *Late Life Supportive Care* initiative; CFR's responses to Robina Questions and budget detail for the *IIGG* initiative; and Yale Law School's ideas to enhance the *Human Rights Fellowship Initiative*.
- The Executive Director's Report highlights a number of activities and includes material on the Yale School of Drama's Evaluation Committee. Since we will meet members of the committee during our December visit to Yale, you may want to bring this material with you.

As always, let me know if you have questions or concerns about plans for the Board Meeting or other work of Robina.

Robina Foundation Board of Directors Meeting

Conference Call

Tuesday, November 13, 2012

8:30 a.m. to 10:30 a.m. (CST)

Participant Dialing Instructions:

1. Dial the Moderator's Access Number: 1-877-820-7831
2. Enter the Participant Passcode: 3167335# (must dial # key)

Time	Agenda Item	Tab #
8:30 a.m.	Welcome and Call to Order – Crosby	
8:35 a.m.	Minutes of July 31-August 1, 2012 Board Meeting – Berresford – Action	1
8:40 a.m.	Executive Director's Report – Hunt	2
8:45 a.m.	Discussion of Robina's Future Grantmaking – Hunt • Robina Foundation Grants – Current Status • Big Ideas for Future Grantmaking ➢ From Robina Grantees ➢ From Board Members	Separate Folder
9:30 a.m.	University of Minnesota Law School • Board Meeting Follow-Up ➢ <i>Sentencing Law Program Enhancements</i> – Possible Action ➢ <i>Binger Center for New Americans</i> • <i>Robina Institute of Criminal Law & Justice</i> – Annual Report • <i>Robina Scholarship Match Program</i> – Annual Report • <i>Public Interest Scholars</i> – Six-Month Report	3
	Abbott Northwestern Hospital • <i>Center for Promoting the Inclusion of Laypeople on Care Teams (CoPILOT)</i> – Action • <i>Late Life Supportive Care</i> - Follow-Up	4
	Council on Foreign Relations • <i>Online Videos Project</i> – Final Report • Responses to Robina Questions • <i>International Institutions and Global Governance</i> – Budget Detail	5
	Yale Law School • <i>Human Rights Fellowship Initiative</i> – Six-Month Report • <i>Human Rights Fellowship Initiative</i> – Enhancement Ideas	6
10:10 a.m.	Treasurer's Report – Crosby • Assets and Grants/Assets Detail • J.P. Morgan's Quarterly Report (Current Residuary Assets on Hand September 30, 2012) • Quarterly Report from Mike Sullivan Legal Report – Crosby • IRS Status Report	7
10:20 a.m.	Other Business • December 6, 2012 Event at Yale University • February 25-27, 2013 Board Meeting • Future Board Meeting Dates	8
10:30 a.m.	Adjournment	

1	MINUTES July 31-August 1, 2012
2	EXECUTIVE DIRECTOR'S REPORT
3	UNIVERSITY OF MINESOTA LAW SCHOOL
4	ABBOTT NORTHWESTERN HOSPITAL
5	COUNCIL ON FOREIGN RELATIONS
6	YALE LAW SCHOOL
7	TREASURER'S REPORT LEGAL REPORT
8	OTHER BUSINESS

**Robina Foundation Annual Meeting
Meeting Minutes
July 31 – August 1, 2012**

The annual meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on July 31 and August 1, 2012, at the offices of Faegre Baker Daniels in Minneapolis, MN.

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

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

Recorder: Mary Lou White

July 31, 2012

Call to Order and Welcome

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

Abbott Northwestern Hospital

Care Guides Initiative

Drs. Dick Adair and Penny Wheeler joined the Board to provide current results from Phase II of the Care Guide Initiative and to thank the Board for its financial support of the program and for the personal assistance of Board Members who provided valuable advice on staffing of the program and communication of results through the publication of journal articles. Discussion centered on the demographics and career path of care guides, the difficulty of collecting accurate cost data in an open-ended system and strategies for submitting articles for publication.

Wheeler discussed ANWH's proposal to use funds remaining from Robina's Care Guide Grant (approximately \$1.5 million) to develop and implement the "Robina Foundation Care Guide Learning Center." Wheeler agreed to work with Hunt on the use of a portion of the remaining funds for preparation of a proposal for the Center to be submitted for consideration by the Board at the November meeting.

Late Life Supportive Care Initiative (LLSC)

Wheeler introduced Dr. Eric Anderson, Sandy Schellinger, Heather Britt and Kim Radel, leaders of the Late Life Supportive Care Initiative supported by a multi-year grant from the Foundation. The LLSC team provided an update on their progress in developing the framework for the initiative, emphasizing their efforts to listen to patients' stories to assure that the initiative is patient-centered rather than system-focused. The goal is to move care consideration upstream so that patients have a better experience in the last years of their lives.

Board Members inquired about the ethnic diversity of the advisory committee overseeing the development of the model and use of radio and social media as well as television to educate the public about end of life issues. Hunt will follow up with Anderson on these questions.

University of Minnesota Law School

The Robina Institute of Criminal Law and Justice

Crosby welcomed Dean David Wippman and Kevin Reitz and Richard Frase, leaders of the sentencing initiative within the Robina Institute. Reitz highlighted statistics on incarceration rates around the world, emphasizing that the United States leads the world in incarceration rates with incarceration of U.S. blacks seven times that of whites. Although crime has not increased, spending in the criminal justice system is out of control. Reitz and Frase see a convergence of factors that enhance the possibility of making changes to the system where even small changes could make a difference in hundreds of thousands of lives. Wippman, Reitz and Frase believe the University is well positioned to help bring about change.

Board Members inquired about ways to enhance the Robina Institute to make its work more effective. Hunt will follow up with Wippman to discuss options, including additional funding for National Association of Sentencing Commissions and further work with state sentencing systems to make sentencing more rational, reduce racial disparities, increase the use of risk assessment, and improve cost effectiveness.

Binger Center for New Americans

Wippman explained how the initiative described in the Board Book would address important legal issues facing new immigrants in the Twin Cities community while providing much needed clinical experience for U of M law students.

Following Wippman's departure, Board Members directed Hunt to follow up with Wippman to explain that Robina is not interested in endowing the Binger Center at this point, but would be willing to consider a three-year grant to launch a more modest initiative if Wippman believes that is a top priority for the law school.

Council on Foreign Relations

International Institutions and Global Governance (IIGG)

Following discussion of CFR's annual report on the work of the IIGG,

A motion made and seconded to approve the payment of \$2,046,627 as the Foundation's 2012 installment payment on its five year grant was unanimously approved.

The Board asked Hunt to follow up with CFR to obtain additional detail on the budget included in the annual report.

Yale School of Drama

Karoff and Hunt identified areas of focus for the Binger Center for New Theatre: the Program Production Enhancement Fund, the upcoming evaluation, and plans for the coming year. Hunt will follow up with YSD on these items and on plans for the December 6 reception to celebrate Robina's endowment grant to establish the Binger Center.

Yale Law School

After reviewing YLS's Assessment Report and accompanying chart of human rights activities, Board Members directed Hunt to learn more about the Kirby Simon Summer Program, in particular the level of non-Robina funding supporting the program.

Foundation Grant Program

After discussing the possibility of bringing representatives of Robina Grantees together to discuss Robina's grant making and opportunities for the future, Board Members decided to ask Robina Grantees for creative and bold ways the Board could make future grants as a way to explore whether making a few very large grants would achieve significant impact and expedite spending down the Foundation's assets, issues to be discussed by the Board. Board Members directed Hunt to draft a letter to Levin, Wippman, Wheeler and Haass asking for their ideas for discussion at the November Board Meeting. Board Members will also be asked to provide their ideas for the future of the Foundation.

August 1, 2012

Welcome and Call to Order

Crosby called the meeting to order and welcomed Board Members and guests to the second day of Robina Foundation's Annual Meeting.

Foundation Finances / Treasurer's Report

Crosby welcomed Jerry Anderson, Joe Hinderer, and Tim Towle from USbank Private Client Reserve, and the Foundation's investment consultant Mike Sullivan, who discussed the current investment of the Foundation's assets. The USbank portfolio management team took Board Members through the "Investment Relationship Review" handed out at the meeting, noting that the portfolio is essentially flat for the year and emphasizing:

- The goal of a market portfolio that has a low level of volatility with respect to equities;
- Plans to create a more stable portfolio by shifting away from corporate bonds to government bonds; and
- The need for four years of safe money to weather any downturns that may occur.

Crosby asked USbank to research the value of "Other Assets" currently held by JP Morgan.

Although Sullivan thinks the overall portfolio is satisfactory, he expressed concern for the market exposure in the current portfolio. The goal should be 50/50 (risk free investments/investments at risk of the market). He recommends that cash received from the IRS and from JP Morgan Chase be maintained in short-term investments to bring the portfolio more in balance and emphasized that the Foundation's spending pattern will determine the investment strategy and allocation of the portfolio. Sullivan will work with the USbank team to revise the reporting of "Selected Period Performance" for better comparison of results.

Crosby reported that the final figure submitted to the IRS calls for an estate tax refund of \$12,847,000 and that the Foundation now owns the 301 Clifton condominium.

Minutes from May 15, 2012 Board Meeting

A motion made and seconded to approve the Minutes of the May 15, 2012 meeting was approved unanimously.

Executive Director's Report

Hunt recapped accomplishments during the past year, noting in particular Gilbert's role in executing the Foundation's work.

Board Executive Session

Hunt, Gilberg and White left the room so that the Board could convene an executive session.

Governance

Board Members decided to defer discussion of Board Size/Composition and Term/Term Limits for a year. After a review of information about compensation of board members included in the Board Book, Board Members confirmed that the current Board Member compensation is appropriate for the coming year. For the time being, the designation of Board Members as "Lead Directors" for specific Robina Grantees will continue. Board Members asked Hunt to solicit each Board Member to determine Board Members' interest in being involved in phone calls and conversations with other Robina Grantees, but emphasized that we must take care not to confuse Robina Grantees about their contacts with the Foundation.

Following discussion of the roles of the Foundation's officers,

A motion made and seconded to appoint the following officers: Chair: Crosby; Vice Chair: Schroeder; Secretary: Berresford; Treasurer: Blatz was approved unanimously.

Following review of Board Members' terms,

A motion made and seconded to elect Karoff to a third three year term was approved unanimously.

Meeting Dates

Gilberg confirmed arrangements for the Board's December 6 reception and play at Yale and asked Board Members to inform her of flight arrangements. Board Members agreed to change the time of the November 13, 2012 conference call to accommodate Board Members' schedules and to hold the February 2013 meeting in New York City rather than in Minneapolis. Meetings in May, August, and November 2013 were scheduled as follows:

May 14, 2013: Conference Call: 9:30 a.m. – 11:30 a.m. (CDT)

August 12 – 14, 2013: Annual Meeting in Minneapolis

November 12, 2013: Conference Call: 10 a.m. to 12 noon (CST)

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Susan Berresford, Secretary

Date

**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
November 13, 2012**

EXECUTIVE DIRECTOR'S REPORT

As in the past, my time since the summer annual meeting of the Foundation was focused on discussions with Robina Grantees about issues considered at the Board Meeting. Much of my work is reflected in the material in this book.

Requests for Big, Bold Ideas

With your help, I drafted and sent a letter to the head of each of the four Robina Grantees requesting their big, bold ideas for ways Robina could chart its future. Attachment 1 is a copy of the letter sent to President Levin. The ideas generated by this request and the same request you received are found in the separate folder accompanying the Board Book. Food for thought!

Change of Leadership at Yale

As you know, President Levin announced that he will retire at the end of the academic year. Attachment 2 is an email from President Levin about his retirement.

With the departure last spring of Inge Reichenbach, Joan O'Neill now leads the development department at Yale. Her bio is included in Attachment 2. Our primary contact in the development department will be Patty Pedersen, whose bio is also part of Attachment 2. Tom, Kathleen and I had a "get acquainted" meeting with Patty on October 17. We will fill you in on that during the Board Meeting.

University of Minnesota Law School

- *Robina Institute for Criminal Law and Criminal Justice:* You will recall that the Board expressed interest in understanding the U's ideas about how the work of the Institute could raise the bar and accelerate achievement of the goal of criminal justice reform. My email to Dean Wippman at **Tab 3** asks the Dean to explore various opportunities. Kathleen and I both had conversations with the Dean to clarify the Board's interest, and we reviewed preliminary material submitted by the U. **Tab 3** includes a proposal for *Sentencing Law Program Enhancements* for the Board's consideration.
- *Binger Center for New Americans:* My email to Dean Wippman and follow-up conversations were aimed at communicating the Board Members' response to the Dean's proposal for the *Center*, which was discussed at the August meeting. As the Board suggested, Dean Wippman revised the proposal for Board consideration. The new proposal is found at **Tab 3**.

At Dean Wippman's request, I contacted Harvey Dale to ask whether he could help the University approach Atlantic Philanthropies about support for the *Robina Institute for Criminal Law and Criminal Justice*, which seems to fit within Atlantic Philanthropies funding guidelines. While Mr. Dale agreed to provide AP with information on the U's program, he expressed the strong opinion that AP is not adding new grantees, but rather is determining how to spend down its assets through funding of current grantees.

Abbott Northwestern Hospital / Allina

Care Guides Initiative

After the Board Meeting, I followed up with Penny Wheeler on the use of Robina grant funds to develop a proposal for the "Care Guide Learning Center" described by Dr. Wheeler at the meeting. Tom, Steve and I reviewed ANWH's "Proposal for Care Guide Learning Center Planning Phase," which provided for the expenditure of \$99,746 of the remaining Care Guide research funds (now estimated at approximately \$2M) to flesh out the details of a proposal for the center. Tom and I were concerned that the proposal involved spending most of the funds (\$64,000) to engage Dr. Tom Valdivia as a consultant on the project. A conversation with Dr. Wheeler satisfied us that Dr. Valdivia's expertise was valuable and would help ANWH develop a viable proposal.

In early October Steve and I provided feedback on the first draft of the proposal for the center. ANWH's final proposal is found at **Tab 4**. You'll note that the name of the center changed when ANWH conducted research and thought through the potential and various aspects of a center.

Dick Adair recently submitted a report on the Care Guide Program to JAMA. The report, which includes new data on resource utilization (hospitalizations, emergency department visits and charges), is entitled "Improving Chronic Disease Care by Adding Trained Laypersons to the Primary Care Team – A Randomized Controlled Trial."

Late Life Supportive Care Initiative

My email to Eric Anderson following the Board Meeting and his response are also found at **Tab 4**.

Council on Foreign Relations

Meeting follow-up with CFR touched a number of areas:

- *Expanded Diversity Initiative and Online Video Project*: an email I sent to Jim Lindsay is found at **Tab 5**. CFR's information on its organizational diversity should be included in the report on the initiative the Board will review in February.
- *IIGG*: **Tab 5** includes more detailed information on the IIGG budget, as requested.

- *CFR Structure and Issues:* My email at **Tab 5** requests information on CFR's structure and the issues CFR is working on, including those related to global climate change to follow up on the discussion at the August Board Meeting. Jim Lindsay's response is found at **Tab 5**.

Yale Law School

In July Peter and I asked YLS to respond to several questions concerning YLS's human rights programming. Vacations prevented a response to our inquiry before the Foundation's August meeting. We subsequently received YLS's response, which is found at **Tab 6**. You'll note in particular YLS's comments about the need for secure permanent, long-term support to preserve the achievements of the Robina Initiative. I understand from a conversation with Kate Norton that YLS intended to make that case to the group President Levin convened to respond to Robina's request for transformative ideas for the Foundation's grant making.

Peter, Susan and I will attend a breakfast meeting at YLS on December 7. We will meet with Dean Post and Jim Silk and perhaps several students. Several development personnel will also attend: Kate Norton; Eric Stoddard, Director of Annual Giving; and Megan Khan, Director of Major Gifts.

Yale School of Drama

As I described in the email included in Attachment 3, I spoke with Deborah Berman about the status of YSD's plans for the outside evaluation of the Binger Center for New Theatre. Peter and I spoke with Deborah and James on October 15 to get more details on plans and to understand how we can maximize our time at the Yale reception on December 6 when we will have the opportunity to meet members of the evaluation committee. Peter and I plan to talk about this at the Board Meeting. Included in Attachment 3 is information on the evaluation provided by James Bundy.

February Board Meeting in New York City

Nancy and I have been nailing down details for the winter meeting. So far, so good! Although we haven't developed the agenda for the meeting, I alerted Richard Haass, James Lindsay and Stewart Patrick of the likelihood that the Board will want to meet with them at some point during our meetings in New York City.

ROBINA FOUNDATION

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

www.robinafoundation.org

August 30, 2012

Dr. Richard C. Levin
Office of the President
Yale University
105 Wall Street
P. O. Box 208229
New Haven, CT 06520-8229

Dear Richard:

I am writing on behalf of the Board of Directors of the Robina Foundation to ask for your ideas.

As the Robina Foundation wraps up its fifth year of providing grants to the four Robina Grantees identified by Robina founder Jim Binger, the Board of Directors is preparing to chart the course for the Foundation's final spend-down phase. While Board Members have a number of ideas about what that course might be, we would like to hear from you.

When Jim Binger established the Foundation, he urged the Board to:

- Encourage innovation and creativity;
- Focus on forward-thinking projects and initiatives;
- Support major projects and initiatives;
- Fund the most-worthwhile projects gleaned from the best proposals; and
- Pursue a charitable program that will maximize the impact of the Foundation in a limited period of time.

The Board believes that the Foundation's first five years of grant making/commitments have responded to Jim's directives through approximately \$85 million in multi-year grants to the four Robina Grantees. With Foundation funding each of the grantees has begun or expanded important, transformational programs that have the potential to benefit the designated institutions, as well as respond to significant social needs. Information on the Foundation's grants to date is available on Robina's web site www.robinafoundation.org.

The Foundation's current multi-year commitments extend through 2016. We estimate that following the payment of those outstanding commitments, approximately \$90 million in assets will remain for additional grants. In 2010 the Robina Board resolved to "sunset" the Foundation not later than December 31, 2025, with the understanding that the Foundation's support of exemplary programs could result in a shorter duration. The Foundation's governing documents give the Board considerable flexibility in the disbursement of funds.

Here is our request: help us think creatively and boldly about Robina's future.

- How could the Robina Board make grants to increase the chances of more significant results?
- Do you have suggestions as to how Robina could work within Yale University or in partnerships that would add more value and increase the impact of Robina's grants?
- What opportunities do you see within your institution and beyond for Robina funding to make a significant difference?
- Do you see opportunities for collaboration directly among Robina Grantees or for parallel programs or initiatives around any of the themes that Robina has supported?
- What legacy would you like to see Robina leave within your organization when its work is completed?

In short, we welcome any big and ambitious ideas you are willing to offer for our consideration. Robina Grantees have been the Foundation's partners in this undertaking. We want to be sure we benefit from your best and most visionary thinking about the Foundation's future.

The Board plans to discuss the ideas generated by this request at its meeting in November and asks that you provide me with your response electronically by October 30. Your ideas need not be detailed proposals at this point: a brief description of how the Foundation could move forward in new and different ways will suffice. The Board may wish to address some of the ideas generated at a meeting in February with representatives of Robina Grantees. If so, I will be back in touch with you. I would be very happy to discuss this request with you or others within your organization.

We look forward to hearing from you.

Warm regards,

Penny Hunt, Executive Director
Robina Foundation

From: "Richard C. Levin" <presidents.office@yale.edu>
Date: August 30, 2012 9:00:02 AM EDT
To: "All Faculty, Staff and Students" <itscomm2@yale.edu>
Subject: Message to the Yale Community

August 30, 2012

To: The Yale Community
From: Rick Levin

I write to inform you that I will step down from my position as President of the University at the end of the current academic year, my twentieth year of service.

From the day Jane and I entered graduate school in 1970, Yale has been our life. Since I joined the faculty in 1974, my efforts – as teacher, scholar, and President – have been rewarded in superabundance. As President, I have had the strong and enabling support of devoted faculty, staff, students, alumni, trustees, and friends, but as my twentieth anniversary approaches, I recognize that this is a natural time for a transition. We stand between the realization of many important institutional goals and another round of major initiatives. We have successfully completed the Yale Tomorrow campaign, renovated all twelve residential colleges, reduced our budget in the wake of the financial crisis, secured the funding to construct the new School of Management facility, achieved critical mass on the West Campus, and ensured the successful launch of Yale-NUS College by recruiting outstanding leadership and the first cohort of faculty, and breaking ground on a new campus. Before us lie decisions about when to proceed with such projects as constructing the Yale Biology Building, facilities for science teaching, a new home for the School of Drama, and two new residential colleges, as well as renovating the Hall of Graduate Studies and Hendrie Hall.

It is a source of great satisfaction to leave Yale in much stronger condition – academically, physically, and financially – than it was when I began in 1993. Our faculty is stronger than ever, and our deans and directors all have clear and ambitious agendas that will keep the University moving forward. Our partnership with the city of New Haven has led to great improvement in the condition of our downtown and surrounding neighborhoods. We have transformed relations with our labor unions. And we have become a truly global university – providing international experiences to the great majority of our students, supporting hundreds of faculty collaborations throughout the world, and, influencing the development of law, the effectiveness of health care delivery, and the course of global higher education.

To the faculty and staff who contribute daily to the work of the University, to the students who give it meaning, and to the alumni and friends who provide generous support, I offer my profound thanks. These years have been more rewarding and fulfilling than I ever could have imagined. My words on accepting my appointment as President are as true today as they were on April 15, 1993: "The greatness of this institution humbles me." I am deeply grateful for having had the opportunity to serve Yale.

I look forward to a sabbatical next year, when at last I will have the time to complete a book of reflections on higher education and economic policy.

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Gateways for:



Vice President for Development

Joan E. O'Neill, B.A.

Joan E. O'Neill, Vice President for Development, has served in the Office of Development for more than twenty years. She is responsible for overall leadership of all of the University's fundraising activities.

Prior to her appointment as Vice President for Development in July 2012, Ms. O'Neill spent eight years as Associate Vice President for Development leading the major gifts, parent giving, planned giving, annual giving, and reunion giving programs, which together contributed \$1.2 billion of the Yale Tomorrow campaign's total. She also provided oversight for the information services division of the development office and was the primary liaison to most of Yale's school and unit development organizations. During the 2004-2005 academic year she served as Acting Vice President for Development. In this role she was instrumental in planning and designing the strategy for the Yale Tomorrow campaign, which concluded in 2011 having raised \$3.88 billion.

Ms. O'Neill held earlier positions as Area Director at the Yale School of Medicine, as Director of Special Projects and Assistant to the Vice President for Development, as Director of Leadership and Major Gifts, and as a director in principal gifts for Yale's previous capital campaign, which concluded in 1997. She first joined Yale in 1987 as a major gift officer.

A founding member of Yes! For Education, she is a member of the board of the MacCurdy Salisbury Educational Foundation.

Ms. O'Neill received a B.A. in psychology from the University of North Carolina, Chapel Hill.

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Patricia E. Pedersen, Ph.D.
Associate Vice President for Development
University Director for Corporate & Foundation Relations
157 Church Street
New Haven, CT 06510
patty.pedersen@yale.edu
203.436.8518

Dr. Patty Pedersen has served as Associate Vice President for Corporate and Foundation Relations in Yale's Office of Development since 2007. She led Corporate and Foundation Relations to its best record in the Yale's capital campaign. In total, Corporate and Foundation Relations raised more than \$600 million as part of the record-breaking \$3.88 billion campaign, which closed in June 2011. Patty also led the Corporate and Foundation Relations team that has spearheaded ground-breaking alliances between Yale University and major corporate research partners. Patty also oversees a unit of fundraisers dedicated to raising funds from individual donors for the sciences and engineering in the Faculty of Arts and Sciences.

Prior to her present position, from 2001-2005, Patty led Yale's Office of Corporate Relations, later merged into Corporate and Foundation Relations with Patty appointed as Director in 2005. Patty also served previously as Development Officer for Yale's prestigious Peabody Museum of Natural History, following work as a postdoctoral fellow and research scientist in neurobiology at Yale School of Medicine.

A trained scientist, in addition to her career in development, Patty received a B.A. from Smith College (Northampton, Massachusetts) in 1975, and a Ph.D. in psychology from Johns Hopkins University (Baltimore, Maryland) in 1981. She has served as a postdoctoral fellow and associate research scientist in Neurobiology at Yale University School of Medicine.

From: Penny Hunt <pennhunt@gmail.com>
 Subject: Yale School of Drama
 Date: September 17, 2012 11:20:13 AM CDT
 To: Gordy Aamoth <gaamoth@msn.com>, Kathleen Blatz <kathleenblatz@msn.com>, Susan Berresford <sberresford@nyct-cfi.org>, Tom Crosby <tcrosby@tcrosbylaw.com>, Peter Karoff <pkaroff@TPI.ORG>, Steve Schroeder <schröder@medicine.ucsf.edu>
 Cc: Nancy Gilberg <ngilberg@robinafoundation.org>



Greetings,

I had a long talk with Deborah Berman on Friday and want to fill you in on YSD's plans for the outside evaluation of the Binger Center for New Theatre. Robina's agreement with YSD calls for an evaluation every five years.

Several weeks ago I contacted Deborah to suggest that Peter or another Robina Board Member participate in the evaluation as a member of the evaluation committee. Deborah and James expressed the strong view that inclusion of a Robina Board Member could impact the objectivity of the evaluation or at least the perception of objectivity. After conferring with Peter, Susan and Steve to determine whether we should push YSD on this, I contacted Deborah to indicate that Robina need not be represented on the committee and to discuss the evaluation process.

I learned that James has approached four or five people about serving on the committee. I expressed disappointment that Robina did not have the opportunity to participate in some way in the formation of the committee. I was assured that the committee is not yet finalized so that we could suggest other participants or categories of participants. James will provide us with bios of the people he has approached, along with his rationale for their inclusion on the committee.

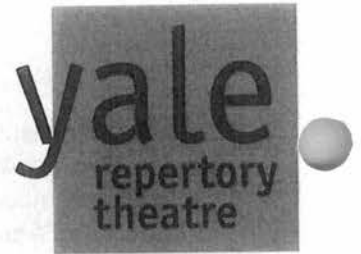
I emphasized to Deborah that we would like to discuss the charge to the committee, the process (including the committee's outreach to the theater community), etc. before things are cast in stone. James will provide us with this thoughts on all of this. The present thinking is that this material will be available for the Board's discussion at the November Board Meeting, but if James needs our input sooner, he will send the information earlier, so that I can provide it to you before the meeting. Apparently, members of the evaluation committee already contacted by James will be at the Yale reception in December, so we will have the opportunity to meet them then.

Plans for the evaluation include the committee's request for the Robina Board's views on the Center. The Board needs to decide how to provide this input: e.g. members of the evaluation committee could meet with the full board (or several board members) in February when we are in New York. Or, the Board could discuss the points it would like to convey to the committee, and Peter or another Board Member could talk with the committee. I will put this question on the agenda for the November Board Meeting.

I think that's it at this point. I'm disappointed that James has approached potential members of the evaluation committee without talking with Robina, but Deborah is aware of this and assures me that we will have the opportunity for input on the committee as well as other aspects of the evaluation.

I will keep you posted on all of this. Feel free to let me know if you have questions or concerns.

Warm regards,
Penny



October 8, 2012

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

JAMES BUNDY,
ARTISTIC DIRECTOR

VICTORIA NOLAN,
MANAGING DIRECTOR

YALE REPERTORY THEATRE
PO BOX 208244
NEW HAVEN, CT 06520

PHONE: 203.432.1559
FAX: 203.432.2562

yalerep@yale.edu
yalerep.org

Dear Penny,

It is my pleasure to inform you and the Board that we will convene the first independent Review Committee to evaluate the programs of the Binger Center for New Theatre on December 6 and 7, 2012, in New Haven. The purpose of the review process is 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. The Committee's report will assess the strengths and weaknesses of the program at the time of the review and present recommendations for any enhancements and/or course corrections. I have asked the Review Committee to submit the full report to me by April 30, 2013.

I have invited five distinguished leaders in the American theatre to serve on the first Review Committee: Polly Carl (Director of the Center for the Theater Commons at Emerson College and editor of *HowlRound*), Emily Cachapero (Director of Artistic Programs, Theatre Communications Group), John Glore (Associate Artistic Director, South Coast Repertory), Liesl Tommy (director) and Doug Wright (playwright). We have included their biographies for your review. These professionals bring a diversity of artistic background and experience to the Review Committee, representing new play development organizations, producing organizations, funders, and individual artists. We will coordinate with the Review Committee so that they can speak with the Binger Center's artistic staff, currently commissioned and recently produced artists, and Yale Rep's administrative staff, as well as key professionals from outside the Yale community. In addition, to help provide an understanding of the relationship between the Binger Center and the School of Drama, we will facilitate meetings for the Review Committee and our playwriting faculty and students.

All of us here are eager to work with the Review Committee and to receive their thoughtful assessment of the Binger Center's initiatives. Polly Carl has agreed to serve as chair, and she will convene the group via telephone conference in November as preparation for their December site visit to Yale. I hope that Peter Karoff will be able to join me for the beginning of that call, as his point of view and deep understanding of the context of the Robina Foundation gift will add so much to this first conversation. We are delighted that the Review Committee will be with us in New Haven on December 6, when we gather with President Levin and Provost Salovey at the reception for the Robina Board: it will be an opportunity for the full Board to meet the committee members.

I am looking forward to speaking with you and Peter within the month and, of course, to welcoming the Board to Yale in December.

Yours,


James Bundy

Emilya Cachapero is the Director of Theatre Communications Group's Artistic Programs and International Theatre Institute-US. She has been active in the US arts community for more than 30 years. Ms. Cachapero oversees TCG's grant programs, international programs, and selected special projects. She is a member of the Executive Board and Council of ITI Worldwide, and as lead producer for ITI's New Project Group (NPG), she produced *House-Home*, an eleven-country collaboration that was performed in Xiamen, China, in 2011; *IfIDENTITY*, a ten-country collaboration that was performed in Madrid in 2008; and *The Borges Project*, a ten-country collaboration performed in Manila in 2006. In addition to her current responsibilities with TCG and ITI-US, Ms. Cachapero has been a US National Commissioner to UNESCO since 2008. Prior to joining TCG in 1991, she served as general manager for the Concordia Chamber Symphony; associate director of the Non-Traditional Casting Project in New York; conservatory administrator for American Conservatory Theater in San Francisco; and chair of the artistic committee for the Asian American Theater Company in San Francisco. She was instrumental in creating the San Francisco Ethnic Dance Festival and was its founding producer for the first two years of the program. Her writing has been published in *American Poetry Review* and several poetry anthologies. Ms. Cachapero received her Bachelor of Arts in creative writing from San Francisco State University and an honorary MFA from American Conservatory Theater. She is an alumna of the James P. Shannon Leadership Institute.

Polly Carl is the director of the Center for the Theater Commons at Emerson College and the editor of and frequent contributor to the online journal *HowlRound*. Her work at the Center is focused on promoting practices for 21st-Century theater making based on the core principle that theater is for everyone. She produces, dramaturgs, commissions, writes, and consults. She spent two years as Director of Artistic Development at Steppenwolf Theatre and served eleven years at the Playwrights' Center in Minneapolis—seven as Producing Artistic Director. She regularly moderates and sits on panels, serves on numerous committees and boards, and her PhD in Comparative Studies in Discourse and Society is from the University of Minnesota.

John Glone has been SCR's Associate Artistic Director since 2005, following five years as resident dramaturg for L.A.'s Center Theatre Group. He was SCR's literary manager from 1985 to 2000. His producing responsibilities include overseeing the Theatre for Young Audiences series, co-directing the annual Pacific Playwrights Festival, supervising the work of SCR's literary department, and providing producing support to the artistic directors on all SCR shows. He has served as dramaturg on more than 100 SCR productions, workshops, and readings. His ongoing collaboration with Culture Clash has included co-writing new adaptations of two plays by Aristophanes, *The Birds* (co-produced by SCR and Berkeley Repertory Theatre in 1998) and *Peace* (at the Getty Villa in 2009); and serving as dramaturg on four other Culture Clash productions. His own plays have been produced at SCR, Arena Stage, Actors Theatre of Louisville, Berkeley Repertory Theatre, and other theatres across the country. His adaptation of *A Wrinkle in Time* debuted at SCR in 2010 and has since moved on to multiple productions across the country.

Liesl Tommy's directing credits include *Ma Rainey's Black Bottom* and *Ruined* (Huntington Theatre); *Peggy Pickett Sees the Face of God*, a world premiere by Roland Schimmelpfennig (Luminato Festival/Volcano Theatre); *The Piano Lesson* (Yale Repertory Theatre); *Eclipsed*, a world premiere by Danai Gurira (Yale Repertory Theatre, Woolly Mammoth Theatre Company, and McCarter Theatre); *Angela's Mixtape*, a world premiere by Eisa Davis (Synchronicity Performance Group and New Georges); *The Good Negro*, a world premiere by Tracey Scott Wilson (The Public Theatre/NYSF, Sundance Theatre Institute, and Dallas Theater Center); *A History of Light*, a world premiere by Eisa Davis (Contemporary American Theatre Festival); *Yankee Tavern* and *Stick Fly* (CATF); *A Christmas Carol* (Trinity Repertory Company); *In the Continuum* (Playmakers Repertory Company); *Flight* (City Theatre); *A Stone's Throw*, a world premiere by Lynn Nottage (Women's Project); and *Bus and Family Ties* (Cristian Panaite Play Company) for the Romania Kiss Me! Festival. Ms. Tommy was awarded the NEA/TCG Directors Grant and the New York Theatre Workshop Casting/Directing Fellowship and is a New York Theatre Workshop Usual Suspect. She has also been a guest director and teacher at The Juilliard School, Trinity Rep/Brown University's MFA Directing and Acting Program, and New York University's Tisch School of the Arts. She is a native of Cape Town, South Africa.

Doug Wright received Tony and Drama Desk nominations for his book for the Broadway musical *Grey Gardens*. In 2004, he was awarded the Pulitzer Prize, a Tony Award for Best Play, the Drama Desk Award, a GLAAD Media Award, an Outer Critics Circle Award, a Drama League Award, and a Lucille Lortel Award for his play *I Am My Own Wife*. Earlier in his career, Mr. Wright won an Obie Award for outstanding achievement

in playwriting and the Kesselring Award for Best New American Play for *Quills*. He went on to write the screenplay adaptation; the film was named Best Picture by the National Board of Review and nominated for three Academy Awards. His screenplay was nominated for a Golden Globe Award and received the Paul Selvin Award from the Writer's Guild of America. For director Rob Marshall, Doug penned the television special *Tony Bennett: An American Classic*, which received seven Emmy Awards. For career achievement, Mr. Wright was cited with an award from the American Academy of Arts and Letters and the Tolerance Prize from the KulturForum Europa. He is a member of the Dramatists Guild, the Writer's Guild of America, East, the Screen Actors Guild and the Society of Stage Directors and Choreographers. Directing credits include *Kiki and Herb: Pardon Our Appearance* in Washington DC, Philadelphia, and London, and his own adaptation of August Strindberg's *Creditors* at the La Jolla Playhouse. Acting credits include the films *Little Manhattan* and *Two Lovers*, and the television show *Law & Order*. His most recent Broadway credit was *The Little Mermaid* for the Walt Disney Company, and his next will be the new musical *Hands on a Hard Body*, written with Amanda Green and Trey Anastasio. He lives in New York with his partner, singer/songwriter David Clement.

On Tue, Aug 7, 2012 at 1:19 PM, Penny Hunt <pennhunt@gmail.com> wrote:

Dear David,

Once again, Robina Board Members and I appreciated spending time with you, Kevin and Richard last week. Our discussion of the "sentencing stream" of the *Robina Institute for Criminal Law and Criminal Justice*, as well as opportunities for a new initiative to provide assistance to new Americans was well-timed as the Board considers options for the future of the foundation.

The Board asked me to follow up with you with a few comments and questions.

The Robina Institute for Criminal Law and Criminal Justice

Kevin and Richard's update on the status of their work in the sentencing arena helped us understand better opportunities for the Institute's initiatives to have an impact on the alarming rates of incarceration, probation and parole by stimulating greater consistency among states' approaches to sentencing and the increased use of risk assessment and evidence-based sentencing policies. As was noted, the stars seem aligned for change, even small changes which could make a difference in hundreds of thousands of lives.

The Board's discussion following your departure focused on how the work of the Institute could raise the bar and speed up the goal of making criminal justice reform a national issue:

- Kevin and Richard mentioned that they have a longer list of undertakings that could be employed with more resources, particularly people. We are interested in understanding what is on their longer list and what level of resources are needed.
- Although they mentioned that they plan to hire one or two research associates, we wonder if there are opportunities to add other staff (not professors) to enhance their work.
- We understand that the National Association of Sentencing Commissions could promote more research and technology sharing, but currently has no budget or staff. Kevin and Richard indicated that they plan to work with NASC, but we wonder if that is an area where additional Robina support would be helpful.
- Apparently partnerships are under development with Stanford and other institutions. Are there ways to enhance or accelerate the work of partnerships to leverage the U's initiatives and expertise? Could a partnership with some organization help raise the public's awareness of the issues and communicate the need for reform?

You and Kevin and Richard undoubtedly have other ideas that would interest Robina as we seek to make the *Institute* as robust and impactful as possible.

Binger Center for New Americans

Near the end of your discussion with the Robina Board, you made a statement that needs clarification. I believe you indicated that while you are intrigued by the unique clinical and community model of the Binger Center, you would prefer to focus on the Institute and the Public Interest Scholars Program. Is that correct? If it is, we want to make sure we understand the question you were answering when you made the comment. (?)

When the Board discussed your ideas for the Binger Center, it became clear that it is too early to consider endowment funding for a center such as you describe in your material. Robina's one endowment grant was awarded after four years of program support for the Yale School of Drama center. The Board would be willing, however, to consider a multi-year grant, perhaps three years, to start a more modest initiative, e.g. an initiative originated by the Law School that provides coordination among law firms and nonprofit legal

organizations, involves U students in existing work in this area, garners support from law firms and the community so that Robina would not be the sole funder. This modest start could, of course, lead to the comprehensive approach envisioned for the Binger Center.

Public interest Scholars Program

Although Board Members did not discuss this recently-created program at any depth, they expressed interest in understanding if you have a "longer list" of ways to enhance or expand this initiative. It may be too early to answer that question, so you may just prefer to keep it in mind as you go forward.

Without pre-judging your response, the Robina Board has expressed a desire to focus on existing law school projects with the thought that additional, specific funding there is wiser than starting a new project.

I hope this information is helpful to focus your thinking and discussions within the Law School. Kathleen and I would be happy to meet with you -- we would have begun this discussion with a meeting, but decided to write, fearing that schedules could prevent us from meeting for some time. In the meantime, I would be happy to talk with you to clarify the Board's comments and answer any questions you may have.

One last request - please send me the PowerPoint material Kevin and Richard used so that our file on the meeting is complete.

Warm regards,

Penny

UNIVERSITY OF MINNESOTA

Twin Cities Campus

*Office of the Dean
The Law School*

*Room 381 Mondale Hall
229 19th Avenue South
Minneapolis, MN 55455
Office: 612-625-4841
Fax: 612-625-2019*

October 29, 2012

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

Dear Penny,

Thank you for the invitation to share our ideas about transformational programs that could make a dramatic impact, in line with the goals of the Robina Foundation and of Jim Binger. We are presenting two such initiatives, both of which would accomplish this vision in different ways.

The first idea builds on the work of the **Robina Institute of Criminal Law and Criminal Justice**, which has been generously supported by Robina with \$7.5 million to date. With the initial grant, we began work on a number of critical projects that are likely to have a positive impact on criminal law reform, especially in Minnesota. However, we could make a much greater impact, affecting hundreds of thousands of people, if we were able to accelerate our work and expand it to a national scope. The attached proposal outlines four major projects that could be launched very quickly with \$4.4 million in additional resources from Robina.

Our second proposal is for a new initiative that we find exciting because of its potential for alleviating substantial suffering among recent immigrants to the United States. We are proposing to create a **Binger Center for New Americans**, with programming aimed at relieving some of the serious challenges faced by millions of people in their quest to become legal residents or citizens of the United States.

The U.S. immigration system is cumbersome, expensive, inefficient and extremely onerous for people who are poor, are seeking asylum, or are being detained by immigration authorities. Many people with meritorious cases are forced to pursue their rights while locked in federal detention. In Minnesota, where up to 300 such people are in detention on any given day, some non-profit and pro bono legal services are available, but the need far exceeds the supply and efforts are not well coordinated.

Our proposal for the **Binger Center for New Americans** calls for an innovative approach that would:

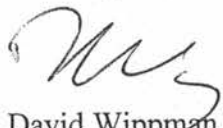
- Create a unique collaborative model among the area's leading non-profit legal service providers and law firm pro bono programs, accomplishing much more together than existing providers can do working separately.

- Conduct impact litigation to shape and improve immigration law.
- Provide truly extraordinary experiences for our students.

We are requesting \$4.5 million now to launch and pilot the program. If Robina is pleased with the results in the pilot phase, we would return in three years to request \$25 million to permanently endow the Binger Center and create a lasting legacy that pays tribute to the life and values of Jim Binger.

I look forward to discussing these ideas further with you. I believe that they both, and in particular the Binger Center, meet the Robina Foundation's request for big, ambitious ideas that can make a significant difference. We are honored to work with you on realizing Jim Binger's vision for responding to significant social needs in new ways.

Sincerely,



David Wippman
Dean and William S. Pattee Professor of Law

jn

Attachments

Robina Institute of Criminal Law and Criminal Justice

Sentencing Law Program Enhancements

October 29, 2012

In its first year of operation, the Sentencing Law and Policy program (SLP) has laid the foundation for a series of projects, each of which is likely to have a substantial positive impact on criminal law reform efforts. With additional resources, we could accelerate and expand the SLP's work, making criminal justice reform a national issue with an enormous potential impact on hundreds of thousands of people. The additional resources needed include funds to buy out teaching time for Kevin Reitz and Richard Frase as the SLP co-directors and to hire non-academic professional staff to direct or consult on SLP projects, additional post-docs or research associates to work on selected projects, and additional support staff. We would also need funds to provide space to house the new SLP participants.

I. High Priority Projects

We have identified four major projects that could be launched in the immediate future with additional resources. For each, we offer rough breakdowns of anticipated costs, but the precise allocation of funding may shift as projects evolve.

A. Multi-State Criminal History Project (Director: Professor Frase)

An offender's criminal history (record of prior convictions) is a major sentencing factor in all American sentencing guidelines systems. Under some state guidelines offenders in the highest criminal history category have recommended prison sentences that on average are ten times longer than the recommended sentences for offenders with no prior convictions. Criminal history enhancements thus directly and substantially increase the size and expense of prison populations. Such enhancements also have a very strong disparate impact on racial and ethnic minorities; furthermore, they undercut the goal of making sentence severity proportional to offense severity and, under many existing formulas, they send many repeat property and drug offenders to prison, thus undercutting the goal of reserving limited and expensive prison space for violent offenders.

Yet very little attention has been paid to these issues by sentencing commissions and outside researchers. The formulas and impacts of criminal history enhancements vary dramatically from one guidelines system to another, and the rationales for specific formulas have rarely been stated or evaluated. The most plausible rationale for such enhancements is that repeat offenders have a higher risk of recidivism; but existing criminal history scores have rarely been validated and refined to improve their risk-prediction accuracy and efficiency. With additional resources, the Robina Institute could encourage guidelines states to examine their use of criminal history. We have already identified a number of important ways in which state criminal history formulas differ, for example: Which kinds of prior convictions are counted, with what weighting formulas and limitations, e.g., on very old convictions? Is the offender's current age taken into account? Is eligibility for the highest criminal history categories (most severe sentences) limited to offenders with prior violent crimes? What is the weight of the criminal history score in itself and compared to offense severity, as a sentence-enhancement factor?

The Criminal History Project would:

- Make a comprehensive study of the varieties of criminal history formulas found in American sentencing guidelines systems.
- Collect existing studies, and carry out or commission new research, on the impacts that different formulas have on the size of prison populations and their racial/ethnic composition, the proportionality of sentences relative to the seriousness of the crimes being sentenced, and the goal of ensuring adequate prison space for violent offenders.
- Collect existing studies and encourage new research on the validity of criminal history scores and each score component as predictors of recidivism risk, especially risk of violent crime.
- Encourage criminologists who study criminal careers to make closer connections between this well-developed body of research and what ought to be (but has rarely been) one of its most important practical applications – criminal history enhancements in sentencing.
- Based on the research described above, encourage sentencing commissions to examine the ways in which their guidelines employ criminal history enhancements and consider changes that would improve the crime control cost-effectiveness, racial neutrality, and offense proportionality of sentences imposed.
- Consider incorporating new approaches to criminal history in future Model Penal Code recommendations, which would serve to further promote their wide consideration and adoption by US legislatures or sentencing commissions.

Given the substantial role that criminal history enhancements have in most sentencing guidelines systems, even modest changes in criminal history scoring and weight could have enormous impacts.

Our discussions with sentencing commissioners and staff in Minnesota and other guidelines states indicate that there is considerable interest in examining criminal history enhancements. The staff of the Minnesota Commission has already begun a project on this topic, and we expect to be able to identify several other states sharing this interest.

Resource Needs

This project and the Repository project [C] described below will require substantial amounts of Professor Frase's time – these are largely unexplored topics, with few existing experts and research staff who could be hired to direct research on them. The proposed 50 percent reduction in Professor Frase's teaching load will free up about one-quarter of his time, which he will allocate approximately equally between these two projects.

One of the few researchers with substantial experience in studying state guidelines systems is Don Stemen, formerly at the Vera Institute in New York and currently an Assistant Professor in the Department of Criminal Justice and Criminology at Loyola University, Chicago. He has expressed great interest in working as a part-time consultant on both this and the Repository project. Given the time he can devote as a consultant, his hourly rate, and associated travel expenses, we have allocated one half of the total "Robina Institute Fellows" expense for projects A and C shown in the attached budget for his work on the Criminal History Project.

For additional research and operations work, this project will also require one quarter of the Post-doc Research Associate position shown in the budget, one half of one of the two Research Staff positions, and one-quarter of the Support Staff position.

To cover additional needs for student research assistance, we have allocated to this project one quarter of the "Law Student (LPA) opportunities" item in the attached budget. We may also need to hire as consultants on this project one or more criminologists specializing in criminal careers and related "life course" research. However, we believe we can cover this expense with existing funds.

A. Multi-State History Project	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Richard Frase teaching buy down (30%)	48,575	50,032	51,533	53,079	54,672	257,891
Robina Institute Fellow (50% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
IT/Web staff (\$50,000 plus benefits-half time position)	7,000	7,210	7,426	7,649	7,879	37,164
Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	194,425	200,258	206,265	212,453	218,827	1,032,229

B. Multi-State Parole and Probation Revocation Project (Director: Professor Reitz)

Nationally, 40% of prison admissions are due to revocations of probation or parole terms (for failure to abide by terms of supervision or the alleged commission of a new crime) rather than new convictions and sentences. In some states, this figure has reached 70%. Few jurisdictions use evidence-based practices to test whether individual revocation decisions are necessary to further public safety. The processes for revoking community sentences are often shoddy, with inadequate protections against arbitrary or discriminatory rulings.

In bulk, sentence revocations have helped fuel U.S. prison growth long after national crime rates began to decline. This has been questionable public policy and a substantial drain on state budgets. Many states now realize that the legal and policy problems surrounding sentence revocations are urgent and require new thinking and new solutions, but there have been few successful innovations upon which to build.¹

¹ One ambition of the project would be to identify best practices nationwide. For example, Washington State has pursued a promising experiment in cutting back both numbers of revocations and the length of confinement terms following revocations. Under court order to reduce prison populations, California has recently explored radical changes in sentence revocation policy.

The Revocation and Release Project would:

- Identify possible model systems and explore the wisdom of replicating parts or all of those systems in other jurisdictions;
- Help participant states devise "sentence revocation guidelines" (similar to successful sentencing guidelines reforms) to replace existing discretionary procedures with evidence-based best practices; and
- Disseminate the study's findings to other jurisdictions and incorporate advances in revocation policies into new Model Penal Code provisions.

The project would dramatically reduce prison admissions and incarceration rates in states that adopt positive changes, conserve community supervision resources for the rehabilitation and reintegration of offenders, and foster fairer and more transparent procedures.

At the March 2012 meeting of sentencing commissions hosted by the Robina Institute, a number of states expressed interest in this project with the goals of (1) implementing policy changes tailored to the needs of those states; and (2) creating models for other jurisdictions to emulate. The states with an immediate interest in participating include Minnesota, Pennsylvania, Alabama, Washington, and California. We expect to reach out to non-participant states through the Model Penal Code process and by working with the National Council of State Legislatures and the Council of State Governments.

Resource Needs

* Professor Reitz would allocate roughly three credits of teaching relief (or 2/3 of average yearly teaching relief) to this project. Professor Reitz could begin work immediately (Fall 2012) in anticipation of a three-credit teaching load reduction starting Spring 2013.

Academic partners would include the University of Wisconsin (Professor Cecelia Klingele). The University of Toronto Centre for Criminology (Anthony Doob) has also expressed interest.

We would seek to hire one Consultant to co-direct the project. Ronald Corbett, Massachusetts Commissioner of Probation, and a national leader in the field of evidence-based probation reform (e.g., Chair of the Reinventing Probation Council that issued the 2000 report, "Transforming Probation Through Leadership"), has expressed interest in joining the project beginning January 2013 (when he will step down as Commissioner). His estimated time commitment would be the equivalent of one-third FTE at an estimated annual expense of \$75,000 per year plus travel and lodging expenses during periods of residency in Minnesota.

We estimate the project will require one quarter of the Post-Doc Research Associate position shown in the budget, one half of one of the two Research Staff positions, and one-quarter of the Support Staff position. We have allocated to this project one quarter of the "Law Student (LPA) opportunities" item in the attached budget.

B. Multi-State Parole and Probation Revocation Project

	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Kevin Reitz teaching buy down (25%)	50,754	52,277	53,845	55,460	57,124	269,460
Robina Institute Fellow (33% time commitment)	75,000	77,250	79,568	81,955	84,413	398,185
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
IT/Web staff (\$50,000 plus benefits-half time position)	7,000	7,210	7,426	7,649	7,879	37,164
Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	221,604	228,252	235,100	242,153	249,417	1,176,526

C. Sentencing Reform Repository Project (Director: Professor Frase)

The National Association of Sentencing Commissions (NASC) was created as a result of a 1993 meeting organized by Kevin Reitz. NASC's mission is "to facilitate the exchange and sharing of information, ideas, data, expertise, and experiences and to educate on issues related to sentencing policies, guidelines and commissions." But NASC has no staff and a very limited budget. As a result, its activities are limited to coordinating the organization's annual meeting, and its website primarily consists of meeting agendas and contact information for member commissions.

The Robina Institute could work with NASC to develop mechanisms for the collection, storage, analysis, and exchange of sentencing guidelines law and policy information. An incredibly rich but largely untapped trove of sentencing data, research reports, guidelines, statutory rules, policy-development materials, and interpretive case law currently exists on scattered sentencing commission web sites and legal databases, or in unpublished documents and agency computer files. Working with NASC and individual sentencing commissions, SLP faculty and their assistants will create a central clearinghouse of documents and guidelines-related materials that will greatly facilitate multi-state research and policy analysis by interested parties, including sentencing commissioners and their staffs, state officials interested in creating guidelines or a commission, and independent researchers. We would also explore ways to facilitate multi-state, comparative research and policy development by encouraging sentencing commissions to collect and report their data in more consistent formats. Over time, SLP could in essence become a secretariat for NASC, providing it the expertise, information resources, and staff support needed to fulfill its information-sharing mission.

The Sentencing Reform Repository Project would:

- Assemble electronic and/or hard copies of all currently available sentencing law and policy materials from as many sentencing guidelines states as possible, including materials in libraries, on commission and other web sites, in legal and other data bases,

and in the personal files of the few scholars who have studied one or more state guidelines systems (three of whom are Minnesota professors – Frase, Reitz, and Tonry) .

- Contact all guidelines states to request additional materials known or suspected to be available for those states.
- Place as much of the gathered material as possible on the Institute's web site, or with links to other web sites.
- Encourage more consistent formats in state guidelines data.
- Identify areas where additional research on state guidelines law and policy is particularly needed, with specific suggestions to interested researchers on how to obtain the necessary data and other materials.
- Create a sentencing research and policy blog on which any interested commissioner, commission staffer, or outside researcher can post comments, news, or research and policy inquiries.

We believe the proposed Repository would fill an important unmet need, and greatly facilitate research and improved sentencing policy in many states.

Resource Needs

As noted previously, this project and the Criminal History Project [A] described above will require substantial amounts of Professor Frase's time. He will divide the time freed up by the proposed 50 percent reduction in his teaching load equally between the two projects.

As noted above, Don Stemen is interested and highly qualified to work on collecting, harmonizing, and making effective use of materials gathered from multiple state guidelines systems. Indeed, he is the ideal person to assist Professor Frase with this project, and he is enthusiastic about the possibilities it presents. His time and travel expenses are expected to be approximately the same for each of these two projects; hence, we have allocated one half of the total "Robina Institute Fellows" expense for Projects A and C shown in the attached budget for his work on the Sentencing Reform Repository Project.

The Repository Project will seek to place much of the gathered material on line directly at the Institute's web site or by links to other sites, so we will need very substantial support from staff skilled at web site design and maintenance. Our budget includes a new staff line for IT/web site work, and that person is expected to spend about half of his/her time on the Repository project.

For additional research and operations work, this project will also require one quarter of the Post-Doc Research Associate position shown in the budget, one half of one of the two Research Staff positions, and one-quarter of the Support Staff position.

To cover additional needs for student research assistance, we have allocated to this project one quarter of the "Law Student (LPA) opportunities" item in the attached budget. We may also need to hire as consultants on this project one or more persons who are current or former members or staff of sentencing commissions – persons who, given their experience, are very knowledgeable about the kind of materials and information that is likely to be of greatest interest and value to sentencing commissions and policymakers. However, we believe we can cover this expense with existing funds.

C. Sentencing Reform Repository Project	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Richard Frase teaching buy down (30%)	48,575	50,032	51,533	53,079	54,672	257,891
Robina Institute Fellow (50% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
IT/Web staff (\$50,000 plus benefits-half time position)	28,000	28,840	29,705	30,596	31,514	148,656
Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
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TOTAL	215,425	221,888	228,544	235,401	242,463	1,143,721

D. Building Partnerships with Parole Release States (Director: Professor Reitz)

Law reform partnerships between policymakers and academics, of the kind established in sentencing-commission states, have not developed with traditional “indeterminate sentencing” jurisdictions that retain parole release as the means to determine prison sentence length (these include roughly half of the states in 2012). In all American law schools, only a handful of faculty nationwide have interest or depth of knowledge in paroling practices, and no organization like NASC exists to build bridges between academic research and indeterminate sentencing systems. The Robina Institute could fill this void, extending the NASC model to indeterminate states, with the goals of promoting policy-relevant research, evidence-based practices, and sharing of reform efforts across multiple jurisdictions.

This project would proceed on two parallel tracks:

- Build a “National Association of Parole Release Systems”; and
- Support discrete pilot projects, with subject matters determined in consultation with participant states.

Because we would rely on authentic collaboration between the Institute and state agencies (as is now the case with the Institute’s NASC-based activities), the substantive projects that would grow out of a NASC-like organization of paroling states should not be dictated in advance. However, the Institute can and will offer suggestions, and will participate actively in setting the direction for reform-oriented projects.

As an illustration, one project the Institute would recommend to participant states is a cross-jurisdictional reappraisal of the use of actuarial risk assessment instruments in parole release decisions. Evidence-based risk assessments can yield smaller prison populations and increased public safety—achieved simultaneously—but many states lack well-designed machineries for this purpose. Many paroling agencies use substandard instruments (e.g., prepared outside the state on populations that do not closely resemble the state’s prison releasees—or prepared in-

state without adequate expertise or validation) and some parole boards use no risk instruments at all. At the same time, while risk measures are becoming ubiquitous in criminal justice, the dangers of inappropriate uses have been under-evaluated. For example, there is a worrisome tendency of "neutral" risk factors (such as prior record and employment history) to correlate with the race of offenders. Instruments must be carefully designed to promote evidence-based practices while paying heed to the dangers of exacerbating racial and ethnic disparities in punishment.

A second potential project would be to encourage the creation of effective laws and procedures to grant parole boards emergency-releasing powers in times of prison overcrowding. Some laws of this kind were enacted in the 1980s but they were seldom used. More recently, in times of crowding emergencies, states have lurched toward one-time, ad hoc solutions that have not addressed longer-term problems that brought about the crises in the first place. A regularized overcrowding-control mechanism, with appropriate early-warning capability, could give paroling states the ability to manage prison population size that they now lack. Given that parole-release states were responsible for the greatest share of America's prison-growth explosion over the past 30 years, innovations of this kind are sorely needed.

Resource Needs

Initially, Professor Reitz would allocate approximately 1/3 of the time gained through teaching relief to this project. As the organizational base for projects with parole release states solidifies, the time allocation can be expected to increase.

Academic partners could include Vanderbilt University (Professors Nancy King and Christopher Slobogin have expressed interest) and the University of Wisconsin.

We would seek to hire one Institute Consultant to help guide the project. Edward Rhine, first choice of the Institute faculty, has expressed interest in joining the project in the 2013-14 academic year. Rhine is Ohio Deputy Director of Corrections for Reentry Programs, a Ph.D. sociologist, well-published author, and leading voice in evidence-based parole reform and prisoner reentry initiatives across the country.

His estimated time commitment would be the equivalent of one quarter FTE at an estimated annual expense of \$50,000 plus travel and lodging expenses during periods of residency in Minnesota.

It is estimated the project will require one quarter of the Post-Doc Research Associate position shown in the budget, one half of one of the two Research Staff positions, and one-quarter of the Support Staff position. We have allocated to this project one quarter of the "Law Student (LPA) opportunities" item in the attached budget.

D. Building Partnerships with Parole Release States

	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
<u>Year 1 (FY 2014)</u>	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Kevin Reitz teaching but down (25%)	21,752	22,405	23,077	23,769	24,482	115,484
Robina Institute Fellow (25% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
IT/Web staff (\$50,000 plus benefits-half time position)	28,000	28,840	29,705	30,596	31,514	148,656
Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	188,602	194,260	200,088	206,090	212,273	1,001,314

II. Next Stage Projects

The high-priority projects outlined above are already far down the road of conceptual planning. A number of initiatives, under consideration for a later date, are described briefly below. Projects of this kind would come to fruition more quickly with added time and resources.

- **Racial disparities in prison and jail populations.** Considerable work on this issue has already been done in Minnesota, and several years ago the Sentencing Commission and Law School faculty began to design a major empirical project to gather important missing data. But this project was never carried out due to lack of staff and funding. And much less data on these issues is currently available for other states. Besides collecting additional Minnesota and other state data, SLP faculty would like to do further research on one of the most promising mechanisms to combat racial disparities: the application of racial impact assessments to current and proposed sentencing rules.
- **Prosecutor roles in sentencing (diversion, charging, plea bargaining, sentence recommendations).** Prosecution decisions (usually made by individual, case-level prosecutors, with minimal supervision or standards) have substantial impacts on the nature and severity of sentences imposed, and are a major potential source of excessive incarceration and sentencing disparities. Even modest improvements in the consistency and resource efficiency of these decisions would have very substantial impacts in most jurisdictions.
- **Prison population management in sentencing guidelines systems.** Policy makers need to know whether sentencing commissions and/or guidelines are the best available vehicle(s) for prison downsizing or controlled growth, and whether these vehicles work better when combined with certain other measures. Several studies have found

correlations between prison population size or growth and sentencing structures, but these studies need to be refined and brought up to date.

- **Promoting sentencing reform.** An overarching goal of SLP, building on all of the projects described above, is to use SLP faculty consulting expertise and research to promote well-designed sentencing guidelines and improved parole-release systems in as many states as possible. This project seeks to preserve the best guidelines systems now in operation (whose virtues do not necessarily guarantee their survival); to improve all existing guidelines and parole systems; and to encourage more states to adopt the well-designed guidelines systems that Professors Frase and Reitz have advocated in their scholarship and model-standards drafting.
- **Comparative Research on Guidelines Systems.** There are functioning sentencing guidelines systems in well over a dozen American states (and also in several other countries, e.g., the United Kingdom, New Zealand, and Israel). Some work has been done comparing these systems, and several of the projects described above will do more work in particular areas. Other fruitful areas for comparative research include grid versus non-grid systems; enforcement measures (e.g., appeals from and/or required statements of reasons for departure from guidelines recommendations); the use and different kinds of resource-impact assessments; retention versus abolition of parole-release discretion; range of offenses covered by the guidelines (some or all felonies; some or all misdemeanors); extent of regulation of non-prison punishments; and release-revocation and other enforcement measures for conditions of non-custodial sanctions).

* * *

The problems of U.S. sentencing practices are so many, and the number of people affected so large, that moving the needle even a little can have dramatic impacts on countless lives. Robina funding has already enabled the SLP to make substantial progress. With the additional support requested in this proposal, we can magnify the impact of the SLP's work dramatically. The full budget for the proposed new projects is attached.

A. Multi-State History Project	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Richard Frase teaching buy down (30%)	48,575	50,032	51,533	53,079	54,672	257,891
Robina Institute Fellow (50% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
IT/Web staff (\$50,000 plus benefits-half time position)	7,000	7,210	7,426	7,649	7,879	37,164
Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	194,425	200,258	206,265	212,453	218,827	1,032,229

B. Multi-State Parole and Probation Revocation Project	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Kevin Reitz teaching buy down (25%)	50,754	52,277	53,845	55,460	57,124	269,460
Robina Institute Fellow (33% time commitment)	75,000	77,250	79,568	81,955	84,413	398,185
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
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Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	221,604	228,252	235,100	242,153	249,417	1,176,526

C. Sentencing Reform Repository Project	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Richard Frase teaching buy down (30%)	48,575	50,032	51,533	53,079	54,672	257,891
Robina Institute Fellow (50% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
Dislocation Expense	10,000	10,300	10,609	10,927	11,255	53,091
Post-Doc Research Associate	20,600	21,218	21,855	22,510	23,185	109,368
Research Staff (\$50,000 plus benefits)	35,000	36,050	37,132	38,245	39,393	185,820
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Support Staff (\$45,000 plus benefits)	15,750	16,223	16,709	17,210	17,727	83,619
Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546

TOTAL	215,425	221,888	228,544	235,401	242,463	1,143,721
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D. Building Partnerships with Parole Release

States	Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
Year 1 (FY 2014)	FY 2014	FY 2015	FY 2016	FY 2017	FY 2018	
Kevin Reitz teaching but down (25%)	21,752	22,405	23,077	23,769	24,482	115,484
Robina Institute Fellow (25% time commitment)	50,000	51,500	53,045	54,636	56,275	265,457
Travel Allowance	2,500	2,575	2,652	2,732	2,814	13,273
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Law Student (LPA) opportunities	5,000	5,150	5,305	5,464	5,628	26,546
TOTAL	188,602	194,260	200,088	206,090	212,273	1,001,314

TOTAL ALL PROJECTS	820,056	844,658	869,997	896,097	922,980	4,353,789
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The Binger Center for New Americans A Proposal to the Robina Foundation

October 29, 2012

Overview

The University of Minnesota Law School would like to partner with the Robina Foundation on a major new initiative that has the potential to help countless people in their quest to become legal residents or citizens of the United States. To be called the Binger Center for New Americans, this program could make major inroads on responding to critical legal and social needs of diverse immigrant groups, and address these needs through a new, collaborative model that would be the first of its kind among law schools.

We are requesting \$4.5 million from the Robina Foundation to launch the Binger Center for New Americans, to provide comprehensive legal services urgently needed by diverse populations of immigrants across the country, and in Minnesota, which has become home to many large immigrant groups in the last 20-30 years. Our vision for the Binger Center for New Americans is to create a new national standard for meeting the legal needs of immigrant communities, while also setting important precedents to shape a more just federal immigration system. The activities of the Binger Center will also provide exceptional practical training for our students. After a four-year pilot program to establish the center, the Law School will request an additional \$25 million to endow the center and fully realize its potential.

This program has the potential to make a dramatic difference for thousands of people seeking to start a new life in America, many of whom are leaving their homes because of dangerous or even life-threatening conditions. We invite the Robina Foundation to share in this vision of expanding urgently needed legal services to immigrant communities and ensuring justice for individuals and families striving to become new Americans.

Barriers to becoming a new American

The U.S. immigration system is cumbersome, expensive, inefficient, and extremely onerous for those seeking to become new Americans. New federal laws since 1996, and sharp escalation in enforcement expenditures following the attacks of September 11, 2001, have dramatically enlarged federal power to detain and deport non-citizens and made it much more difficult to seek asylum and other forms of legal status in the United States. Meanwhile, the immigration courts have become overburdened and dysfunctional. Many immigrants are detained under harsh conditions and then deported without ever seeing a lawyer. In the United States, roughly 400,000 are detained each year, with over 30,000 in detention on any given day. In Minnesota alone, up to 300 are in detention on any given day. Many of these are people seeking asylum, with rights to remain in America.

Non-citizens who are unlawfully detained face an expensive and complex federal legal process. For those who are poor, this challenge is usually beyond their means. While there is some

representation by law students and pro bono attorneys for detainees at their initial hearings, they are typically left to fend for themselves thereafter.

How the Binger Center for New Americans can help

Our vision for the Binger Center for New Americans is to establish a unique, formal collaboration with the area's leading non-profit legal services providers and law firms. By working together, the Law School and its partners can leverage the resources of each partner and expand the range, depth, and impact of the services each now provides on its own. In this way, the Binger Center will create a national model for provision of comprehensive and cohesive legal services to immigrant communities.

The center will also engage law faculty, pro bono attorneys and law students in all stages and forms of immigration litigation, providing our students with a truly extraordinary educational experience while also expanding services to immigrants.

We envision two main components of the Binger Center:

- A comprehensive litigation program dedicated to strategic impact litigation
- A comprehensive community outreach and education program

The Binger Center Impact Litigation Program

The Binger Center would run the region's only comprehensive immigration litigation program. The program will be based on ongoing partnerships with Minnesota's leading non-profit immigration legal service providers—the Immigrant Law Center of Minnesota, The Advocates for Human Rights, and Mid-Minnesota Legal Aid (MMLA)—and with the pro bono programs of three of Minnesota's leading law firms—Faegre, Baker, Daniels; Robins, Kaplan, Miller & Ciresi; and Dorsey & Whitney. (Letters of support from our partner institutions are attached as Appendix I.)

This unique collaborative model accomplishes several goals that cannot be achieved by legal services providers or law firms acting alone. These are:

- Pursuing, through litigation, a sustained and comprehensive set of cases that together result in shaping and improving the law affecting immigrants.
- Augmenting the capacity of law firms' pro bono programs by engaging students—backed by the specialized expertise of our faculty and non-profit partners—to collaborate in the pro bono representation of immigrants.
- Providing students with truly extraordinary experiences in all stages and forms of immigration litigation, from deportation hearings before immigration judges, to habeas corpus petitions in U.S. district court challenging the unlawful detention of asylum seekers, to appellate advocacy in the U.S. courts of appeals and the U.S. Supreme Court.

We will create two new clinics to carry out this work--the Detainee Rights Clinic and the Binger Center Federal Litigation Clinic. These new clinics (together with our existing Asylum Law clinic) will be able to draw on the resources of the Law School's 23 other clinics and our partners as needed to meet the needs of immigrant clients for legal assistance with other problems in areas

such as family law, consumer protection, criminal law, and tax. In this way, the Binger Center will combine depth and breadth in a genuinely transformative enterprise.

The Binger Center Outreach and Education Program

Although Minnesota's existing legal services providers offer a range of education programs designed to inform immigrants of their rights and assist attorneys who may volunteer time, basic education on immigration law and related issues remains a critical need.

The Law School is ideally positioned to augment what is already available in this area through student volunteers and outreach resources available elsewhere in the University. Twenty-six years ago, a group of University of Minnesota law students created the Minnesota Justice Foundation (MJF), which now provides legal aid for thousands of under-represented Minnesotans by coordinating the efforts of volunteer law students and attorneys. Although MJF serves all four area law schools, the University of Minnesota Law School remains its home and our students provide thousands of hours of pro bono legal services to the community every year.

The Law School also has a student-run Asylum Law Project, in which 100 or more students every year volunteer over their winter and spring breaks to represent immigrants and asylum-seekers on legal issues at U.S. points of entry. With training and support from the Binger Center, law students could be deployed to community centers, schools, and other locations in Minnesota's immigrant communities to offer "know your rights" programs and intake services. MMLA's public legal resource website can contribute low-literacy written materials, many of which are available in languages other than English.

Law students would also provide legal advice to would-be entrepreneurs in the immigrant community. The Law School already runs a business law clinic that advises new businesses on legal issues ranging from the creation and interpretation of contracts to business formation, management, and governance. Similar services for immigrant entrepreneurs would be provided through the Binger Center. *

Finally, the Law School will identify resources elsewhere in the University community that might benefit Binger Center clients and immigrant communities. For example, Kathy Fennelly, an immigration expert at the Humphrey School of Public Policy, is interested in working with us on providing legal education to immigrant communities. She is developing an e-course on immigration basics for law enforcement professionals, funded by a small grant from the Ramsey County Sheriff's office. Her goal is to disseminate the course widely across the U.S. It might be tailored to be useful for any population of individuals working with immigrants, including police, teachers, prison volunteers, public defenders, judges, and others.

Minnesota is the ideal place for a center focusing on the legal needs of immigrants

There are multiple reasons why Minnesota is an ideal place for the center we envision.

In the last 20-30 years, Minnesota has unexpectedly become home to the nation's largest Somali community, the nation's largest urban Hmong community, what may be the nation's largest Liberian community, and significant refugee populations from Burma, Ethiopia, and the former Soviet Union.

Moreover, Minnesota supports an unusually strong ethos of public service. We are fortunate to have in this area some of the country's leading non-profit legal services providers and major law firms with commitments to pro bono practice far greater than in most other communities. The Law School regularly partners with these non-profits and law firms on a variety of projects. For example, we partner with The Advocates for Human Rights to run our existing asylum law clinic and with Mid-Minnesota Legal Aid to run our housing clinic. As a result, the Law School is ideally positioned to foster closer collaboration among all of the Binger Center partners.

The Law School also has the expertise to make the Binger Center successful. The Law School already operates one of the country's oldest and largest clinical programs. We have highly experienced faculty working in related areas. For example, Steve Meili, who runs the Law School's Immigration and Human Rights Clinic, recently received an NSF grant to conduct a comparative study of immigration practices in multiple countries. In short, all the components of a unique, high-impact program are on hand.

Potential impact

The impact litigation program will transform the level and quality of representation presently available to detained immigrants and others seeking to assert their rights in federal court. It will also help reshape U.S. immigration law by establishing important precedents with national reach.

Detainee Rights

For the past several years, The Advocates for Human Rights, the Immigrant Law Center of Minnesota (ILCM), and area law schools, including the University of Minnesota Law School, have jointly operated a detention project at the local immigration court. Unfortunately, inadequate resources mean representation is generally very limited. The local immigration court processes approximately 2000 cases involving detained immigrants annually; of those, only 20-30 receive full representation. The rest typically receive very little -- usually a brief consultation or, at most, representation at an initial, preliminary hearing.

A dedicated clinic would transform that bleak picture overnight. The clinic could take eight to ten students per semester and handle roughly six to eight cases per student, for a total of 100 to 160 cases per year. By itself, that would be a dramatic increase. But we expect to be able to handle many more cases by partnering students with lawyers at our law firm and pro bono partners and by providing training and technical assistance on immigration matters to volunteer lawyers as needed to enable them to handle immigration cases and supervise law students.

Federal Litigation Clinic

With very limited resources, ILCM's pro bono litigation project has managed to initiate approximately 5 new Eighth Circuit petitions for review each year, and to enter a few other Eighth Circuit cases as *amicus curiae* or to assist with petitions for rehearing/rehearing *en banc*. ILCM also litigates 1-2 district court actions per year on behalf of detained immigrants. In total, then, ILCM has participated in about 8-10 cases per year.

Many of those cases have yielded major national precedents. To cite just one example, a recent ILCM case led directly to a new Department of Homeland Security policy protecting most

children under 18 from the harsh consequences of a statute banishing aliens who have made a false claim of U.S. citizenship.

But ILCM lacks the resources to continue the pro bono litigation project. The Binger Center would take that project in house, with 10-12 students per year working on important federal appellate cases in teams of 2-3. In this way, we should be able to triple the number of circuit petitions for review each year, to at least 20 cases. Moreover, we expect that our collaborative model will allow us to handle 15-20 district court actions per year on behalf of detained immigrants (through *habeas corpus* petitions) and other immigrants challenging the conduct of the Department of Homeland Security (*mandamus*, Administrative Procedure Act (APA), and other actions).

The clinic would also give the Law School and our community the capacity, for the first time, to systematically identify, track, and shape cases from the earliest stages in local immigration court and to groom appropriate cases as vehicles for circuit court and Supreme Court litigation. The clinic would also enable us to pursue systemic federal (and state) litigation on behalf of large groups or classes of immigrants. In these ways, the Binger Center would have a major impact on countless immigrants, their families, and on the immigration system as a whole.

Proposal to the Robina Foundation for establishing the Binger Center for New Americans
With the Robina Foundation's help, we propose to establish the Binger Center for New Americans in two steps.

Step 1: Launch the center with \$4.5 million for a four-year pilot program.

- Collaborate with top non-profits and area law firms to design key program initiatives of the center and set goals for outcomes.
- Meet goals for number of cases handled and individuals served, as described above.
- Use litigation to establish system-changing legal precedents.
- Place students with partner organizations to expand the capacity for handling pro bono cases, with a goal of providing outstanding experiential learning opportunities to students outside of the existing Law School clinics.
- Establish new programs for educating immigrants about their legal rights.

The attached budget specifies how the requested funds would be applied during the four-year pilot period.

Step 2: Endow the center with \$25 million to fully realize its long-term potential.

If the pilot project meets or exceeds its goals, we would ask the Robina Foundation to endow the Center to enable it to continue and expand its work.

A fully realized Binger Center would include:

- The Detainee Rights and Federal Litigation clinics described above.
- The asylum law clinic already operated by the Law School.
- A new Human Trafficking Clinic, as outlined in the Law School's original proposal.

- The Outreach and Education Program described above, but expanded to include economic development projects.
- An Executive Director to oversee the Center's operations and to facilitate an expansion in the number of partner institutions (law firms and non-profits) to increase the reach and impact of the Binger Center.

We anticipate that the annual operating costs of a fully realized Binger Center would be approximately \$1 million. An endowment sufficient to cover those costs would be approximately \$25 million.

Conclusion

A fully realized Binger Center will transform thousands of lives. It will help families remain together or reunite, shield individuals from deportation to countries where they will face violent persecution, and reshape the U.S. immigration system in ways that mitigate some of its harshest aspects. More broadly, the Binger Center will offer countless prospective new Americans basic legal protections in their quest for citizenship and a new life. And it will do this through a unique formal collaboration that will leverage the resources of the partners and establish a new national model. We think this is a fitting way to honor Jim Binger and for the Foundation to leave a lasting legacy at the Law School.

BINGER CENTER FOR NEW AMERICANS

Assume 7/1/2013 start date

	Year 1 2014	Year 2 2015	Year 3 2016	Year 4 2017	TOTAL
N. Cook: 50% buy out (salary @ \$153,240)	108,003	111,244	114,581	118,018	451,846
New Faculty #2 (@\$120,000)	170,800	175,924	181,202	186,638	714,563
New Faculty #3 (@\$120,000)	170,800	175,924	181,202	186,638	714,563
Co-Partner: Immigrant Law Center of Minnesota (ILCM)	50,000	51,500	53,045	54,636	209,181
Co-Partner: Advocates for Human Rights (Advocates)	50,000	51,500	53,045	54,636	209,181
Co-Partner: Mid-Minnesota Legal Assistance (MMLA)	50,000	50,000	50,000	50,000	200,000
Teaching Fellows (2 @\$70,000)	193,740	193,740	193,740	193,740	774,960
Adjuncts (6 @ \$6,000)	36,000	36,000	36,000	36,000	144,000
Student Clinic Directors (8 @ \$2,500)	20,000	20,000	20,000	20,000	80,000
Program Associate (@ \$50,000)	70,050	77,055	77,055	77,055	301,215
Outreach Activity (Includes Web based activity)	30,000	30,000	30,000	30,000	120,000
General Supplies/Operations	50,000	50,000	50,000	50,000	200,000
Space Renovations	350,000				350,000
SUBTOTAL	1,349,393	1,022,887	1,039,869	1,057,361	4,469,511

ENDOWMENT AMOUNT

20,000,000	25,000,000
900,000	1,125,000

4.5% payout



October 29, 2012

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

To Whom It May Concern:

On behalf of The Advocates for Human Rights, we are pleased to submit this letter of support for the University of Minnesota Law School's proposal to the Robina Foundation to launch the Binger Center for New Americans. The Advocates for Human Rights and the University of Minnesota Law School have had a long and successful partnership and we have great enthusiasm for this innovative project that would expand our work together.

The proposed function of the Binger Center directly aligns with The Advocates' mission to implement international human rights standards to promote civil society and reinforce the rule of law. The Binger Center will help those seeking to become new Americans to realize the full range of their human rights. In providing this help, the Binger Center will leverage the resources of individual organizations like The Advocates. The proposed Binger Center will expand the range, depth, and impact of The Advocates' legal services by increasing our collaboration with law firms and other non-profit legal service providers. This collaboration will allow organizations like The Advocates to respond more comprehensively to the critical legal and social needs of immigrant groups in our community.

The valuable services provided by the proposed Binger Center will bring our community closer to The Advocates' vision of a world in which every person lives with dignity, freedom, justice, equality, and peace. To realize this vision in our community, immigrants and asylum seekers in the United States must have access to the services provided by the proposed Binger Center. The current United States immigration system poses significant barriers to those seeking to become new Americans. While The Advocates is able to alleviate these barriers for many by providing free legal services, there are many others whose needs go unmet. By enhancing the work of organizations like The Advocates, the proposed Binger Center will have a significant impact on the lives of immigrants and asylum seekers not only in our community, but throughout the United States.

We sincerely hope that the Robina Foundation will support the University of Minnesota Law School's proposal for the Binger Center for New Americans.

Sincerely,


Robin Philips
Executive Director


Deepinder Mayell
Refugee and Immigrant Program Director

John Keller, Esq.
Executive Director

Lenore Millibergity, Esq.
Senior Attorney

Melissa Stuhlman, Esq.
Senior Attorney

Susan Jorgensen Flores, Esq.
Staff Attorney

Kathleen Klos, Esq.
Staff Attorney

Ana Lisa Peña, Esq.
Staff Attorney

Laueh Roland
Legal Assistant

Jessica Grady
Intake Specialist

Micaela Schuneman, Esq.
Staff Attorney

Gail Martinson
Legal Assistant



Immigrant Law Center of Minnesota

450 North Syndicate Street • Suite 175 • Saint Paul • Minnesota • 55104

Tel: 651.641.1011 • 1.800.223.1368 • Fax: 651.641.1131

www.ilcm.org • E-mail: ofcinalegal@ilcm.org

Melissa Pfeiffer
Associate Director

Selena Britzius-Negash, Esq.
Program Director

Kathleen Lohmar Exel, Esq.
Development Associate

Felipe Illescas
Policy Associate

Anne Applebaum, Esq.
Pro Bono Director

Graham Ojala-Barbour, Esq.
Staff Attorney

Tammy Villegas
Office Manager

Stephanie Rosario-Alvarez
Receptionist

Xong Lor
Legal Assistant

Isbely McKeen
Legal Assistant

Calleigh McRaith
Special Project Attorney

October 29, 2012

Dean David Whippman
University of Minnesota Law School
Walter F. Mondale Hall
29 19th Avenue South
Minneapolis, MN 55455

Dear Dean Whippman:

I write to express the Immigrant Law Center of Minnesota's (ILCM) complete and unqualified support for your efforts to develop the Binger Center for New Americans.

ILCM is the state of Minnesota's leading immigration legal service provider. We provide high-quality legal representation, Federal and State policy work, and education to multiple stakeholders. Our main focus is to provide legal representation to individuals and families statewide who are low-income and who have immigration legal needs. During 2011 we represented over 3,000 individuals and our clients came from 102 countries. Our legal work is unique in the state as we are the only provider that offers comprehensive representation that seeks to meet as wide of a range as possible of the low-income, non-citizen community's immigration legal needs as possible. Our legal work ranges from administrative cases requiring only a handful of hours to complex litigation at the Board of Immigration Appeals, the 8th Circuit Court of Appeals and the Supreme Court that can take many years to resolve.

We are also committed to helping to raise the voices of our clients and their family members to engage in systemic change of our broken immigration system and strategic litigation to similarly build greater fairness and protection through the courts for today's new Minnesotans. This has meant that young immigrants without legal status have walked the halls of Congress pressing for the Dream Act, and low-income refugees from East Africa have testified before Minnesota Committees seeking support to expand citizenship.

ILCM also actively works to educate all of the state of Minnesota around issues of immigration law and policy. Our work has led us to form strong coalitions to reach multiple constituencies with Minnesota's business community with leadership from the Minnesota Chamber of Commerce, organized labor, law enforcement, state and local governments, school districts, and religious and other non-profit organizations. Our education work

A nonprofit organization serving immigrant and refugee families and individuals in immigration matters throughout Minnesota

also seeks to help young immigrants and refugees understand their rights and responsibilities in the U.S. through our No Second Chance video and curriculum delivered to middle and high school students as well as our recent outreach to more than 1,500 young people and their parents about President Obama's new Deferred Action for Childhood Arrivals program.

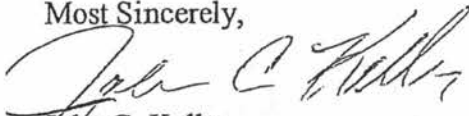
The creation of the Binger Center and the Litigation Clinics at the University of Minnesota law school will allow an already tested, effective ILCM Appellate Litigation Project to grow and mature into a regional and national force capable of effectively litigating matters that will have systemic impact for New Minnesotans and the nation's immigrant and refugee communities as a whole. Minnesota has a strong history of both welcoming immigrants and refugees and also responding to their needs once they have arrived in our state. All three non-profits' diverse clientele, the volume of cases we see every year, and the strong partnerships that have already been successful in litigating for systemic immigration law and policy changes are perfectly positioned to ensure that the Binger Center will lead systemic litigation that will have meaningful impact.

Additionally, the need to build capacity in Minnesota to provide greater access to full deportation defense representation to individuals facing removal is more critical now than ever. The Minnesota Detention Project, of which ILCM and the Advocates for Human Rights are founding members, is a minimally funded, public defender-like system of screening, brief advice, and full representation when capacity allows for Minnesota's low-income immigrants and refugees. Our work with the Project over the last 13 years has helped us win stays of deportation and new beginnings for victims of torture; persons with U.S. born children and long-term equities; individuals with diminished or significantly impaired mental capacity; minors; and even U.S. citizens. Unfortunately, due to reduced funding and dramatically increased immigration enforcement, the rate of persons being deported from Minnesota has more than doubled over the last 5 years at the same time our capacity has diminished. This dramatic growth in deportations mirrors similar nationwide trends. Through expanded capacity by the Binger Center and all of its partners, we will begin to rebuild the safety net of providing adequate representation to everyone who qualifies for it in Minnesota.

ILCM also strongly supports the creation of holistic legal services for New Minnesotans that will be served through the Binger Center. By coordinating closely with Mid-Minnesota Legal Services' (MMLA) multiple areas of expertise and over 100 years of serving Minnesota's low-income individuals' legal needs, Binger Center clients will be able to address multi-jurisdictional issues of public benefits, housing, family law and others to remove barriers and build stronger futures and families. Additionally, all three organizations, ILCM, the Advocates and MMLA each have strong, supplemental educational curricula and expertise that can be channeled for the first time in a comprehensive way with all of the University of Minnesota's resources to create a source of expertise that benefits both the New Minnesota populations as well as policy leaders and the rest of Minnesota's stakeholders.

In closing, I would be more than happy to provide any additional information or serve as a resource in any way to create the Binger Center. It is of the highest importance to me, to ILCM and its peer non-profits, and to establishing a more just and equitable community in Minnesota and United States.

Most Sincerely,



John C. Keller
Executive Director



MID-MINNESOTA LEGAL AID
Cathy Haukedahl • (612) 746-3702 • chaukedahl@mylegalaid.org

October 29, 2012

Dean David Wippman
University of Minnesota Law School
229 -19th Ave. S.
Minneapolis, MN 55445

Re: Robina Foundation Proposal

Dear David:

Thank you for inviting Mid-Minnesota Legal Aid to participate in the University of Minnesota Law School's proposal to the Robina Foundation to fund The Binger Center for New Americans. If funded, Legal Aid would welcome the opportunity to dedicate a part-time staff person to the project. The proposed Center holds a promise of leveraging resources to make a real difference in the lives of immigrants, and in our community, in several different ways.

While all three of the participating non-profit legal services organizations do the legal work identified in the proposal, the need for the work is far greater than the resources currently available. Leveraging the expertise within the legal services organizations with additional pro bono and student resources, will enable the project to reach significantly more clients and has potential for litigation to achieve systemic change. Legal Aid can uniquely assist with its expertise in providing comprehensive legal representation to immigrants in areas beyond immigration such as housing, government benefits, family, consumer, tax, juvenile, elder, and disability law. Many, if not most, of our immigrant clients have multiple legal needs.

The outreach and education component of the proposal also offers significant opportunities for synergy. For example, Legal Aid engages in outreach and education to immigrants regarding all areas of our practice. In addition, with the support of the other Minnesota Legal Services Coalition programs, Legal Aid developed and maintains two extensive legal education and outreach websites: www.lawhelpmn.org as a public resource; and www.projusticemn.org as a resource for pro bono attorneys. We would welcome the opportunity to extend the reach of these resources through the proposed collaboration.

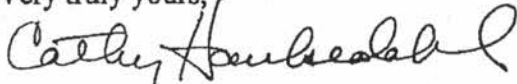
All of the participating legal services organizations have pro bono programs, and we all work with the major Twin Cities law firms to expand pro bono resources to meet client needs. Aligning the resources of these legal services programs and law firms with the Law School to address a particular area of unmet need is particularly exciting because it could serve as a model for collaboration beyond immigration in the future to meet other legal needs in the community.

David Wippman
October 29, 2012
Page 2

Finally, a project such as this that gives law students an opportunity to learn many fundamentals of practice, while working to change lives, reaping significant benefits for the community in the future. Legal Aid lawyers teach the Law School's Housing and Workers' Rights Clinics at the law school, among others, and Legal Aid generally has 15 – 25 law students in the office as volunteers or work-study law clerks at any given time. Legal Aid staff place a high value on mentoring and utilizing these students in meaningful client-related projects. Through this work, students experience the difference they can make with their law degree. These students are the future's legal services staff attorneys and private pro bono attorneys.

Please let me know if I can provide any additional information that would be helpful to the proposal. I look forward to our continued work together on this project.

Very truly yours,



Cathy Haukedahl
Executive Director

CH:bbo

PERRY M. WILSON, III
PRO BONO PARTNER
(612) 340-8722
FAX (612) 340-2868
wilson.perry@dorsey.com

October 26, 2012

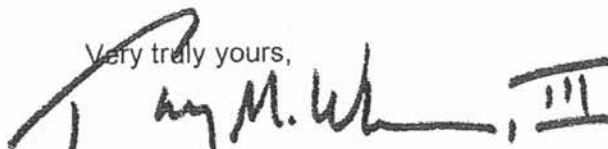
Dean David Wippman
University of Minnesota Law School
Walter F. Mondale Hall
229-19th Avenue South
Minneapolis, MN 55455

Re: Binger Center for New Americans

Dean Wippman:

Dorsey & Whitney LLP is pleased to support the law school in your proposal for the Binger Center for New Americans. The innovative and collaborative approach you are proposing for this project would improve the ability for Pro Bono efforts to reach more people in need of these services. We would be pleased to support this project through our Pro Bono program and as you know, we have a strong and deep commitment to Pro Bono work in our firm. This project would enable an even greater number of our attorneys to connect with people in need of our Pro Bono assistance.

Very truly yours,



Perry M. Wilson, III
Pro Bono Partner

PMW:skk

Dianne C. Heins
dianne.heins@FaegreBD.com
Direct +1 612 766 7778

Faegre Baker Daniels LLP
2200 Wells Fargo Center ▼ 90 South Seventh Street
Minneapolis ▼ Minnesota 55402-3901
Phone +1 612 766 7000
Fax +1 612 766 1600

October 19, 2012

Mr. David Wippman
Dean
University of Minnesota Law School
95H Mondale Hall
229 19th Avenue South
Minneapolis, MN 55455

Dear Dean Wippman:

Thank you for the opportunity to express support for the proposed Binger Center for New Americans (the Binger Center). The Binger Center presents an innovative approach by a major university to offering multi-disciplinary services to immigrants in our community.

In this letter, I will address the first phase of the Binger Center's potential development, the Binger Center Impact Litigation Program. By focusing first on the unmet legal needs of immigrants, the Center addresses an area of critical concern for those who would become New Americans. Resolving these immediate legal needs provides stability to immigrant families, which in turn allows them to put down roots and integrate into the economic fabric of the community as entrepreneurs, employers, and employees. It allows children of immigrant families to secure and take advantage of the educational opportunities which will make them important participants in the health and vibrancy of our communities in future years. It allows our communities to grow and be enriched by the diversity and cultural heritage of immigrant populations.

The cornerstone of the Impact Litigation Program is unique three-way collaboration between the University of Minnesota Law School, community nonprofit organizations which meet the legal needs of immigrant populations, and area pro bono law firms. While many of us work together regularly, this is an important new coordination of resources between strong partners, each of which brings something different to the partnership, to address an issue that none of us has been able to address on our own.

While Minnesota has a robust civil legal services infrastructure and significant pro bono resources, demand for legal assistance on immigration-related matters continues to outstrip capacity. A coalition of legal services providers, clinical educators and pro bono leaders has been meeting to identify areas in which the shortage of representation is most critical. The strong consensus of the body is that individuals who are detained by immigration authorities are most in need of legal representation. While

this same coalition provides brief pro bono consultation and advice through the Minnesota Detention Project prior to clients' first appearance in Immigration Court, there is no resource which specifically provides representation to low-income clients who have viable defenses against removal [deportation] based on family ties, length of presence in the United States or other positive factors. For low-income clients, unable to post high bond costs or retain an attorney, the combined prospect of remaining incarcerated indefinitely and lack of legal representation to present their cases becomes a coercive force in making a decision to accept an order of removal. In turn, families which might have remained intact are separated, often with ensuing disruption of education, housing, and employment for family members who are left behind. In creating the Detainee Rights Clinic, through which students and pro bono lawyers provide representation to detained clients, the Binger Center strikes at the heart of this coercive dynamic.

The initial phase of the Binger Center also will offer a Federal Litigation Clinic to shape jurisprudence in immigration law, and the Human Trafficking Clinic. Each of these also addresses significant immigration-related barriers for New Americans. By bringing these three clinical programs together, the Binger Center creates a program that has both breadth and depth, and will become an important participant in the

Our firm's pro bono practice has provided representation to adults and children in immigration matters for many years. We know first-hand the complexity of these cases, as well as the high human costs at stake. We have worked on these cases with all of the legal services organizations involved with the Binger Center, and can attest to their excellent programs and strong commitment to client service. Likewise, we have worked with clinical programs at the University of Minnesota, such as the Kommerstad Center, and know the exceptionally high quality of the educational experience offered. We commend the University for its innovation in this area, and look forward to working with the Binger Center, as part of a pro bono team or otherwise, in the years ahead.

Across the country, many universities are observing the 150th anniversary of the Morrill Act of 1862, historic legislation which established the land-grant college and university mission of learning, discovery and engagement in the common good. In my opinion, this is the hallmark of the American experience: to provide publically supported post-secondary education, open to all, for the long-term benefit of the community. As the University of Minnesota celebrates its land grant mission in 2012, I can think of no more appropriate modern manifestation of that mission than the Binger Center for New Americans. Meeting the critical legal needs of immigrant families lays the foundation for their full participation as New Americans; this is truly learning, discovery and engagement in the common good in action.

Mr. David Wippman

-3-

October 19, 2012

Please do not hesitate to call me if you would like any additional information about our firm's support of the Binger Center for New Americans.

Very truly yours,

A handwritten signature in dark ink, appearing to read "Dianne C. Heins", with a long, sweeping horizontal line extending to the right.

Dianne C. Heins
Director and Pro Bono Counsel

HEIDC

fb.us.9308038.01

October 10, 2012

Via Email & U.S. Mail

Mr. David Wippman
Dean of the Law School and
William S. Pattee Professor of Law
University of Minnesota
381 Mondale Hall
229-19th Avenue South
Minneapolis, MN 5545

RE: Binger Center for New Americans

Dear Dean Wippman:

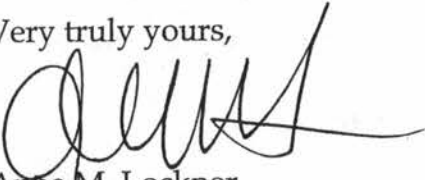
I am writing to follow up on our discussion last month about the potential for Robins, Kaplan, Miller & Ciresi L.L.P. to partner with the University of Minnesota Law School's proposed Binger Center for New Americans. As you described it, we would have the opportunity to continue to take on asylum and federal civil litigation cases as we have in the past with The Advocates for Human Rights and the Immigration Law Center of Minnesota, but we would also have the option of partnering in those cases as part of the Law School's clinic. We believe this would be an outstanding opportunity for all parties involved—the students, the attorneys, the non-profit organizations, and most importantly, the clients. We have already partnered with Ben Casper, who I know is integral to your proposal, and would welcome the opportunity to continue to work with him under this program.

The structure you have proposed would allow us to strengthen our relationship with the University and have an opportunity to engage with students in a substantive context. It would also provide our attorneys with the opportunity to co-counsel with specialists in these fields which would encourage attorneys to take on cases that they might otherwise shy away from. I also expect the opportunity to work with and mentor students to be a motivating factor for our attorneys. I believe that what you have outlined has the potential to take the work that is already being done and broaden its reach exponentially. I would hope that with the support of your program and the chance to work with students in a clinical setting, we would be able to recruit more attorneys to take on even more cases that we already handle.

As I mentioned when we met, Robins, Kaplan is ranked 8th in the country by THE AMERICAN LAWYER for the amount of pro bono that we do which has amounted to over 7% of our billable hours for the past several years. We take great pride in our program, but the needs of our community continue to grow and our capacity to serve those needs simply cannot keep up. Your proposal would bring together some amazing forces — (1) the experience, tenacity, and resources of some of the Cities' largest firms; (2) the expertise, commitment, and organizational structure of the non-profit partners; (3) the academic rigor, prestige, and faculty of the University; and (4) the enthusiasm, passion, and excitement of the students. Together these forces are sure to have a great impact on tackling the challenges facing so many immigrants today.

I thank you for your vision and I hope we can help you bring it to fruition. Thank you again for letting us in on this opportunity and please let me know how we can be of assistance. I look forward to working with you going forward.

Very truly yours,



Anne M. Lockner

First Annual Report to the Robina Foundation on The Robina Institute of Criminal Law and Criminal Justice

October 29, 2012

The Institute is now fully staffed, and organized in three program areas: Criminal Law Theory (Program Area Director: Antony Duff); Sentencing Law and Policy (Program Area Directors: Richard Frase and Kevin Reitz); and Criminal Justice Policy (Program Area Director: Michael Tonry). For each program area, the Institute has set goals and research agendas and held an extraordinary series of conferences, leading to a stream of books and articles that will influence thinking about the American criminal justice system for years to come. The Institute has also launched a series of projects aimed at revamping existing criminal justice policies, particularly in the Sentencing Law and Policy Program area.

The Institute's activities are coordinated by an Executive Director (Michael Smith). To streamline the Institute's organizational structure, we have made Michael Smith's position full-time and eliminated the faculty co-director positions in favor of a faculty steering committee consisting of each of the four faculty program directors. Administrative support is provided by an Administrative Assistant (David Hanbury) and a Communications Specialist (Robbi Strandemo). The first of a small cadre of Research Fellows (Zach Hoskins) is on board, working primarily in Criminal Law Theory, but assisting in the development of the work agendas and activities in all three Program Areas. The Institute has developed a new and comprehensive website (<http://www.robinainstitute.org/>), which provides visitors easy access to Institute publications, to agendas and videos of Institute events, and to external resources of likely interest to anyone seeking information about crime and criminal justice policy.

To further the Institute's goal of making Minnesota the center of an international network of criminal law scholars, practitioners, and policy makers, the Institute launched its Visiting Scholars and Practitioners Program in 2011. Visitors so far have included Professor Julian Roberts (Oxford), Professor Nicola Lacey (Oxford), Professor Nicola Vincent (Macquarie and Delft Universities) and Professor Andrew Ashworth (All Souls College, Oxford). At a small reception on October 3, the first two Visiting Practitioner Fellows were welcomed to the Institute: John Stuart (Minnesota's Public Defender for the past 22 years) and Geoffrey Edblad (Isanti County Attorney and, for the past seven years, chair of the Minnesota Sentencing Guidelines Commission). The Institute has chosen criminologist Kieran McCartan for its spring 2013 Visiting Scholar: he will spend April at the Law School, conducting focus groups to investigate community understandings of and attitudes about the rehabilitation and community reintegration of child sexual offenders.

The Annual Robina Conferences

The Institute has launched a series of annual Robina Institute Conferences. The first ("Crime and Justice in America 1975-2025") was held at the Law School in April 2012. This conference reviewed the interaction of policy and research in criminal justice from 1975 to date, and looked ahead at likely developments through 2025. More than 200 academics, judges, and policy

makers were in attendance, two-thirds from Minnesota and one-third from throughout the United States and from other countries, split about equally between practitioners and academics. Papers presented at the conference were dissected at the smaller Friday and Saturday sessions and will be published as a University of Chicago Press book.

Set out below is a summary of the work being conducted in each Robina Institute program area.

Criminal Justice Policy

The work in this Program Area aims to contribute to a major restructuring of the American criminal justice system, with particular emphasis on reduction of the mass incarceration that has produced an American imprisonment rate approaching 800 per 100,000 population, eight times higher than the average of other developed countries. Michael Tonry, Program Area Director, is a member of a newly created National Academy of Sciences Panel on Mass Incarceration; it was constituted to survey evidence and experience and propose solutions. Tonry has also been participating in MacArthur Foundation deliberations as that foundation contemplates launching a decade-long (or longer) attack on mass incarceration.

The particular role the scholarly community can best play in these processes is to distill current knowledge, on which any evidence-based solutions must be based, and to test the possible effects of policy proposals. Daniel Nagin (Carnegie-Mellon, Heinz School of Public Policy, and Chair of the National Academy of Sciences Panel on the Deterrent Effects of Capital Punishment) and Jeffrey Fagan (Columbia and Yale Law Schools, and the most talented social scientist specializing in criminal justice) have agreed to serve as external co-directors of the Program Area.

The Criminal Justice Policy Program Area organized the First Annual Robina Institute Conference in April. The aim was to establish what has been learned, and how policies on key subjects—e.g., drugs, guns, violence, policing, sentencing—have evolved since 1975 and to project alternative futures. The speakers were without exception the leading specialists in their fields. Revised versions of the papers presented will be published in 2013 by the University of Chicago Press in a volume entitled *Crime and Justice in America, 1975-2025*. Presentations based on the revised papers will be presented in two featured sessions of the American Society of Criminology in November 2012 in Chicago.

Other work underway focuses on knowledge about crime and criminal justice processes. The “Comparative Prosecution Studies Project” started with a conference in Minneapolis in April 2011 attended by leading American and European scholars, senior American prosecutors from Minnesota and elsewhere, and the Director of Public Prosecutors of Ireland. The aim of the meeting was to learn how prosecution systems in three U.S. states (Arizona, North Carolina, and Washington) and six diverse countries (Italy, Switzerland, the Netherlands, Poland, Sweden, and Japan) have evolved since 1970, how they are organized, what roles they play, and how knowledge from across state lines and from other countries can inform American policy debates. The resulting book, *Public Prosecution in Comparative Perspective*, based on revised versions of commissioned papers, was published in 2012 by the University of Chicago Press.

The "Cross-National Crime Trends Project," in collaboration with the Netherlands Institute on the Study of Crime and Law Enforcement, is documenting and developing explanations for the little-recognized decline in crime rates (from homicide to burglary and auto theft) that has characterized all developed countries since the early or mid-1990s. Conferences involving American and European specialists from law, economics, demography, sociology, history, and criminology were held in Amsterdam in 2010 and in Bologna, Italy in spring 2012. Papers were commissioned for both conferences and for a follow-up in spring 2013. This is the *first major effort underway anywhere to understand why crime rates have been falling throughout the world*. The potential policy implications are huge. Results will be widely disseminated through scholarly and policy channels.

Future work in this Program Area will continue to focus on reform of the criminal justice system and solutions to mass incarceration. The possibility of launching a study commission remains under consideration, including possible collaboration with the MacArthur Foundation and National Academy of Sciences initiatives mentioned above. Other work currently underway includes a comprehensive survey of knowledge concerning the tangled relations among immigration, ethnicity (including race), and crime, which will be published in 2013 as the *Oxford Handbook of Ethnicity, Crime, and Immigration*, and a survey of American sentencing research and policy since 1960. The fruits of the sentencing work, a book entitled *Sentencing Fragments and Sentencing Reforms*, will be published by Oxford University Press in 2013 or 2014.

Sentencing Law and Policy (SLP)

The Institute's work in this Program Area got underway with a meeting on December 2 and 3, 2011, which brought to the Law School twenty experts in community corrections to help chart revisions of the sentencing and corrections provisions of the American Law Institute's *Model Penal Code*. The Robina Institute's Kevin Reitz is lead Reporter for these revisions, responsible for drafting them and shepherding them through the ALI's multi-year process of refinement and promulgation. The original *Model Penal Code* was the most successful criminal law reform project of the 20th century, and was adopted in whole or in part by 40 state legislatures after its promulgation in 1962. The current, first-ever revision of the MPC is a unique opportunity to leverage the Code's stature to draw serious attention to problems in the criminal justice system most in need of reform.

The December meeting focused on noncustodial penalties, and the noncustodial portions of prison sentences (parole or "postrelease supervision"). It also addressed the enormous problem of "collateral consequences" of conviction. On any given day in the United States, there are 5 million people on probation or parole, and many more, who have completed their sentences, struggle to reestablish their lives in the face of the many legal disabilities imposed on ex-offenders (such as restrictions on employment opportunities and ineligibility for public housing and student loans). To help develop proposals for the *Model Penal Code* revisions, probation and parole officials from Massachusetts, Minnesota, Washington State and Ohio were joined by law professors from Minnesota, Wisconsin, and Vanderbilt and by representatives from the ACLU and the Minnesota Sentencing Guidelines Commission.

The December meeting set the template for the new proposed community corrections provisions that first appeared in a "Discussion Draft" completed in March 2012. These proposals, on a wide range of subject areas, will continue to be revised and improved over the coming 18 months. At 154 pages, the draft was well received within and beyond the ALI, as a powerful framework for addressing a host of problems now facing sentencing law and policy. (The draft was discussed with approval on the New York Times editorial page on May 19, 2012, see Lincoln Caplan, "Punishment Outside Prison.") The Robina Institute meeting was critical to the quality and scope of the March 2012 proposals. Also, as a direct result of the meeting, two participants were appointed by the ALI as Advisers to the revision process and another participant, Wisconsin Law professor Cecelia Klingele, was selected by Kevin Reitz to serve as Associate Reporter for the revision project.

A second conference in the Sentencing Law and Policy [SLP] program area was convened in March 2012. It brought together 35 individuals who have been working on sentencing guidelines—as members and staff of federal or state sentencing guidelines commissions or as scholars who study them. The aim at this meeting was to identify important current developments and to identify possible institutional collaborators for SLP research on difficult issues in guideline construction and application. Several possibilities for collaborative work with sentencing commissions emerged from the meeting:

- (1) A study of the use of criminal history scoring in sentencing guidelines, and the possibility of recalibrating the rules to improve public safety, reduce excessive or disproportionate prison sentences, and reduce racial disparities in punishment.
- (2) A multi-state collaborative project to address high failure and revocation rates for offenders who are serving sentences of probation or who are under parole or post-release supervision.
- (3) Research on ways to incorporate improved risk and needs measures into guidelines systems.
- (4) Co-hosting of the 2013 annual meeting of the National Association of Sentencing Commissions (NASC) by the Institute (SLP) and the Minnesota Sentencing Guidelines Commission. It was agreed that this meeting should include solicited research papers on important sentencing policy issues such as the three described above, in order to provide direct policy guidance to state sentencing policy makers.

Building on the discussions and expressions of interest gained at the March meeting, Professors Frase and Reitz began to make detailed plans for SLP projects. This work included:

- (1) Planning for the 2013 NASC annual meeting (and laying a foundation for other collaborations with NASC and its members). At this year's NASC annual meeting held in Chicago on August 5-7, 2012, Professor Frase provided NASC members with an introduction to the Robina Institute's mission and plans, and Professor Reitz moderated a plenary session on risk assessment. At that meeting and in subsequent conference calls, Professors Frase and Reitz reached agreement with the NASC Executive Committee on

the three policy topics to be addressed by commissioned papers at the 2013 meeting:

1. The Impact of Criminal History Enhancements on Guidelines Recommendations and Sentences Imposed; 2. Risk and Needs Assessments At Sentencing; and 3. Standards and Procedures for Revocation and Other Measures to Enforce Conditions of Probation and Post-Prison Release. Professors Frase and Reitz obtained agreement by leading scholars in each of these fields to present papers at the 2013 NASC meeting, and made plans for discussants and/or panelists to respond to those papers.

- (2) Selection and planning for this Program Area's near-term projects. Based on the March meeting, on discussions with the NASC Executive Committee and other NASC members, and on the research and policy-development strengths of SLP faculty, four high-priority projects were identified: (1) Multi-state Criminal History Project (2) Multi-state Parole and Probation Revocation Project, (3) Sentencing Reform Repository Project; and (4) Project to Build Partnerships with Parole Release States. The scope and specific goals of each of these projects was described in materials submitted to the Robina Foundation under item (3), below. Of these projects, work is furthest advanced in the Criminal History Project, where Professor Frase has done extensive research on Minnesota practice and has consulted closely with the Minnesota Commission staff on the research they are doing.

- (3) Augmentation of work in this Program Area. At a presentation to the Robina Foundation Board on July 31, Professors Frase and Reitz described near- and longer-term SLP projects. In response to a question, they agreed that these projects would be able to move ahead much more quickly with additional resources, including reductions in the professors' teaching. Frase and Reitz have since refined their near-term project plans, identified staff and other resource needs, sought and obtained expression of interest from the most qualified persons to assist with each project, and prepared cost estimates and an overall budget for augmented work in this Program Area.

- (4) Planning for the 2013 Annual Robina Conference. The Sentencing Law and Policy program area is responsible for planning the Institute's 2013 Annual Conference, titled *American Exceptionalism in Crime and Punishment*. Nine or ten papers will be commissioned for the conference, to be written by international leaders in the fields of history, political science, economics, criminology, and law (to date, we have received commitments for seven papers). They will be published in a single volume, probably by Oxford University Press.

The conference will include an all-day public meeting on Thursday, April 25, followed by a two-day working meeting of authors and other experts to critique and mold the conference papers for publication. Based on the attendance at last year's annual event, we estimate an audience of 200 for the public meeting on April 25, including policy makers, practitioners, and academics. The published conference volume will reach a wider audience still, with an expected shelf life of many years.

Criminal Law Theory

In April, 2012, the Robina Institute built a small conference and workshop on "Criminal Responsibility and its History" around the presence in the Law School of Professor Nicola Lacey, the Oxford University Professor of Criminal Law and Legal Theory and Robina Distinguished Visiting Professor. The participating legal theorists, historians and philosophers revisited the debate about whether criminals are bad or mad, in the context of recent scientific discoveries about the human mind and the interplay between religious, scientific and legal conceptions of human agency.

Subsequent workshops and conferences include:

- *The Presumption of Innocence* (May 2012). This workshop brought together historians, philosophers, legal scholars and practitioners from across the United States and around the globe to discuss developments in criminal justice that raise new questions about the role of the presumption of innocence in contemporary criminal law.
- *Preventive Justice* (September 2012). This workshop brought legal scholars from around the world to discuss when and why the state may be justified in using coercive measures not to punish people for crimes they've already committed, but to prevent them from committing crimes in the future. It focused on the recent research of Professors Andrew Ashworth and Lucia Zedner of Oxford University, who are directing a three-year preventive justice project sponsored by the U.K. Arts and Humanities Research Council.
- *Collateral Consequences Conference* (October 2012). For the nearly one in three adult Americans with criminal records, the consequences of conviction include not only punishment but also collateral sanctions on employment, housing, welfare and other important goods, restrictions that often remain in effect well after individuals have completed their sentences and that often frustrate or prevent their re-integration.

The Institute teamed with Minnesota's Council on Crime and Justice to explore the issue of collateral sanctions at the 2012 Minnesota Justice Forum, "*The Collateral Consequences of Criminal Records*," in the Law School. (The law firm Robins, Kaplan, Miller & Ciresi was also a sponsor of the conference.) Legal practitioners, policy-makers, scholars, and members of Minnesota communities discussed the effects of collateral sanctions, their rationales, and possibilities for reform.

Papers from each of the conferences in this program area will be published in special issues or symposia in *Criminal Law and Philosophy*.

* * *

An income and expense statement is attached. We are also considering a fourth program area that might support work being done by our newest criminal law faculty, particularly Francis

Shen's work on the implications of new neuroscience findings for criminal law. As always, we are very grateful to Jim Binger and the Foundation for making the Institute possible.

Attachment

ROBINA INSTITUTE ON CRIMINAL LAW AND JUSTICE

Reporting Period

9/1/2011 - 6/30/2012

	Budget	Expenditures to Date 9/1/11- 6/30/2012	BUDGET FOR FY 2013
Research Streams	180,000	95,168	255,000
Criminal Law Theory	60,000	49,014.00	85,000
Criminal Process and Procedure	60,000	30,745.69	85,000
Criminal Justice Policy	60,000	15,408.63	85,000
Visitors	62,500	11,351.14	62,500
Conferences/Scholarship	60,000	21,855.66	70,000
Faculty Leadership and General Operations	544,690	538,079.81	1,106,634
	847,190	666,454.93	1,494,134

Annual Report to the Robina Foundation on The Robina Scholarship Match Program

October 29, 2012

The Robina Scholarship Match opportunity was announced April 15, 2011, at the public kick-off of the Generations Campaign for the University of Minnesota Law School. The program has been in effect for eighteen months, and has demonstrated great success as a donor incentive.

An 18-month summary of results includes these highlights:

- 24 separate donors to date have been motivated by the match program to make gift commitments totaling **\$790,000**.
- 7% of *all* gift commitments* made to the Law School since 4/15/11 are attributable to the Robina Scholarship Match opportunity.
- **58 %** (\$790,000) of the \$1,250,000 generously granted by the Robina Foundation for this purpose has been used during the program's first **18 months**.

It is clear that the Robina Scholarship match program offers a highly effective incentive to potential donors. We expect that the **\$460,000** still available for new scholarship gift matches will be utilized fully over the next 18 months, if not sooner.

A breakdown of the total gift commitments to the Robina Scholarship Match program shows:

Partial Scholarship Awards

- 24 distinct/separate donors have made gift commitments for 26 partial scholarships, committing to \$390,000 in support (\$15,000 over 3 years x 26 scholarship awards).
- Of these 24 separate donors, 17 (71%) significantly increased the amount pledged per year for the three-year pledge period when compared to their most recent gift to the Law School's annual fund. No donor in this group had ever made a multi-year commitment to the annual fund; all are doing so because of the Robina Scholarship match opportunity.
- When the Robina Scholarship Match period concludes for these donors, it is anticipated that the majority will make gift commitments to the Law School at the higher level at which they currently are committed, whether that support continues to be designated for scholarships or is given as unrestricted support.
- Six of the donors in this pool attended the annual Scholarship Recognition Dinner event in March of 2012 and had the opportunity to meet named Robina Scholars who have directly benefited from their support. Stewardship and recognition opportunities such as

this will continue each year during the period the Robina Scholarship Match program is in effect.

Full Scholarship Awards

- 4 distinct/separate donors have made gift commitments for 4 full scholarships, committing to \$240,000 in support (\$60,000 over 3 years x 4 scholarship awards).
- Of these 4 donors, 3 significantly increased the amount pledged per year for the three-year pledge period, and one was a first-time donor to the Law School.
- When the Robina Scholarship Match concludes for these donors, we anticipate that most of them will make another major gift to the Law School for scholarship support or another purpose.
- All of the donors in this pool have their names linked to a specific scholarship recipient and receive personalized thank-you letters from "their" Robina Scholars. This highly customized donor stewardship practice for full scholarship donors will continue each year during the period the Robina Scholarship Match program is in effect.

Going Forward

Identification, cultivation and solicitation of prospective donors for the Robina Scholarship program continue to be a very high priority for the Law School. Communication about the importance and impact of this program is being shared strategically through all Law School publications, the website, and specially branded donor outreach materials. For the first time, *prospective* donors were invited to attend the Scholarship Recognition Dinner as another way to reach and interest more alumni in this opportunity to double the impact of their gifts.

It is anticipated that the number of new donors taking advantage of the program in the 2012-2013 fiscal year will match or exceed the number of those who already have made gift commitments during the first 18 months of the program

* * *

The Scholarship Match Program has been and will continue to be very helpful in pursuing the Law School's foremost campaign priority. As always, we are very grateful to Jim Binger and the Foundation for making the Scholarship Match Program possible.

*excludes the Robina Foundation's \$1.25M grant

Six-Month Interim Report to the Robina Foundation on The Robina Public Interest Scholars Program

October 29, 2012

During the past six months, we have successfully launched the Public Interest Scholars program. Among other things, we have awarded 14 scholarships to students with demonstrated commitments to public interest work (9 to second-year students (2Ls) and 5 to third-year students (3Ls)). We are still in the process of awarding scholarships to first-year law students (1Ls) but anticipate awarding approximately 10 scholarships in December. We have already awarded four year-long post-graduate fellowships. We have also hired a new public interest coordinator to oversee the Public Interest Scholars Program and other Law School public interest programs. We are in the early stages of the admissions cycle for next year's entering class, and have developed program criteria for recruiting the first full cohort of public interest scholars. We expect this cohort to proceed through the full program of scholarships, internships, mentoring, post-graduate fellowships, and loan-repayment assistance. In this way, we expect to develop future leaders in the public interest community.

1. Scholarships

Current second- and third-year students. Scholarships to 2Ls and 3Ls have been awarded to students with a demonstrated past interest in public service and an expressed intent to pursue public service after graduation. All recipients have some combination of pre-law school public interest experience (e.g., AmeriCorps, Peace Corps, Rape Recovery Center, ACLU), summer or academic term internships during law school (e.g., Southern Poverty Law Center, Minnesota Center for Environmental Advocacy, Advocates for Human Rights), and Law School clinic experience or other Law School volunteer activities (e.g., Asylum Law Project, Minnesota Justice Foundation). A list of the organizations at which the scholarship recipients have worked is attached as Appendix I.

Current first-year students. We are in the process of selecting 1L scholarship recipients now. All 1L students will be meeting with their assigned career counselors after November 1st. Interested students will be asked to submit the following:

- Resume that reflects a demonstrated commitment to public service
- Personal narrative that outlines goals as a Public Interest Scholar
- Letter of recommendation from an employer or law school professor
- A letter demonstrating a firm commitment from a sponsoring nonprofit organization

Recipients will be selected by a committee of clinical faculty, staff, and alumni. All scholars will be selected by early spring.

Internships and post-graduate fellowships. Scholarship recipients seeking summer internships and year-long post-graduate fellowships will go through a comprehensive application process, including:

- Resume that reflects a demonstrated commitment to public service
- Personal narrative that outlines goals as a Public Interest Scholar
- Letter of recommendation from an employer or Law School professor
- Law School transcript
- A letter demonstrating a firm commitment from a sponsoring nonprofit organization

Recipients will be selected by a committee of clinical faculty, staff, and alumni. Publicity for this funding will begin in mid-November and all recipients will be selected in December.

Next year's entering class. Prospective students interested in the Public Interest Scholars Program will be identified through a marketing and application process. Eligible students will be chosen by a selection committee including clinical faculty, admissions office staff, and the Robina Public Interest Coordinator, on the basis of demonstrated commitment to public interest, application essays, and leadership potential.

2. Post-Graduate Fellowships

We have awarded year-long fellowships to four outstanding 2012 graduates. Each has exceptional public interest experience and each has worked as a student attorney and/or student director in a Law School clinic. Jenna Cieslak is working at the Volunteer Lawyers Network, assisting low-income individuals with bankruptcy and related debtor issues. Lindsey Greisig is working with Ba Futura Timor, promoting women's rights and fighting impunity for violent crimes against women and children. A story in the Law School's Perspectives magazine on her work is attached as Appendix II. Mila Gunin is working with Chicago Volunteer Legal Services to represent indigent clients in general civil legal matters. Priyanka Sharma is working with the consumer and immigration law units of Legal Aid, assisting clients with foreclosure, debt collection, and immigration issues. The CVs of the recipients are attached as Appendix III. We expect these work experiences will inspire the recipients and help them launch their careers in public interest work.

3. Public Interest Coordinator

Amanda Furst will start as program coordinator on November 5. She graduated from the University of Iowa Law School, and started her career as an Equal Justice Works Legal Fellow at AmeriCorps, where she served as an Employment and Public Benefits Unit Staff Attorney at Southeast Louisiana Legal Services in New Orleans. Most recently, she served as a Career Advisor at the Hamline University School of Law. She also serves as a volunteer attorney at Southern Minnesota Regional Legal Services, at HOME Line, and at Mid Minnesota Legal Assistance. She will oversee the public interest scholar program, arrange mentoring and other programs for scholars, and assist all Law School students interested in public interest careers.

* * *

We remain convinced that the Public Interest Scholars Program will help address the chronic shortage of legal aid services for the indigent and transform the lives of students who go through the program, both positioning and enabling them to undertake public interest careers.

An income and expense statement is attached as Appendix IV. As always, we are very grateful to Jim Binger and the Foundation for making the Robina Public Interest Scholars Program possible.

Appendices

Robina Public Interest Scholars Program

2Ls & 3Ls

Pre-law school work experience:

Dept of Justice, Voting Section Intern (DC)
 Asian American Legal Defense Fund, Voting Rights Intern (NYC)
 Project Vote Smart – Political Research Associate (MT)
 AmeriCorps: Communities in Schools (AZ)
 MN Chapter of the National Association of Housing & Redevelopment Officials (MN)
 Lawyers Committee for Better Housing (Chicago, IL)
 Kings County DA's Office (Brooklyn, NY)
 United Food and Commercial Workers 1189 – Political Director's Assistant (MN)
 Portland Women's Crisis Line (OR)
 Intern, US Senate Committee on Finance (DC)
 Unified Police Dept, Victim Assistance Unit (UT)
 Rape Recovery Center, Crisis Line Responder (UT)
 St. Paul Public Schools Foundation, VISTA (MN)
 English Instructor (Paris France)
 Coordinator of Mercy Volunteer Corps, AmeriCorps (PA)
 US Peace Corps, Small Enterprise Development Volunteer (Mali, West Africa)
 Literacy Tutor and ESL Instructor, Washington Reading Corps, AmeriCorps (WA)
 Minnesota Senator Chris Gerlach (MN)
 womenwinning: MN Women's Campaign Fund (MN)
 Stand for Children - National Training Coordinator (OR)
 Montana Coalition Against Domestic & Sexual Violence – Public Policy Director (MT)
 Montana Women Vote! (MT)
 ACLU – Intake Request Counselor (OR)
 Pride – Board Member (MT)
 Germany Trade & Invest – Project Associate (Berlin, Germany)
 Federal Environmental Agency – Research Assistant (Berlin, Germany)
 University of Minnesota School of Public Health (MN)
 Minneapolis Public Schools (MN)
 CIGNA Health Solutions – Care Senior Associate (MN)

School year & summer internships include:

Southern Poverty Law Center (Montgomery, AL)
 Mpls City Civil Rights Department (MN)
 ACLU (MN)
 US Attorney's Office (MN)
 Environmental Protection Agency (DC) & (Seattle)
 MN Center for Environmental Advocacy (MN)
 Minnesota Housing Finance Agency (MN)
 MN AIDS Project (MN)
 Southern Minnesota Regional Legal Services (MN)
 MN Coalition of Battered Women (MN)

Homeless Advocacy Project, Bar Association of SF (CA)
East Bay Sanctuary (CA)
Innocence Project of MN (MN)
Hennepin County Public Defenders' Office (MN)
WATCH Minnesota (MN)
Rape Recovery Center (UT)
Asian American Legal Defense & Education Fund (NY)
Children's Law Center (MN)
National Association of Counsel for Children (CO)
SEIU (OR)
AFL-CIO (MN)
Advocates for Human Rights (MN)
Hennepin County Fourth District Family Court (MN)
German Institute for Human Rights (Berlin, Germany)

School year clinics include:

Immigration and Human Rights Clinic
Indian Child Welfare Clinic
Consumer Protection Clinic
Human Rights Litigation and International Legal Advocacy Clinic
Misdemeanor Prosecution Clinic
Child Advocacy Clinic
Unemployment Appeals Clinic

School activities include:

Asylum Law Project
Indian Services Project at the Law School
Amnesty International
Leadership Foundations Program
Minnesota Justice Foundation – Street Law Instructor
New Orleans Legal Assistance
Criminal Justice League

Robina Public Interest Fellow Begins Work in Timor-Leste

When Lindsey Greising ('12) arrived at Ba Futuru in Timor-Leste in October 2012, she was, in a way, coming home. She had done research at the human rights and peace-building organization a few years earlier. Now she is back as a full-time, paid staff member, one of 40 employed through grants and donations to help stop human rights violations and abuse by building protection networks for women and children at the community level. Ba Futuru (which means "for the future") has trained and educated more than 25,000 teachers, community leaders, and children since it was founded in 2004.

Greising's work is also being supported by the Law School's new Robina Public Interest Scholars Program. One facet of the program is year-long graduate fellowships to help launch graduates into their public interest careers. Greising was able to personally design her fellowship in partnership with Ba Futuru.

Work to be done

Timor-Leste has a long history of oppression and violence: Portuguese colonization for 400 years, Japanese occupation during World War II, and Indonesian occupation from 1975-99. "Unfortunately, the country is still patriarchal and plagued by its violent history, which we've seen translated into domestic violence that hinders women's (and thereby the country's) advancement," Greising says. Traditionally, domestic violence and abuse have been treated as private issues, and victims have had little opportunity or knowledge of how to find protection or legal assistance.

Greising's work at Ba Futuru focuses on the Empowering Women and Establishing Grassroots Protection Networks Project (EWP), organized in 2011 to involve local women in developing protection systems, particularly for vulnerable populations in remote and high-conflict locations.

Among the EWP's goals is decreasing impunity for violent crimes against women and children by educating local Timorese on the applicable laws and penalties for their violation specified in the recently approved Penal Code. The project also aims to empower local women by training them in leadership, public speaking, legal frameworks, and access to justice, and to advance local and national policy change by making annual recommendations developed with input from local women.

"Timorese women have borne much of the weight of the country's trials and yet many of them are eager to take part in moving the country forward," says Greising, noting that she has worked with "inspiring, bright, hard-working, dedicated and kind girls eager to learn and ready to make an impact if given the opportunity."

Development of an advocate

Greising grew up in a small town in Colorado, where helping neighbors was the norm. That foundation paired with a desire to see worlds beyond her small town sparked an interest that she nurtured as an international studies major at the University of Denver. A visit by Timor-Leste's then-foreign minister José Ramos-Horta inspired Greising and two friends to seek support from

the university, and in a three-week research and volunteer trip, they were introduced to Timor-Leste.

When she completed her B.A. in 2008, she returned to Ba Futuru as a volunteer. Before long she was an employee and, later, a member of its board of directors. But she wanted to do more, to offer meaningful help to the Timorese, a desire that led her to law school.

The summer after her 1L year at Case Western Reserve University School of Law, she interned for the judges at the International Criminal Tribunal for Rwanda in Arusha, Tanzania. She transferred to the Law School in 2010, finding its human rights concentration a perfect fit, and the summer after her 2L year, on an Upper Midwest Human Rights Fellowship, she was a legal research intern for Amnesty International-USA in New York City.

An experience Greising says she'll never forget was her work at the Law School's Immigration and Human Rights Law Clinic, as a student attorney as a 2L and a student director as a 3L. In August 2012 she supervised a clinic team that helped an Ethiopian man gain asylum in the United States after suffering years of beatings and torture for his political and ethnic affiliations.

"My experience in the clinic helped combine my passion for working with human rights victims with practical and lasting legal skills," she says. "I saw how legal skills and knowledge can sincerely assist people in need." At her J.D. graduation, Greising was awarded the Clinical Legal Education Association Outstanding Student Director Award for excellence in course and field work and contributions to the clinical community.

Making a lasting difference

By training networks of local women, Ba Futuru hopes to make systems of protection available both locally and across the country, and to provide the education and training the Timorese need to build peaceful communities. "Because I know women truly are the best agents of change, I look forward to helping give Timorese women their voice," Greising says. She understands that policy change will be challenging but says, "I am not only eager to ensure women's rights are protected, I am eager to foster a culture that values these amazing women."

Greising is trained to work in human rights anywhere in the world, but for now she's right where she wants to be. "It feels incredible to be returning to a place which has had such an impact on shaping my career with skills I know will make a more widespread and lasting impact."

Jenna L. Cieslak

1170 Cushing Circle, Apartment 310, St. Paul, MN 55108
 jlcieslak1@gmail.com 612-850-2229

EDUCATION**University of Mary, Bismarck, ND**

Bachelor of Science: Social and Behavioral Sciences, May 2008

GPA: 3.978/4.000 *Summa Cum Laude* honors

Relevant Activities: University of Mary Student Senate, 2007 – 2008; University of Mary Pre-Law Club, Treasurer, 2006 – 2007, and Vice President, 2007 – 2008

Awards: Dr. Charles Fortney Award for Academic Excellence (2008); Who's Who Among Students in America's Colleges and Universities Award for Student Leadership (2008)

University of Minnesota Law School, Minneapolis, MN

Juris Doctorate: May 2012

GPA: 3.426/4.333 *Cum Laude* honors

Relevant Activities: Student Senator for the Law School, 2010 – 2012; International Moot Court Member, 2010 – 2011; Civil Practice Clinic Student Director and Certified Student Attorney, 2011 – 2012; Co-Chair of Commencement Committee, 2011 – 2012 (organized fundraising efforts, selected speakers, coordinated award giving, and acted as liaison between the administration and students)

LEGAL EXPERIENCE**University of Minnesota, Minneapolis, MN**

Research Assistant, January – June 2012

- Researched issues surrounding contract law and independent contractors for Professor Laura Thomas
- Assisted Professors Laura Thomas and Carl Warren at a CLE presentation

Thomson Reuters, Eagan, MN

Legal Editorialist, July 2010 – April 2011

- Reviewed and classified motions in preparation for a database
- Classified motions according to disposition of the case

David R. Bliss, PC, Bismarck, ND

Legal Assistant, February 2007 – August 2009

- Researched legal issues relating to family law, personal injury, estate planning and probate
- Met with clients and managed cases
- Attended hearings, trials, depositions and mediations
- Researched and drafted memoranda, briefs and other legal documents
- Attended CLE "Fundamentals of Learning" Seminar (2008)

Witness for prosecution in *State v. Just*, 723 N.W.2d 541, Hazen, ND, 2006

- Testified as to charges and sentencing
- Worked with Prosecution to identify victims

COMMUNITY INVOLVEMENT**Committee 36, Minnesota State Bar Association**

Steering Committee Member, September 2011 – present

Help develop and implement an innovative mentoring program for new attorneys, including planning CLE programs and identifying outstanding mentors throughout Minnesota

Lindsey E. Greising

709 Douglas Ave. #8, Minneapolis, MN 55403 • +1.719.839.1748 • lindseygreising@gmail.com

EDUCATION

University of Minnesota Law School, Minneapolis, MN

J.D. May 2012, *magna cum laude*, Concentration in Human Rights Law

University of Denver, Denver, CO

B.A. 2008, *magna cum laude*, International Studies; Minors in Political Science and Italian

EXPERIENCE

University of Minnesota Immigration Clinic, Minneapolis, MN

August 2010 – May 2012

Student Director (2011-2012) and Student Attorney (2010-2011)

- Managed and advised student attorneys, edited briefs, and supervised oral advocacy.
- Represented clients, including: research; brief writing; preparation and filing of court documents; client counseling; and representation in asylum and detained court hearings.

University of Minnesota Global Studies Program, Minneapolis, MN

August – December 2011

Teaching Assistant

- Advised and evaluated students on research, writing, and concepts in international human rights law.

Amnesty International USA, New York, NY

June 2011- August 2011

Research Intern

- Analyzed maternal health bills and briefed research staff on policy for use in advocacy campaign.
- Researched, drafted sections, wrote memoranda, and edited report on immigration and human rights.

International Criminal Tribunal for Rwanda, Arusha, Tanzania

May - August 2010

Judicial Intern

- Researched, analyzed, and briefed judges on issues involved in drafting final decision.

Frederick K. Cox Center for International Law, Cleveland, OH

October 2009- May 2010

Research Fellow

- Conducted international legal research and drafted bench brief on extradition and nationality.

Ba Futuru NGO, Timor-Leste (Dili and Baucau districts)

Representative to Board of Directors

June 2009- Present

Donor Outreach Officer

October 2008- June 2009

- Managed planning, implementation and evaluation of human rights and conflict resolution programs.
- Drafted and edited organization's annual report and donor reports; Wrote for \$200,000 in grants.
- Represented NGO to government and nongovernmental officials to generate support for NGO's work.

HONORS AND PUBLICATIONS

CLEA Outstanding Student Director (2012); Upper Midwest Human Rights Fellow (2011); University of Minnesota Law School Dean's List (2011-2012); Frederick K. Cox International Law Fellow (2010); Phi Beta Kappa Honor Society (2008); *Case Western Reserve University Journal of International Law* (nominee); *Niagara Moot Court Bench Brief* (research and writing assistant).

LANGUAGES

Italian: Advanced proficiency

Spanish: Advanced proficiency

Tetum (official language of Timor-Leste): Intermediate proficiency

Mila Gumin

gumin.mila@gmail.com
Cell: 847-845-3033

9317 Lavergne Ave.
Skokie, IL 60077

EDUCATION:

University of Minnesota Law School, Minneapolis, MN

- J. D. May 2012 – *magna cum laude*
- GPA: 3.632 - Dean's List, Honors in Practice & Professionalism
- Minnesota Law Review – Articles Submission Editor (2010 – 2012)
- Practice & Professionalism Student Instructor – Spring 2011
- Jewish Law Students Association – Community Outreach Coordinator
- Asylum Law Project – Publicist (2009-2010)
- Completed over 200 hours of public service through Minnesota Justice Foundation

University of Illinois Urbana-Champaign, Undergraduate College of Business

- Bachelor of Science in Business Administration, December 2006

PUBLICATIONS:

Ugly on the Inside: An Argument for a Narrow Interpretation of Employer Defenses to Appearance Discrimination,
96 Minn. L. Rev. TBD (2012)

LEGAL EXPERIENCE:

The Honorable Patrick J. Schiltz, US District Judge, District of Minnesota, Minneapolis, MN

Judicial Extern, 01/2012 – 04/2012

Wrote and researched orders. Researched matters before the court. Prepared bench memoranda. Observed court activities.

University of Minnesota Civil Practice Clinic, Minneapolis, MN

Student Attorney, 09/2011 – 05/2012

Represented 3 clients in dissolution matters, including personally preparing all documents for dissolution.

Represented client in child support modification hearing. Represented client in Order for Protection defense process.

Oppenheimer, Wolff & Donnelly, Minneapolis, MN

MJF Pro Bono Law Clerk, 09/2011 – 04/2012

Researched criminal and civil matters for pro bono clients. Advised client through non-profit corporate dissolution. Prepared memorandums of law for associates. Drafted brief to support motion to suppress evidence.

Mages and Price, Deerfield, IL

Law Clerk, 05/2011 – 08/2011

Researched statutory and case law for commercial litigation and landlord tenant issues. Prepared complaints for medical, check, leasing, and delinquent loan collections cases. Compiled interrogatories and document requests.

Professor David Weissbrodt, University of Minnesota Law School, Minneapolis, MN

Research Assistant, 06/2010 – 05/2011

Edited, proofread, and contributed to Immigration Law Nutshell. Researched and updated article on the right to fair trial and military commissions. Edited petitions to several United Nations bodies. Researched and edited updates to "The Common Law Process of Torts Textbook."

Volunteer Lawyers Network – Family Law Clinic

Law Clinic Volunteer, 01/2011 – 01/2012

Performed client intake. Assisted attorneys consulting with indigent clients.

NON-LEGAL EXPERIENCE:

Chicago Apartment Finders, Chicago, IL

Rental Agent, 05/2009 – 08/2009

GE Commercial Distribution Finance, Hoffman Estates, IL

Lead Generation Specialist, 02/2007 – 02/2009

LANGUAGES:

Fluent in Russian, some Spanish, some Hebrew

Priyanka J. Sharma

Riverview Tower Apt # 708 • 1920 South 1st Street • Minneapolis, MN 55454
(816) 248 3001 • Pjyotisharma@gmail.com

EDUCATION

University of Minnesota Law School, Minneapolis, MN

J.D., *cum laude*, May 2012

Awards: Dean's List, Albert and Anne Mansfield Summer Fellowship Recipient

National Moot Court 2011-2012 *Region 14 Best Brief Recipient*

Activities: National Moot Court Director & Team Competitor 2011-2012, National Moot Court Member 2010-2011, International Negotiation Project, Public Interest Law Clinic, Law Student Mentor Program, Law Student Council

Creighton University, Omaha, NE

BA, International Relations & Political Science, *magna cum laude*, May 2009

Honors: Dean's List, Pi Sigma Alpha, Order of Omega, Best Senior Thesis Finalist, Decurion

Awards: Ignatian Service and Leadership Scholarship, Academic Merit Scholarship

Activities: Panhellenic Vice President of Judicial Affairs, Greek Standards Board Chair, Kappa Kappa Gamma, Stop Intimate Violence Week Committee, Inter Residence Hall Government VP of Finance, Public Relations Student Society of America

EXPERIENCE

The Advocates for Human Rights—Women's Human Rights Program, Minneapolis, MN

Law Clerk, September 2011- December 2011

Researched and wrote "What's New" stories for stopvaw.org. Wrote and edited topic sections for stopvaw.org. Conducted daily administrative tasks.

Southern Minnesota Regional Legal Services, St. Paul, MN

Law Clerk-Fellowship Recipient, May – September 2011

Worked in government benefits division. Represented clients in unemployment benefits appeals. Drafted legal memoranda, petitions and affidavits for Social Security Disability appeals. Worked closely with Ramsey County welfare programs. Worked for Project Hope, a housing & homeless prevention program. Other daily tasks included: clerical work, client intake, legal research, drafting letters, medical records requests & reviews, case review meetings.

Battered Women's Legal Advocacy Project, Minneapolis, MN

Law Clerk, February – May 2011

Conducted field work under attorney supervision in preparation of an amicus brief to be filed with the Minnesota Supreme Court. Served as an advocate for low income clients and gain client counseling and interviewing skills. Conduct research on women's legal issues specifically related to domestic violence, immigration & family law.

Global Volunteer Network Port au Prince & Croix du Bouquet, Haiti

Volunteer Aid Worker, May – August 2010

Served as Public Relations coordinator. Attended United Nations cluster meetings. Collaborated with local enforcement agencies. Coordinated women's projects including—starting girls' soccer camp and teaching women's English classes. Coordinated construction of medical inventory warehouse. Participated in construction of earthquake proof homes.

Street Law Program, Minneapolis, MN

Volunteer Legal Teacher, January – April 2010

Taught weekly classes on legal rights and procedures to high school seniors.

Aviation Environment Federation, London, UK

Policy Intern, January- April 2009

Monitored environmental legislation in Parliament. Compiled daily Hansard reports. Assessed carbon footprint levels for various methods of public transport in London. Created MP voting database.

United States Congress, Omaha, NE

District Office Intern, August 2007- December 2007

Completed casework dealing with environmental legislation, immigration and social security. Drafted letters to constituents. Visited local constituency groups. Carried out daily administrative tasks

Creighton University, Omaha, NE

Decurion, August 2007- December 2007

Competitively selected by Creighton faculty member to assist in mentoring approximately 20 freshmen students, set up lesson plans and teach three classes per semester.

SERVICE AND PHILANTHROPY

St. Jude's Children's Hospital, Creighton Univ. Chapter

Executive Board Member, 2007-2008

Manage publicity, recruitment and advertising for university wide letter writing campaign to raise funds for St. Jude's Children's Hospital.

Creighton Center for Service and Justice, Omaha, NE

Service Trip Coordinator, 2007-2008

Coordinated service trip with Creighton Center for Service and Justice. Contacted service sites, advertising and handled recruitment of participants.

Hurricane Katrina Relief, New Orleans, LA

Service Trip Participant, March 2006

Participated in debris removal and home construction.

OTHER SKILLS

Hindi (fluent)

Spanish (basic)

Social media (previously wrote for and promoted a lifestyle blog)

INTERESTS

Biking & bike accessories

Hiking in Northern Minnesota

Instagramming

PUBLIC INTEREST SCHOLARS PROGRAM

	BUDGET	EXPENDITURES
	Year 1	7/1-10/31/2012
	FY 2013	
Public Interest Scholarship (1701-10791-20494 UMF008894)	180,000	
Class of 2013 (5 awarded)	75,000	75,000
Class of 2014 (9 awarded)	105,000	105,000
Class of 2015 (10 @ \$15,000 from current students identified with Public Interest focus)		
Summer Internships (1701-10791-20110 UMF0008894)	0	
Rising 2L (12 @ \$7,500)		
Post-Graduate Public Interest Fellowships (1701-10791-20110 UMF0008894)	125,000	
(year long position \$25,000/graduate, 5 graduates May 2012)	125,000	100,000
Loan Repayment Assistance		
Program Support (1701-10791-20232 UMF0008894)	74,800	
Program Coordinator 100% time ¹	74,800	0
Workshops/meeting and other networking activities for current and past program participants		
TOTAL	379,800	280,000

¹ Position starting 1/5/2012

2925 Chicago Avenue
Minneapolis, MN 55407-1321
www.allina.com

Mailing Address:
P.O. Box 43
Minneapolis, MN 55440-0043



29 October 2012

Robina Foundation Board
C/O: Penny Hunt
Robina Foundation
4900 IDS Center
80 South Eighth Street
Minneapolis, MN 55402
Dear Robina Board Members,

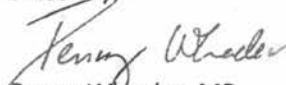
I am pleased to present Abbott Northwestern/Allina Health's response to two requests of the Robina Foundation Board. First, we include a proposal for use of the remaining two million dollars of funds from the Robina Care Guide program. Second, we respond to your thoughtful request for our insight into how the Robina Board might further enhance its work and what future investments we might propose to transform health care delivery.

We propose to use the remaining funds of the Care Guide initiative to create a transformational learning center which will expand the role of trained laypersons as care team members. We sincerely believe evolving care team models which include trained laypersons will help our nation as it struggles to yield the best population health outcomes while reducing per capita costs of care. We hope you find our CoPilot program as compelling as the many involved in the proposal.

In addition, we appreciate the opportunity to advise the Robina Board on ways that might expand the impact of grants and, in addition, promote ideas for future investment. Dr. Ben Bache-Wiig, President of Abbott Northwestern Hospital, and I have worked together with our internal leaders and the medical staff at Abbott Northwestern Hospital to craft ideas for the next phase of transformational evolution. We present sweeping changes in health care delivery, for your initial review, along with key components to achieve the transformed model. In building together the future optimal delivery model, our goal is to go beyond "sick care" and to measurably enhance the health of our community.

All of us at Abbott Northwestern and Allina Health sincerely appreciate everything that the Robina Foundation has offered our organization. Without question you have accelerated our ability to provide the best possible care to our community and positioned us to transform care in ways that have national significance. Thank you again for this additional opportunity to propose the use of the remaining Robina Care Guide Funds and to comment on how best we might employ your investment to benefit our community—both locally and nationally. If you have any questions, don't hesitate to contact me.

Sincerely,


Penny Wheeler, MD
Chief Clinical Officer
Allina Health

Robina Foundation Request for Feedback
Comments from Abbott Northwestern Hospital/Allina Health

How could the Robina Board make grants to increase the chances of more significant results?

- Require specific "request for proposal" work before grants are submitted, including demonstration of stakeholder involvement encompassing organizational leaders, clinical leaders, operations support, and researchers. Ensure that grants awarded either capitalize on small pilots performed elsewhere (e.g., academic health centers) that have revealed positive trends OR ensure grants are built upon internal pilot data that yields positive directions.
- Ensure grants align both with the transformational intent of the Robina Foundation and with organizational strategy to assure optimal impact. Expect senior leader partners, both operational and clinical, to jointly develop and submit proposals and to demonstrate strategic alignment. Where possible, fund projects that accelerate innovative ideas germinating in the organization.
- Continue to emphasize and support an interprofessional team of clinical and research investigators, with strong operational acumen and support. The team approach yields more collaboration, designs programs that flexibly bend to organizational uniqueness, and makes results more impactful.
- Expect local and national partnerships as early as possible to leverage transformative endeavors. More specifically, expect that Abbott Northwestern and Allina Health partner with key local providers (e.g., Fairview, Heath Partners/Park Nicollet) and payers (e.g., Medica, BlueCross BlueShield of Minnesota), and national organizations (e.g. Institute for Clinical System Improvements, Institute of Medicine, Institute for Healthcare Improvement) in the design, implementation, and evaluation of new models, so as to build more rapid local change, community buy-in, and national impact.
- Aim for grants that impact a large number of patients and care team members, either through prevalence of condition, impact on public health, and/or scalability of the model.
- Encourage more partnerships with community-based groups, including media organizations (e.g., tpt), social service providers, public health entities and other complementary local partners to health systems.
- Expect that grants are multi-phase – allowing for pre-pilot design and cycling, larger pilot tests, and rapid advancement to system-wide footprint, in a shorter time period, to engage organization in faster movement

Do you have suggestions as to how Robina could work within Abbott Northwestern Hospital/Allina or in partnership that would add more value and increase the impact of Robina's grants?

- Consider a broader advisory board of Robina board members to advise and coach our organization pre-award. Allow for and support more intense time investment of these individuals in partnering prior to the award to allow for refining and improving ideas and implementation plans. This has been enormously valuable in assuring the success of the initiatives.
- Enable even better and proactive connection to experts in the field. Use the Robina Foundation name and board members as entrée for connections in nonprofit arenas, business world, and the healthcare arena. Help us build a project 'board of directors' in advance to vet ideas, react to work plans, and engineer success.
- Establish "Robina Innovation Fellows" or some such program that allows for prospective consultation of clinician and operational time to build out new projects.
- Expect and require that Abbott Northwestern Hospital's Clinical Council is the driving internal steering committee for the work, balanced with operational leadership from system executives.
- Continue advising and coaching regarding the nesting of quality improvement and rapid cycle development within the context of sophisticated research/evaluation approaches.

What opportunities do you see within your institution and beyond for Robina funding to make a significant difference?

- Advance the CoPILoT concept to catapult care guide and layperson models in care teams to the forefront of healthcare innovation, thereby impacting care delivery nationally in meeting health care's triple aim—better care for the individual, better health for the community, at the lowest appropriate cost.
- Engage in more rapid cycle generation, implementation and spread of innovative ideas, embedding research and evaluation of small components within larger model tests.
- Enable and encourage local and national coalition work – make it an expectation that a provider advisory board and payer advisory board are component parts of all projects; ensure these boards have local and national membership.
- Advise us on connections to larger national organizations (payers, providers), especially given Minnesota's uniqueness and not-for-profit nature of its healthcare enterprise.
- Continue to maintain the balance between visionary appeal and rapid operational deployment.
- Continue to focus on cutting edge, integrated work that is of major importance to our organization and the healthcare sector writ large.

In thinking about our Phase III request of the Robina Foundation.....

Our Vision

Our aim is to change the traditional business model upon which health care is founded—one that reimburses us nearly solely on “sick care” and volume of services. Our goal is to develop an integrated primary and specialty care delivery approach that supports health for patients, their families, and the broader community, in settings as close to home as possible. We strive to develop and implement a care model that dramatically reduces hospital utilization, so much so that intensive care visits become the primary function of the current hospital setting.

We plan to incorporate the successful components of the previous Robina initiatives in supporting this goal – to exponentially add trained layperson members (i.e., care guide equivalents) to care teams to dramatically improve care supports and coordination where people live; and to include the successful components of LifeCourse, which will enhance patient and family experiences in late life, while reducing unwanted and resource intensive interventions.

In addition to incorporating the Robina-supported care enhancements, we will focus on re-education and enhancement of current care team members in an effort to reduce the burnout and “compassion fatigue” of primary healthcare team members. We will aggressively pursue inequities that we generate – be those inequities based upon race and ethnicity, poverty or insurance status, geographic proximity, or lack of whole person, individual knowledge of patients and their stories. We will truly integrate primary care and specialty care in outpatient settings and via home and long-term care team visits, creating “hospitals at home” where care can be safely and effectively supported. We will enable patients and families to be their own personal agents in their health journey, engaging in shared decision making and a better understanding of values and preferences.

While all of these components—primary/specialty care integration, advancing the role of laypersons in care teams, addressing healthcare disparities, building effective care teams and addressing the challenges of primary care, enabling shared-decision making to understand wishes and positively impact healthy behaviors, and supporting care at home and in the community – are required to improve the overall health of the community, we aim to scale and scope each of these components through the capacity afforded by additional Robina funding.

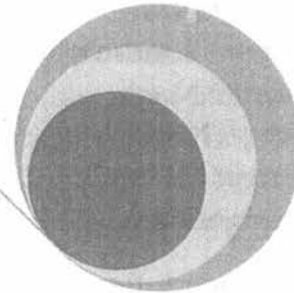
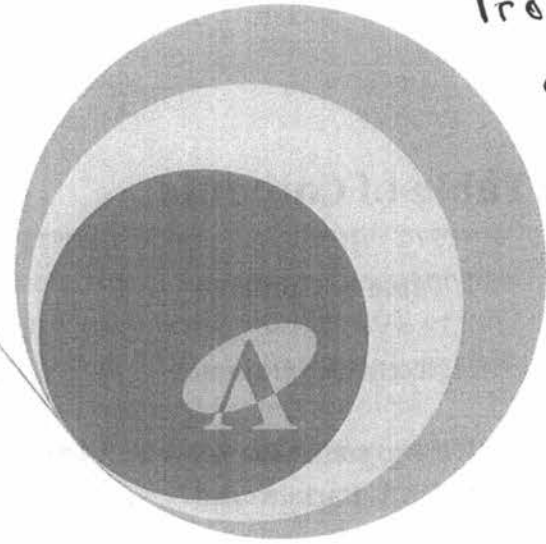
Do you see opportunities for collaboration directly among Robina Grantees or for parallel programs or initiatives around any of the themes that Robina has supported?

- Late life appears an obvious opportunity for collaboration – especially the ethical/legal and public policy issues faced by all team and community members at life's end.
- Wellbeing of highly skilled, compassion-fatigued professionals, especially individuals in healthcare, legal, and education professions, also appears to be an area for potential crossover work.
- Reorienting professions that are typically 'expert-driven' (e.g., law, healthcare, education) to more directly engage individuals (e.g., clients, patients, students) in their own self-direction, learning, and health.
- Enhance utilization of laypersons, from a healthcare standpoint, education standpoint, and legal standpoint, to more efficiently advance key metrics/goals in each arena.
- Identify of a set of fellows across institutions who are invited to engage together, train together and network, and establish professional partnerships across institutions.

What legacy would you like to see Robina leave within your organization when its work is completed?

- Patients and families are the drivers in their health journeys. Their stories are honored and embedded in the care provided.
- Care teams are re-engaged, passionate, and committed to ongoing innovation in their everyday efforts.
- Abbott Northwestern and Allina are among the nation's leaders in solving our health care challenges by demonstrably delivering superior care value-- better health outcomes and care experience per dollar spent
- We are a magnet for knowledge, a magnet for employees, and a vehicle for change in our local market and nationally.
- We proactively balance innovation with traditional operations.
- Ongoing use of a research/evaluation approach yields superior implementation of new ideas and programs and is a cornerstone of our work going forward.

Co Rile
Proposal
Oct 2012



Expanding the Participation of Laypersons in the Care Delivery Setting:

A program to disseminate the Care Guide model, expand the concept to new clinical domains and prepare for establishing a center for the promotion of laypersons on care teams.

A proposal to use the remaining funds from the Care Guide Development program.

Kim Radel, MHA
Operations Director

Jessica Whitten, MHA
Administrative Fellow

Sochenda Nelson
Research Associate

Tomás D. Valdivia, MD, MS
Consultant

October 2012

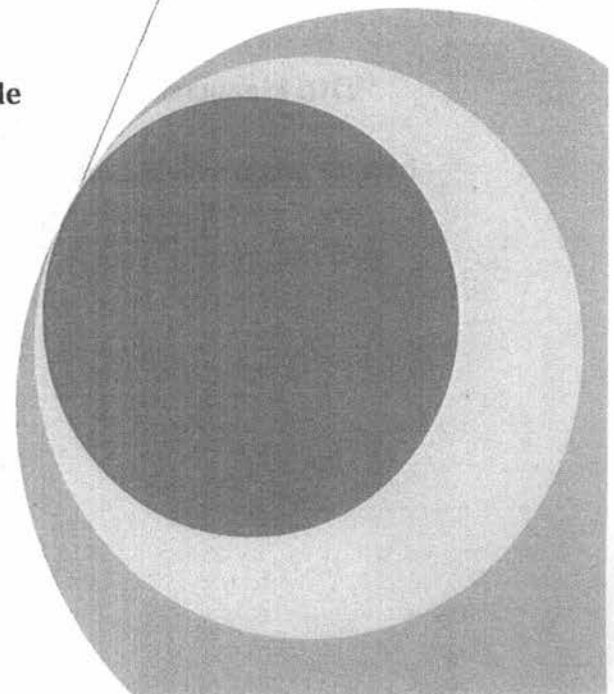


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II. EXECUTIVE SUMMARY

Health care expenditures in the United States have outstripped expenditures in every other major sector of the economy for more than a quarter of a century. Even with the most unrealistically high growth expectations for gross domestic product, 20% of the economy is likely to be devoted to health care by the year 2020. At the same time and despite these extraordinary expenditures, the quality produced by our medical community lags that of just about every other developed country. Many believe this is an unacceptable and untenable situation.

A new concept that has shown promise as a means to address these issues, implemented and studied using funds granted by the Robina Foundation Board, is to involve a layperson in direct patient interaction as part of a care delivery team (a layperson-inclusive clinical model). Results of the study show that involving a minimally trained, but carefully qualified layperson in the care of patients with certain chronic diseases will produce statistically significant improvement in intermediate quality measures. In addition, patients report a high degree of satisfaction with this new role and, provisionally, it appears that inpatient admissions for populations with access to a care guide were reduced.

At this juncture, the original Care Guide project has a \$2 million dollar surplus that we propose to apply in a way that builds on the favorable initial project results by creating a Center for Promoting the Inclusion of Laypersons on Care Teams (CoPILoT).

CoPILoT would be focused on sharing our knowledge with others, facilitating adoption of the Care Guide project, producing variations of the Care Guide model and continuing the study of the layperson on care delivery teams. Of the total \$2 million surplus, \$1.1 million will be dedicated to activities that share our knowledge with others and that facilitate adoption of the Care Guide project.

II.A. Vision Statement

We envision a day when laypeople are a routine part of the care delivery team; viewed by providers as an indispensable team member necessary to delivering better care; appreciated by patients and communities for the persistent personal connection they provide; and supported by payers, employer and policy makers for demonstrable results toward achieving the triple aim.

II.B. Mission Statement

CoPILoT will promote Care Guide project knowledge by *disseminating* the concept, actively *facilitating* its adoption, fostering its practical evolution and *studying* its use.

II.C. Description

We have translated the CoPILoT mission into five goals (provided in a specific and measureable form later in this document):

II.C.1. Goal 1—Disseminate the knowledge produced by the Care Guide research project to organizations at the local, regional and national levels.

To best accomplish this goal, we will rely on an advanced website and provider outreach strategy. The website will be media-rich, serve as a repository for program development documents and act as a source for updates and news items about layperson-inclusive care models. It is critical that this site attracts and sustains interest in the layperson-inclusive clinical model.

II.C.2. Goal 2—Facilitate the successful implementation of the Care Guide project by providers outside the Allina Health organization.

To support this goal, we will couple financial support with expert advisory services.

* The financial support will be provided through a two-pronged award program to support implementation or study of the Care Guide project or, in some cases, both. To further support adoption beyond the financial awards, we will provide a set of support services (assessment and design, hiring guidance, leadership training and care guide training) that are delivered to the adopting organization by the CoPILoT staff.

II.C.3. Goal 3—Design, develop and deploy new variants of the Care Guide model.

Layperson-inclusive care delivery models could potentially span several clinical sites of service, clinical domains and layperson-delivered services. This belief is captured in the vision and is also represented by our mission to foster the evolution of the Care Guide model. Working with Allina Health and those outside organizations that have successfully adopted the Care Guide model described in the previous goal, we will assist with the design and deployment of new variants of the Care Guide model.

II.C.4. Goal 4—Facilitate the successful implementation of at least one of the new Care Guide model variants in a provider organization outside of Allina Health.

Once new care guide variants have been developed, deployed and observed in a real-world clinical context, CoPILoT staff will promote its adoption outside of Allina Health. We will use the same two-part approach (financial incentive and expert advice) we have summarized above to support the adoption effort.

II.C.5. Goal 5— Seek and receive outside funding for the design, implementation and study of at least one of the new Care Guide model variants

II.D. Organization

CoPILoT will be organized under the leadership of Kim Radel, MHA. Given that her compensation is fully supported through other funding sources, there will be no incremental costs to the program to have Ms. Radel provide leadership and oversight. In addition to this position, for the first 1.5 years of the program, there will be a total of 2.25 FTE to design and build CoPILoT programs, support knowledge dissemination and drive Care Guide program adoption.

II.F. Financials

Over the course of the first five years of CoPILoT, we plan to have three key sources of revenue: the remainder of the Robina Foundation grant that supported the Care Guide project (\$2 million), outside grants from governmental and private sources (\$1.15 million) and revenue from operations (\$1.3 million).

These revenues will be used to offset the expenses necessary to achieve the goals described above. The biggest expenses, accounting for over 70% of total expenses over the first five years of the program, are personnel (\$1.9 million), awards for program implementation and adoption (\$715,000), physical program space and website development and management (\$563,000).

III. PROGRAM OVERVIEW AND VISION

III.A. Background

With support from the Robina Foundation Board (Board), Allina Health first explored the possibility of using a layperson on a care team through its implementation and research of the Care Guide project. The Care Guide project was initially conceived as an approach to support chronic disease patients in receiving evidence-based care in the primary care setting at a reasonable cost.

The Care Guide project showed that it is possible for a layperson addition to a primary care team can improve intermediate quality outcomes, improve the patient experience and, based on initial evaluation, lower the cost of care for the patients served. In comparison to patients not working with care guides, researchers found that patients working with care guides were 31% more likely to achieve a care goal after 1 year. Care guides were able to effect change in areas related to patient medication adherence, tobacco cessation and chronic disease education; all of which positively impacted patient care outcomes. Furthermore, care guides determinedly worked with patients to develop meaningful connections that ultimately fostered an environment that encouraged open communication and support. As a result, the research data revealed that patients supported by care guides were significantly more likely than patients not working with care guides to report positive changes in their health beliefs. In addition to showing positive impacts on quality of care outcomes and patient experience, the Care Guide project was also shown to be economical as initial analyses estimates care guides to cost \$286 per patient per year.

When the Care Guide study was completed in April 2012, \$2.0 million in study funds were left unspent. As a result, the Board asked the Abbott Northwestern Hospital and Allina Health team to provide a high-level proposal for the use of the remaining funds. The Board approved the initial proposal and asked for a detailed plan to achieve it.

- Demonstrate ability to disseminate existing work
 - Create and maintain information on how to implement care guides in primary care clinics
 - Increase publicity related to dissemination of Care Guide project results and availability of implementation resources
 - Partner with local and national institutions to advance the concept and implementation of care guides
 - SWAT team for high-fidelity implementation of Care Guide project model

- Offer mini-grant opportunities to external organizations seeking to implement care guides
- Develop or expand capabilities that exist as a result of the execution of the Care Guide project research
 - Partner with local and national institutions to “advance the concept and implementation of Care Guides.”
 - Ongoing training program for care guides and care guide supervisors
 - Provide a data collection tool and repository for the expanded use of care guides
 - “Foster creative new ways for using care guides”
 - “Foster” other innovations that promote person-to-person interactions in primary care or health system design

What follows here is a detailed plan to apply the remaining \$2.0 million to meet the Board’s charge by developing a program to expand the use of laypersons on care delivery teams.

We will use the term “Center for the Promotion of Laypersons on Care Delivery Teams”, or CoPILoT, as the working label for the program we describe herein. The purpose for using the acronym CoPILoT is twofold: 1) we want to reinforce the idea that the patient, the “pilot,” remains at the center of care, and 2) we want to introduce the concept of the layperson as an important member of the care team, a “copilot.” The initial reaction to this designation from leadership, providers and external experts has been positive and we will use CoPILoT to refer to this program.

III.B. Mission and Description

The mission of CoPILoT is to promote Care Guide project knowledge by **disseminating** the concept, actively **facilitating** its adoption, fostering its practical evolution and **studying** its use. To achieve this mission, CoPILoT will have two major areas of focus with the future state being our desired endpoint, but outside the scope of our work in this document. (See Figure 1.)

For use as a framework throughout this document and as a means to measure CoPILoT’s progress and performance, we will define two specific, measurable goals for the first area of focus and three for the second. For purposes of this overview, we will describe each goal and then, in subsequent sections, summarize the program components, activities and key resources designed to achieve them.

III.B.1. Focus 1—Promote Broad Awareness and Adoption of the Care Guide Project Outside of Abbott Northwestern Hospital and Allina Health

Goal 1: No later than one year after the establishment of CoPILoT, more than 50 percent of provider organizations within the Allina Health service area (local/regional providers) will have been made aware of the existence and results of the Care Guide project. At least 25 percent of local/regional providers, either directly or through the provider organizations with which they are associated, will have had a more direct interaction (phone, email, face-to-face) with CoPILoT regarding details of the program. In addition, nationally, at least 30 percent of all providers, either directly or through the provider organizations with which they are associated, will have had the same opportunity to learn more about the basics of the Care Guide project.

Goal 2: No later than one year after establishing CoPILoT, at least four independent, non-Allina Health provider organizations will have deployed care guides onto their existing care delivery teams in the primary care setting. The adoption of the care guide must be as a direct result of applying our knowledge dissemination and/or support services in those organizations.

When
start
y?

III.B.2. Focus 2—Promote and Support Development of Variations of the Care Guide Model at Abbott Northwestern Hospital and Allina Health

Goal 3: By the end of the second year of CoPILoT, we will have designed, developed and deployed four new variants of the Care Guide model. In this goal, we define a variant to mean the use of a layperson on a clinical team in a way that is different than of the original research. To meet this definition, the variant must:

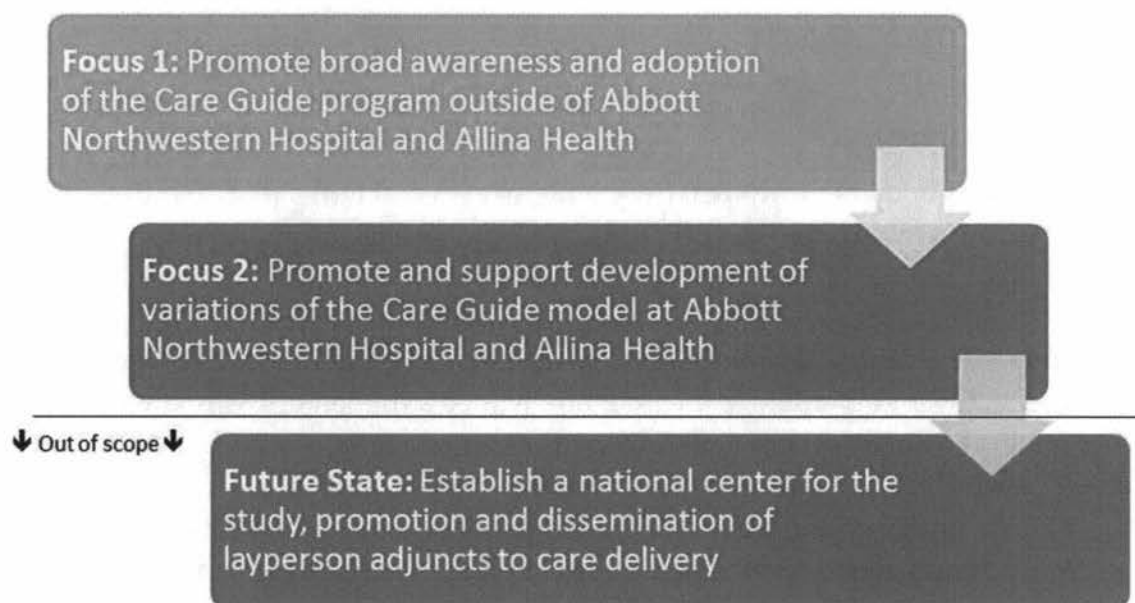
- apply a layperson to direct interaction with patients in a clinical setting to support pre-established clinical goals;
- be different from the original Care Guide project in at least one of the following ways:
 - Be established outside of the primary care domain (e.g., orthopedics)
 - Require a more advanced set of competencies (e.g., shared decision making)
 - Apply the layperson in a different site of service (e.g., emergency department)

- Expand the clinical domain in which the layperson operates (beyond congestive heart failure, diabetes mellitus and hypertension) either by applying their skills to non-chronic diseases or outside the domains of chronic cardiovascular or metabolic disease.

Goal 4: No later than two years after establishing CoPILoT, at least one non-Allina Health care provider organization will have adopted at least one of the new layperson variants (see Goal 3).

Goal 5: In partnership with Abbott Northwestern or Allina Health researchers, outside funding will be obtained to design, implement and study the effects of at least one of the new layperson variants (see Goal 3).

Figure 1. CoPILoT Focus Areas. The two areas of focus for the Program are distinct, but will start nearly concurrently. The development of the future state is outside the scope of this document.



Vision and Future State

The work in CoPILoT is done with an eye toward achieving the longer-term goal of establishing a national center for the study, promotion and adoption of laypersons onto care delivery teams. More specifically, we envision a day when laypersons are a

routine part of the care delivery team; viewed by providers as an indispensable team member necessary to delivering better care; appreciated by patients and communities for the persistent personal connection they provide; and supported by payers, employer and policy makers for demonstrable results toward achieving the triple aim.

We recognize the great potential laypersons represent as they are integrated into care delivery teams as demonstrated by the Care Guide project and its results. We believe that this embryonic concept could be advanced by an organization that will

- collaborate with other provider organizations to aggregate information about roles, results and advances in the use of laypersons on care delivery teams across the nation and potentially globally;
- disseminate that information to others that want to understand how to best incorporate laypersons onto their care delivery teams;
- partner with payers, employers, government entities and other policy makers to support and promote this concept;
- solicit and receive external funding to support ongoing development and testing of variations of layperson-inclusive care delivery models and layperson adjunctive roles;
- provide active assistance to those providers that want help adapting and adopting these models.

III.C. Definitions

Throughout this document, we will frequently use several terms that bear definition. We will borrow heavily from the original Care Guide project proposal in constructing these definitions.

Care Guide – The central facilitator of the proposed intervention will be the care guide. As defined in this intervention, the care guide will be a trained individual without formal medical training whose general functions will include:

- encouraging patients to take control of their chronic illness
- educating patients about the considerable benefits of best practice treatment
- communicating with patients, families and providers to keep the entire care team, including the PCP, focused on meeting care guidelines
- engaging family/friend support in a formal and consistent manner
- supporting medication and treatment adherence
- identifying and facilitating resolution of barriers to quality care
- facilitating referrals to extended care team members

- introducing patients to the wide variety of services available within Allina, including counseling on mental illness, chemical dependency, diet, smoking cessation, and diabetes
- connecting appropriate patients with resources offered at the Penny George Institute for Health and Healing (IHH) at Abbott Northwestern Hospital, which include patient education courses that promote self-managed health and wellness and integrative approaches to managing stress and anxiety

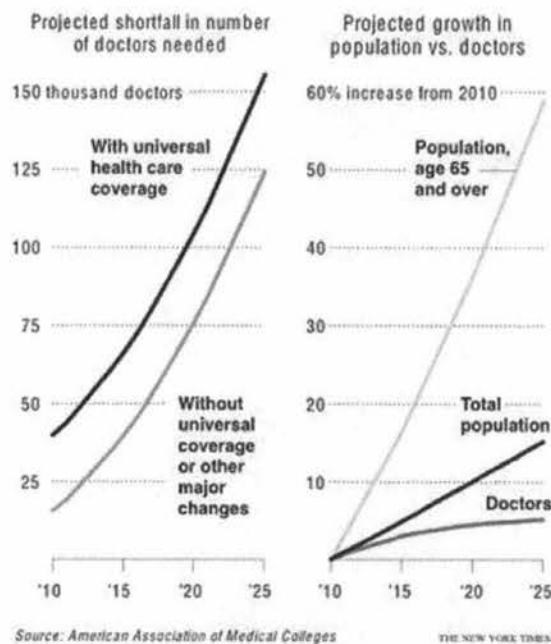
CoPILoT—We will use the term “Center for the Promotion of Laypersons on Care Delivery Teams”, or CoPILoT, as the working label for the program we describe herein.

IV. MARKET OVERVIEW

As the demand for expensive acute services grows in the face of looming shortages of key healthcare professionals, major changes in the organization and delivery of primary care are necessary for healthcare systems to be able to achieve lower costs, improved quality, and enhance the experience of care.

The American Hospital Association reports that the single biggest force threatening workforce productivity as well as health care affordability and quality of life in the U.S. is the rise in chronic conditions. Almost 80 percent of workers have at least one chronic condition, 55 percent of workers have more than one chronic condition, and nearly half of Americans with chronic disease fail to receive evidence-based care.¹ At the same time, the Association of American Medical Colleges estimates that in 2015 the country will have 62,900 fewer physicians than needed. Figure 2 shows how that number is expected to double by 2025 as the expansion of insurance coverage and the aging of baby boomers drive up demand for care.²

Figure 2. Physician Supply Projections Through 2025



¹ "The Burden of Chronic Disease on Business and U.S. Competitiveness," an excerpt from the 2009 Almanac of Chronic Disease, Partnership to Fight Chronic Disease and the U.S. Workplace Wellness Alliance, May 2009.

² http://www.nytimes.com/2012/07/29/health/policy/too-few-doctors-in-many-us-communities.html?_r=0

Additionally, the Patient Protection and Affordable Care Act and the Health Care and Education Reconciliation Act include a number of proposals designed to reduce expensive, hospital-based and fee-for-service care and move toward paying for quality and value.

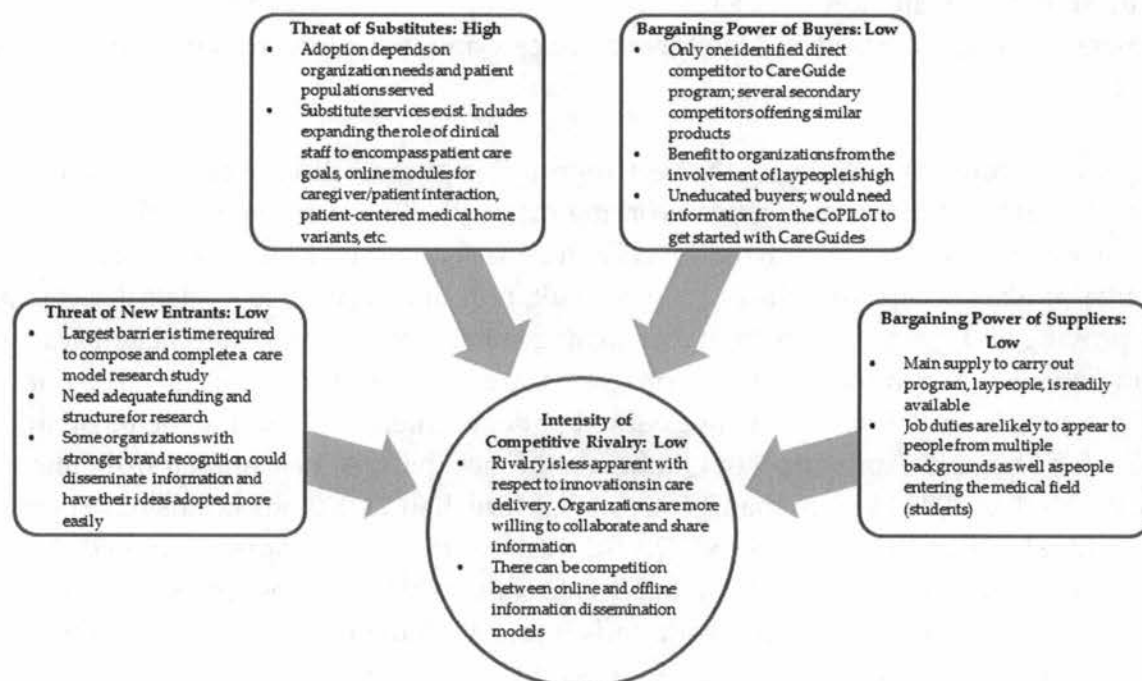
A growing consensus indicates the best approach to chronic disease care is a team, centered in the primary care office, working directly with patients to help them engage in their own care. This team would receive feedback about which patients achieve evidenced-based care guidelines.^{3,4} As a result, redesigned practice models directed at improving and integrating patient care management, such as integrated health systems and patient-centered medical home programs, are increasing in popularity. The number of practices in the country that have earned patient centered medical home recognition from the National Committee for Quality Assurance (NCQA) has jumped from fewer than 29 in late 2008 to more than 1,500 today. More than 21,000 physicians have earned individual recognition from the NCQA for their efforts to meet patient centered medical home standards of care. According to NCQA, some 3,000 practices are expected to earn recognition this year.³ These market trends create an undeniable need for new models of care delivery that can leverage new roles and technology to deliver care to more individuals at lower cost while improving patient quality, safety, and satisfaction.

IV.A. Market Landscape and Competitive Assessment

To better understand the market landscape for the dissemination of the Care Guide project as well as its variants and to ensure that the program is positioned appropriately in the market, we started by conducting Porter's Five Forces market analysis, summarized in Figure 3. This model illustrates how new entrants, substitutes, buyer power, supplier power, and rivalry affect the competitive landscape.

3 Schilling, Brian. "Medical Homes Gain Momentum - The Commonwealth Fund." Medical Homes Gain Momentum - The Commonwealth Fund. N.p., n.d. Web. 19 Oct. 2012. <<http://www.commonwealthfund.org/Newsletters/Purchasing-High-Performance/2012/April-11-2012/Featured-Articles/Medical-Homes-Gain-Momentum.aspx>>.

Figure 3. Porter's Five Forces Market Analysis for the Care Guide Project



Our Five Forces analysis revealed one direct competitor to the Care Guide project. The Dartmouth Institute for Health Policy and Clinical Practice and the Dartmouth-Hitchcock health system announced their plans in June 2012 to implement a shared decision-making care model for patients across the 15 health system members of the High Valley Healthcare Collaborative. As part of this project, Patient and Family Activators (PFAs) will be trained to engage in shared decision making with patients and their families, focusing on preferences and supplying sensitive care choices. PFAs may work with patients at a single decision point or over multiple visits for those with chronic conditions. Dartmouth anticipates that this intervention will lead to a reduction in utilization and costs and provide invaluable data on patient engagement processes and effective decision making—leading to new outcomes measures for patient and family engagement in shared decision making. Over a three-year period, the Trustees of Dartmouth College-sponsored program plans to train 5,775 health care workers and create 48 positions for patient and family activators.⁴

Our analysis also identified several other existing models with elements of similarity to the Care Guide project, outlined in Table 1. We used these existing models, and the

⁴ "Health Care Innovation Awards: Maine | Center for Medicare & Medicaid Innovation." Health Care Innovation Awards: Maine | Center for Medicare & Medicaid Innovation. N.p., n.d. Web. 23 Oct. 2012. <<http://innovations.cms.gov/initiatives/Innovation-Awards/main.html>>.

Dartmouth model mentioned above, as a reference as we identified where best to position CoPILOT within the market. These programs fall into four general areas:

- For-profit organizations offering full-service clinical transformation services
- Not-for-profit organizations offering limited clinical transformation services
- Not-for-profit organizations offering connections to academic research
- Not-for-profit organizations offering a single, clinical program

Table 1. Existing Clinical Transformation Models and Information Dissemination Strategies. A reference for market positioning.

	Full Service Clinical Transformation	Clinical Transformation Services	Non-Profit, Academic Connector	Non-Profit, Single Clinical Program
Examples	Geisinger, Evolent, Lumeris, Cleveland Clinic/Accretive Health	ICSI, IHI, TheaCare Center for Healthcare Value, Stratis Health, VHA, Premier	CHIP, CTSI	Health Leads, Health Corps
Profit Motive	For-Profit, venture backed	Not-for-Profit Community asset	Non-Profit	Non-Profit
Revenue Model	Mixed ➤ Transaction fees ➤ Consulting fees ➤ Licensing fees	Mixed ➤ Subscription ➤ Grants ➤ Consulting fees	Large federal government grants	➤ Philanthropic grants ➤ Adopter Contributions?
Services	➤ TPA ➤ Care management ➤ Population management technologies & services	➤ Clinical model dissemination (e.g., palliative care, HCH) ➤ Clinical process improvement ➤ Guideline development	➤ Connecting community need to academic experts (CHIP) ➤ Connecting clinicians to academic support services (CTSI)	Assistance Implementing Health Lead
Target Market	➤ Provider organizations ➤ National scope	➤ Payer and governmental grants ➤ Direct provider consulting ➤ National scope	Community providers or organizations to connect with academic organization	Inner city hospitals with high numbers of low socioeconomic patients
Value Proposition	Well-established, broad solution sets that support providers preparing to bear risk for managing a population of patients	Proven clinical transformation capabilities that are focused on triple aim	Accelerating discoveries into practice quickly, thereby benefiting patients and communities	Low cost improvement in clinical status. Anecdotal?
Notes	Transformers of the health care system based on years of experience developing value producing clinical models and processes, technologies and payer value exchange models.	➤ View themselves as transformers of health care system ➤ Use grants and relationships with payers to support development efforts	➤ Not exclusively focused on care models ➤ Dissemination takes the form of translation of research to the clinical realm	Promote a single, layperson-based program to support the needs of patients with low socioeconomic status.

For-profit organizations offering full-service clinical transformation services - Organizations within this category are transforming the health care system based on years of experience developing value-producing clinical models and processes, technologies, and payer value exchange models. These organizations are generally venture-backed and have a mixed revenue model based on transaction, consulting, and licensing fees. Their services vary from care management and population management to involvement with technologies and services. They target provider organizations across the nation with a proposition that they offer well-established broad solution sets that support providers preparing to bear risk for managing a population of patients.

- *Examples: Geisinger, Evolent, Lumeris, and Cleveland Clinic/Accretive Health*

Not-for-profit organizations offering limited clinical transformation services – Organizations within this category disseminate clinical models of care and focus on clinical process improvement and guideline development while providing proven

clinical transformation capabilities focused on the triple aim. They use grants and relationships with payers to support their development efforts. These organizations have a mixed revenue model based on subscriptions, grants, and consulting fees. They target payers and direct-to-provider consulting across the nation.

- *Examples: Institute for Clinical Systems Improvement (ICSI), Institute for Healthcare Improvement (IHI), The Thedacare Center for Healthcare Value, and Stratis Health*

Not-for-profit organizations offering connections to academic research – Organizations within this category are not exclusively focused on care models; they connect community need to academic experts and connect clinicians to academic support services. Dissemination takes the form of translation of research to the clinical realm. These organizations are not-for-profit and their revenue is generated from large, federal grants. Their target market is community providers and organizations connected with academic organizations who can accelerate discoveries into practice quickly, thereby benefiting patients and communities.

- *Examples: University of Connecticut Center for Health, Intervention and Prevention (CHIP), and the Clinical and Translational Science Institute (CTSI)*

Not-for-profit organizations offering a single, clinical program – Organizations within this category promote a single, low-cost, layperson-based, program to support the needs of patients with low socioeconomic status. These organizations are not-for-profit and subsist on philanthropic grants and adopter contributions. They provide assistance implementing programs and focus on inner city hospitals with high numbers of low socioeconomic patients.

- *Examples: Health Leads and Health Corps*

IV.B. Market Needs

Understanding the needs of potential customers is important in defining market opportunities, driving revenue growth, and developing into a nationally adopted and recognized program. To obtain some perspectives on market needs, we talked to representatives from several organizations, including Iowa Health System, UMass Memorial Health System, Fairview Health System, Hennepin County Medical Center, HealthPartners, Geisinger Health System, Stratis Health and the Institute for Clinical System Integration and identified the following:

- Organizations need a cost-effective method of care management with proven and measurable results. Many providers are finding they are unable to justify the costs associated with a typical care team model involving enhanced patient

support from clinical staff. They are looking for ways to reduce costs for these types of teams.

- Many organizations are already actively working and deploying on new models of primary care management, largely because of the new quality and value requirements being implemented by state and federal governments. It can be challenging for providers in general and rural providers in particular to support the added costs and complexities of this model.
- It can be difficult for many organizations to move from idea generation to deployment and finally to operationalizing these models by themselves.
- For a model to be adopted, it is important to describe how it fits into other, existing models such as patient-centered medical home, DIAMOND (depression care), readmission prevention models, population health management, palliative care efforts, etc. Organizations do not have the time or the interest in changing the structure of their existing systems to accommodate a new model.

Given these identified needs, Allina Health's use of laypersons as care guides presents a viable and effective alternative to fill a developing market need for cost-effective, primary care chronic disease management.

IV.C. Target Market

The second goal of CoPILoT is to deploy the Care Guide project outside of Allina Health. To do this, we will begin by targeting closely aligned, independent, organizations within the Allina Health service area. Specifically, we will target organizations that have an established relationship with Allina Health and share Allina's goal to drive care transformation within their communities. Implementation of the program in these organizations will help quickly drive adoption of the Care Guide model and build a strong foundation for dissemination on a national level in the long-term. Many of these organizations have worked with Allina Health in other capacities to develop and implement innovative care models and know that Allina has a strong record of accomplishment when it comes to service and success. Additionally, keeping the initial target market within the Allina Health service area will allow the team that developed the Care Guide project to provide valuable oversight into the implementation and operationalization of the program at other sites during CoPILoT's initial dissemination period.

Our research indicated that organizations without an established relationship with Allina Health would be less interested in changing their existing structures to accommodate a new model. Because of this, organizations without Allina Health affiliation were excluded from our initial target market until demonstrated, measurable

results from a number of organizations are available to help facilitate adoption. Once the credibility of the program is established, it will be important to include these organizations as a secondary target market to expand the reach of the Care Guide project. Health care payers could be important partners for the longer-term dissemination of this program. Payers are becoming increasingly concerned about health care costs, quality, and outcomes and are embarking on and seeking innovative ways, like the Care Guide project, to manage costs and to improve quality and outcomes. Many payers' extend their reach beyond the Minnesota market, which makes them particularly important in the national acceptance of the Care Guide project.

IV.D. Target Clients

In the short-term, target clients for CoPILoT would be organizations affiliated with, but not owned by, Allina Health. Within the Allina Health service area, these target clients include CEO Summit and Allina Integrated Medical (AIM) Network participants. These independent organizations have established relationships with Allina Health through strategic or technological implementations, such as Excellian, the electronic health record, and support the achievement of better integration across the continuum of care. Additionally, Allina has pre-existing methods of disseminating information to aligned organizations through quarterly CEO Summit meetings and AIM provider meetings, as well as other established communication channels.

- CEO Summit participants include 13 hospitals and medical centers across eastern Minnesota and western Wisconsin that collaborate with Allina Health to develop and deploy solutions for care management and establish a clinical information exchange.
- The Allina Integrated Medical Network aligns 51 independent physician practices, with over 1000 providers, in the Twin Cities metropolitan area in shared leadership and decision-making with a common goal of improving quality and reducing cost.

Initial meetings with several organizations in this target market indicated there was interest in implementing the Care Guide project through Allina Health and CoPILoT. Further prioritization of these organizations based on interest, available resources, and organizational fit will help to identify an implementation sequence

V. PROGRAM DESCRIPTION

V.A. Products and Services

The purpose of this section is to describe the products and services CoPILoT will offer to address Focus 1, promote broad awareness and adoption of the Care Guide project outside of Abbott Northwestern Hospital and Allina Health; and Focus 2, promote and support development of variations the care guide model at Abbott Northwestern Hospital and Allina Health. To address Goals 1 and 2 of Focus 1, this section will describe CoPILoT's self-service, publically accessible website, fee-based service offerings for implementation and ongoing support, and award offerings. To address Goals 3 and 4 of Focus 2, this section will also outline CoPILoT's approaches towards establishing four care guide variants within Allina Health and disseminating one of the tested variant models outside of the organization. The necessary resources, time requirements and cost structures for each product and service are also described within this section.

V.A.1. Services to Support Generating Broad Awareness of the Care Guide project (Goal 1)

Goal 1 specifically states that no later than one year after the establishment of CoPILoT, more than 50% of provider organizations within the Allina Health service area will have had at least one opportunity to learn more about the Care Guide project. There are two primary strategies involved in generating broad awareness of the Care Guide project.

Strategy 1

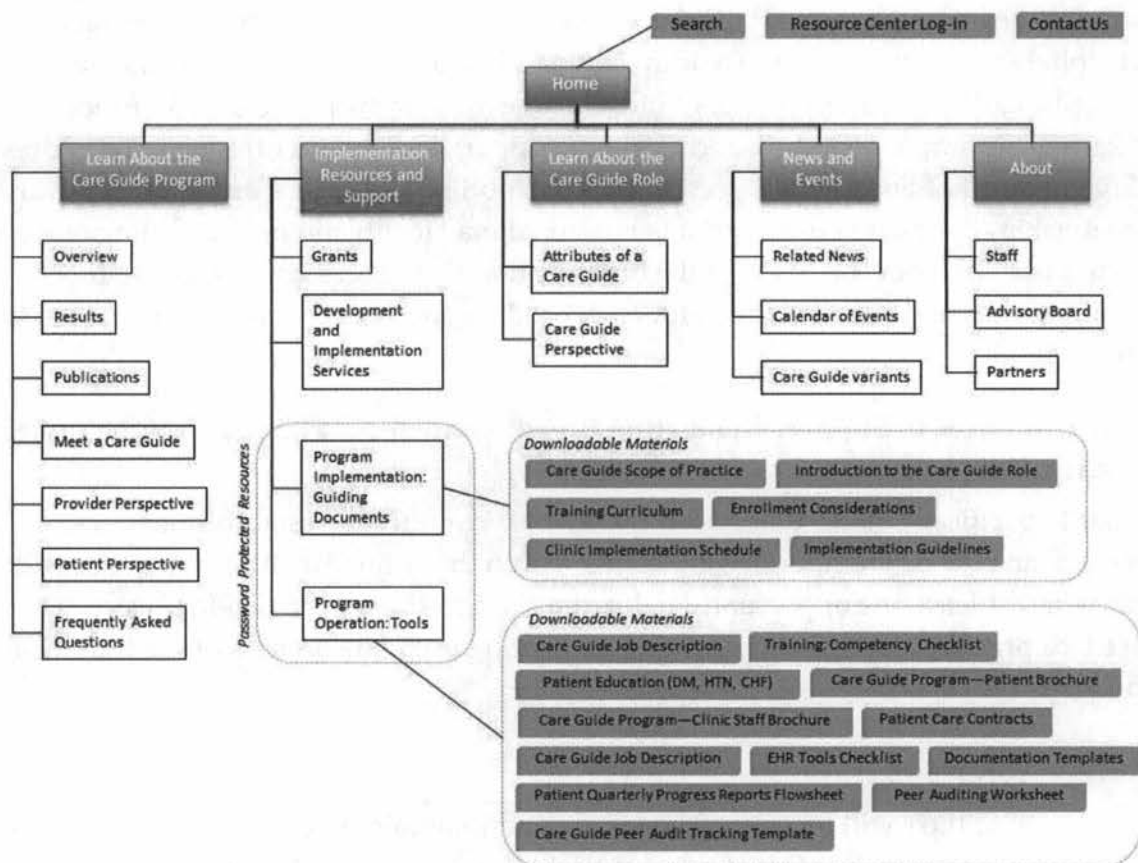
CoPILoT will focus on developing and maintaining a website accessible to the general public. Care Guide project information and detailed materials will be accessible through this website; and an outline of the website's contents and features are provided in this section.

Strategy 2

CoPILoT will publicize the Care Guide project and CoPILoT website through outreach efforts with Allina Health's CEO Summit Partners, affiliate and regional providers; details of this strategy are further outlined in the Marketing Section of this proposal.

Figure 4 is a proposed site map of the website's contents, which includes free resources to learn of the Care Guide project model, implementation strategies, the care guide role, news and events, and the mission of the Program.

Figure 4. Proposed Site Map of CoPILoT Program Website



Website Content and Features

Provided is a description of selected elements of the proposed Program website:

Meet a Care Guide

The energy, earnestness and personality of a care guide are difficult to convey fully in prose. We envision a video interview with one or more of the care guides to give website visitors a real sense of what the typical care guide is like.

Provider Perspective

In a similar fashion, Dr. Adair's passion and vision around this concept should be captured in a video presentation for providers to understand how the program was conceived and what it was like working with a care guide. Adding perspectives from other care team members (e.g. supervising nurse) would round out the view of a care team.

Patient Perspective

Understanding what the care guide can mean to patients—a trusted member of the care team, a person that can activate change and someone with whom a positive relationship can be formed—can be best conveyed using interviews with patients.

Frequently Asked Questions

Many questions arise when a provider first hears about the program (e.g., confidentiality, clinical decision making, scope of responsibilities). Capturing these and addressing them directly will be important.

Password Protected Resources

The resources for building a program similar to the Care Guide project will be kept in a password protected area of the site. To gain access to downloadable materials listed in Figure 4 and Table 2, the user will need to register as a member at no charge, providing some basic information including designating a contact person at the receiving organization in order to help us follow-up with them and their progress with building their program, track their progress, offer a grant, if appropriate, and support them in studying the effects of their program implementation ("soft shadowing"). It will also allow us to include them in distribution lists for emails and e-newsletters.

Once registered, the member will be able to freely access the program resources. As part of obtaining the download process, the member will be

required to agree to a modified open source license agreement that allows them to freely use, modify and apply the materials for their own use. This license specifically excludes the distribution of these materials to other organizations. All organizations will be expected to come to CoPILoT's website and register as a member to access the materials.

The purpose of using this approach in order to access of the program resources is so that we can track use of materials and document dissemination of the idea. In addition, while Allina Health and Robina will have no legal responsibility for the outcome of the programs developed by organizations using its materials, there is a very real, potentially negative effect on the brand of Allina Health should someone use these materials in a way that might lead to an untoward event (e.g., breach of confidentiality or a layperson found to have provided medical advice). We will attempt to mitigate this possibility through this approach.

Learning About the Care Guide Role

As layperson model variants are developed in other provider settings, the demand for laypersons will grow. This will be one avenue to learn about the attributes of a Care Guide and perspectives of their roles.

Table 2. Care Guide Project Documents and Tools for Implementation and Operations

PROGRAM IMPLEMENTATION: GUIDING DOCUMENTS
Care Guide Scope of Practice
Portrait of a Care Guide
Introduction to the Care Guide Role
Care Guide Training Curriculum
Program Enrollment Considerations
Program Implementation Guidelines
Clinic Implementation Schedule
PROGRAM OPERATION: TOOLS
Care Guide Job Description
Care Guide Training: Competency Checklist
Care Guide project—Patient Brochure
Care Guide project—Clinic Staff Brochure
Patient Education Materials (DM, HTN, CHF)
Patient Care Contracts (DM, HTN, CHF)

Electronic Health Record Tools Checklist
 Care Guide Documentation Templates
 Patient Quarterly Progress Report: Care Goals Flowsheet (DM, HTN, CHF)
 Patient Quarterly Progress Report: Care Guide Peer Auditing Worksheet
 Care Guide Peer Audit Tracking Template

Disposition and Action

We recognize that some external organizations may choose to solely access password-protected resources from the website without enlisting implementation support from CoPILoT. Therefore, to sustain a connection with website users, a “soft-shadowing” approach, as previously mentioned, will be used to help identify specific organizations and type (provider groups, hospital systems, integrated delivery systems, etc.) interested in the Care Guide project model, their motivations in downloading program materials, and key contacts within the organization. With this information, CoPILoT can easily follow-up with external organizations to better understand their progress in implementing the Care Guide project model. We anticipate general scenarios to occur after external organizations have downloaded materials from the website; and motivations for visiting the website and downloading program materials will vary across organizations. Thus, CoPILoT will act accordingly to what is learned through the follow-up process.

- Disposition 1—downloaded materials are used to learn of the Care Guide project model, but no further actions will take place.
Action—CoPILoT will identify organization interested in Care Guide project model, and gauge their future interest in implementing such a program.

- Disposition 2—downloaded materials are intended for program implementation; process planning occurred, but the program was abandoned short of implementation.
Action—CoPILoT can help explore barriers to implementation and offer implementation support through fee-based services and/or financial assistance through CoPILoT's Implementation Award (outlined in Section V.A.2.)

- Disposition 3—downloaded materials are intended for program implementation; process planning occurred and implementation was successful.
Action—CoPILoT will follow-up with organization to study their implementation process, and potentially offer support through CoPILoT's Study Award (outlined in Section V.A.2.)

Electronic Outreach

Keeping the website dynamic will be important in continuing to attract people to the site and to get return visits (all important for optimizing the site in search result sets). A blog that provides new perspectives from care guides and all those who interact with them will be included on the home page of CoPILoT's website. Additionally, perspectives and opinions from staff and other system leaders should be included through vehicles such as e-newsletters and opt-in email updates.

Resource Requirements

The Business Development Lead & Grant Writer (role described in Section VII.A.3.) will be the primary CoPILoT resource dedicated to maintaining the contents of the website, answering program inquiries generated by the website and activities associated with public relations and outreach. We estimate 50% of this role will be dedicated to Goal 1 activities.

V.A.2. Services to Support Active Promotion and Facilitate Adoption of the Care Guide Project Outside of Allina (Goal 2)

To actively promote and facilitate adoption of the Care Guide project outside of Allina Health, as identified in Goal 2, CoPILoT will offer varying levels of support to promote program adoption: self-service, enhanced implementation services and ongoing training and support services. The self-service level is free of charge, but limited in CoPILoT personnel support. Enhanced implementation services and ongoing training and support services are fee-based services that offer organizations, at different stages of implementation, flexibility to customize CoPILoT's support. Also, two types of awards, Implementation and Study, will be available to promote adoption of the Care Guide model outside of Allina Health.

Self-Service

The website is available free of charge and will allow organizations access to Care Guide project implementation materials and tools through user registration requirements, limited phone-based question & answer support, limited email support.

Enhanced Implementation Services

We will offer customizable fee-based services a la carte or as a suite of services to aid the implementation. To address implementation needs, a team of Care Guide project experts will be assembled to work with the external organization to conduct current-state assessments, design organization-specific implementation plans, and provide guidance on hiring for the care guide role.

Also, Implementation Awards will be offered to organizations interested in adopting the Care Guide project model through use of CoPILoT's enhanced implementation services. Implementation Awards are to support activities associated with implementing the Care Guide project model, and excludes the costs of employing the care guide role itself. Interested organizations will undergo a grant application process in which the applying organization will need to demonstrate a budget allocation for care guide employment. Any internal Allina Health segments interested in implementing care guide variants will not be eligible for these grants.

Service Offering 1: Assessments and Implementation Plan Design

There are two primary elements of this service, which will be led by the Relationship & Project Manager (role described in Section VII.A.2.):

- Care Guide project experts will conduct site visits and interviews with key personnel to assess the current-state of an external organization.
 - Care Guide project experts will work collaboratively with the external organization's leadership team to identify the specific goals of implementing a program, review existing initiatives to identify opportunities for care guide integration, and assess the organizational structure and its ability for program adoption.
- CoPILoT will produce a specific implementation plan to fit the unique needs of the organization.
 - The team of experts will build a tailored implementation plan for recommendation to the external organization.
 - It is important to note that any request to assist external organizations with program implementation is outside the scope of this service.

Service Offering 2: Hiring Guidance

The Program may provide suggestions and guidance in hiring for the care guide role in an effort to maintain the fidelity of the Care Guide project model. Suggestions and guidance will be based on documents (e.g., Portrait of a Care Guide, Care Guide Scope of Practice, and Care Guide Job Description) already developed as a result of the research phase of the Care Guide project. It is important to note, CoPILoT will not be an active participant in an external organization's hiring process as this falls outside the scope of the Program's focuses.

Service Offering 3: Training

To address operational needs, CoPILoT will offer training packages for leadership and care guides. The training programs will be designed to meet a diverse set of needs from external organizations. CoPILoT's training coordinator (role described in Section VII.A.4.) will maintain responsibility for developing curriculum and conducting the training programs.

➤ *Leadership Training*

With maintaining the fidelity of the Care Guide project in mind, the leadership training program is meant to provide a comprehensive understanding of the Care Guide project and the capabilities and limits of the care guide role. This training program provides:

- A thorough review of Care Guide project measurements
- Program integration practices
- Review of knowledge acquired from implementing the Care Guide project at Allina Health to inform external organizations of challenges to address in their implementation process
- This training course may expand to include leadership training for care guide nursing supervisors in order to give them necessary tools to effectively lead and integrate care guides in the clinic setting.

➤ *Care Guide Training*

External organizations will have an opportunity to provide care guide job training without the need to reinvent the wheel for a program that has been tried and test. Also, external organizations avoid investing their own personnel resources to develop a training program by offering care guide training through CoPILoT. In recognizing that external organizations will adapt the Care Guide project to fit their unique needs and care guides will not necessarily be serving a uniform patient population, this training program provides:

- General scope of the care guide role
- Basis skills in providing patient care in the healthcare setting
- An opportunity to shadow existing care guides
- Learnings acquired during the research phase of the Care Guide project, based on valuable real-life experiences provided by care guides, providers and nurses
- A set of materials that facilitate a smooth transition for care guides to enter into their new roles.

Care Guide training is not meant to be comprehensive; it provides a solid foundation for a trained layperson to efficiently integrate into the healthcare setting.

Implementation Award

This type of award will be available to organizations seeking program implementation support through CoPILoT's service offerings 1, 2 and 3. Each Implementation Award will be for the amount of \$25,000. It is important to note that recipients are not permitted to use this award to employ care guides within their organization, and will still be eligible to apply for the Study Award. The fundamental purposes of this award are to:

- Help organizations offset facilities costs associated with implementing the Care Guide project
- Promote Care Guide project adoption by providing financial assistance for CoPILoT's services: current-state assessments, implementation plan development, hiring guidance, training programs for leadership and care guides

Eligibility criteria for the Implementation Award will include:

- Any type of organization (i.e. provider groups, hospital systems, integrated delivery systems, etc.) external to Allina Health
- Demonstrate budget allocation for care guide employment
- Desire to substantially adopt original Care Guide project model
- Need for the CoPILoT's full suite of services (Service Offerings 1, 2 and 3). Table 3 illustrates Enhanced Implementation Services packages eligible for this award
- Complete award application process

Ongoing Training and Support Services

CoPILoT will offer services in areas of ongoing training, documentation and reporting to support organizations who have successfully implemented the Care Guide project model. To further support organizations interested in this level of support, CoPILoT will offer financial assistance through Study Awards. The purpose of the Study Award is to help organizations study the effectiveness of adopting the Care Guide project, and to help program quality improvement.

Service Offering 4: Continuing Education

As care guides in the research phase of the Care Guide project can attest, continuous education for care guides is paramount in their continued success

integrating into the healthcare delivery setting, providing quality patient care and functioning within their scope-of-practice. Therefore, CoPILoT will offer a membership-based program, “In-Services”, for external organizations to offer to care guides for continuing education. In-Services will convene on a quarterly basis, and will offer member care guides an opportunity to:

- Interact with peers
- Exchange ideas
- Share experiences and best practices
- Additional training in areas of motivational interviewing and behavior modification techniques in order to build upon their existing skill-set and increase job performance and efficiency

Service Offering 5: Documentation and Reporting

CoPILoT will work with organizations that have operationalized the Care Guide project, but lack the capability and resources to collect and analyze patient care data for quality improvement purposes. There are two primary components of this service:

- CoPILoT will conduct pre- and post- implementation program evaluations for meta-analysis. Evaluations will be based on aggregate patient data (detailed in Section V.B.) collected from external organizations
- CoPILoT will collaborate with external organizations on-site to provide support in building an infrastructure for program data collection and evaluation

Study Award

Organizations may not have appropriate resources or capabilities to collect and evaluate program data to measure the success of adopting the Care Guide project model. Similar to the Implementation Award, the Study Award excludes the costs of employing the care guide role itself. Interested organizations will undergo an application process in which the applying organization will need to demonstrate that they have operationalized the Care Guide project model. CoPILoT will offer Study Awards, each for the amount of \$10,000, for the following fundamental purposes:

- Help organizations defray the costs of data collection and program analysis (described in Service Offering 5)
- Serve as an organization’s data repository to evaluate pre- and post-program implementation data (detailed in Section V.C.)

Eligibility criteria for the Study Award will include:

- Any type of organization (i.e. provider groups, hospital systems, integrated delivery systems, etc.) external to Allina Health
- Has implemented and operationalized Care Guide project within organization for a minimum of 3 months
- Willing to provide CoPILoT with a standard level of data for program evaluation
- Table 3 illustrates Ongoing Support packages eligible for this award
- Complete award application

Resource Requirements

The resource roles and estimated time required to provide each of CoPILoT's enhanced implementation support services and ongoing training & support services, per service contract are listed in Table 4. The estimated minimum resource costs listed in the figure is based on the resources and time required to provide each service. The estimated fees per service contract accounts for the minimum resources and time costs associated with offering the service, in addition to other related expenses listed in the pro forma (detailed in Financials Section).

Table 3. CoPILOT Service Packages and Award Eligibility

		Service Package Options	Implementation Package 1	Implementation Package 2	Ongoing Support Package 3	Available A La Carte
Enhanced Implementation Services	Assessments & Implementation Plan		✓	✓		✓
	Hiring Guidance		✓	✓		
	Leadership Training		✓	✓		✓
	Care Guide Training		✓	✓		✓
Ongoing Training & Support	Continuing Education Training		✓	✓		✓
	Documentation and Reporting		✓		✓	✓
Eligibility	Implementation Award		✓	✓		
	Study Award		✓	✓	✓	

Table 4. Estimated Resources, Time, Fees for Delivering CoPILoT's Products and Services, Per Contract (Years 1-2)

		CoPILoT Program Roles	Program Development & Measurement Lead	Relationship Development & Manager	Business Development & Grant Writer	Training Coordinator	Clinical Lead	Estimated Fees per Service Contract Projections
Enhanced Implementation Services	Assessments & Implementation Plan Design	-	✓	-	-	-	-	\$ 8,800
	Service Duration		30 days					
	Hiring Guidance	-	✓	-	-	-	-	\$ 200
	Service Duration		1 week					
	Leadership Training	-	-	-	✓	✓		\$ 5,000
	Service Duration				1 day	1 day		
	Curriculum	Initial Development			6 weeks			
		Content Maintenance			Ongoing			
	Care Guide Training	-	-	-	✓	✓		\$ 6,000
	Service Duration				1 week	1 day		
Ongoing Training & Support Services	Continuing Education Training							
		Service Duration				1 day	1/2 day	
	Curriculum	Initial Development			6 weeks			
		Content Maintenance			Ongoing			
	Documentation and Reporting	✓	-	-	-	-	-	\$10,000
Additional Products and Services	Self-Service Website	-	-	✓	-	-	-	n/a
	Duration			Ongoing				
	Implementation Award	-	✓	✓	-	-	-	n/a
	Duration		Ongoing	Ongoing				
	Study Award	✓	-	✓	-	-	-	n/a
	Duration	Ongoing		Ongoing				

V.A.3. Strategies to Establish Four Variants of Care Guides in Care Delivery Teams (Goal 3)

Goal 3 is to design, develop and deploy four variants of care guides in care delivery teams by the end of the second year of establishing CoPILoT. A series of phases will help move CoPILoT towards achieving this goal: characterization of existing care guide variants; determine clinical and other organizational needs; and pilot—define, establish scope and goals, launch.

Phase 1—Characterization of existing care guide variants

As a result of the Care Guide research study, Allina Health has been moving towards integrating the care guide role into various segments of the organization. Within Allina Health, the care guide role has been adapted for:

- Advanced Care Teams
- The Life Course initiative
- The Penny George Institute's Health Promotion and Prevention Partnership (HP3) Wellness Program.

A variation of the care guide role has also been explored for:

- Sister Kenny Rehabilitation Institute
- Emergency Room Scribes
- Oncology Service Line

Further investigation of clinical domain, site of service, scope of responsibilities and role qualifications are required to better understand the success and reproducibility of these existing variants. This characterization phase will begin after 6 months of establishing CoPILoT, and will involve working with current care guide variants inside Allina Health and out (i.e., Dartmouth-Hitchcock adopted care guide variants to focus on shared-decision making across clinical domains) to help identify elements of success, challenges and learnings. Information collected in this phase will help inform phase 3.

Phase 2—Determine clinical and other unmet organizational needs

Exploratory conversations with clinical segments of Allina Health, its partners and affiliates confirmed that an interest in adopting variants of laypersons in care delivery teams exists. Therefore, once the characterization phase (phase 1) is complete, phase 2 will entail meeting with leaders of Allina Health's segments to build a comprehensive understanding of clinical and other unmet organizational needs in which laypersons could serve. Information collected in this phase will help define future pilot projects.

Phase 3—Pilot Projects: Define, Establish Scope and Goals, Launch

Upon completion of phases 1 and 2, and capabilities of expanding the care guide model and laypersons in care delivery teams are explored, the Program will work towards establishing pilots of at least four care guide variants. Through phase 1 and 2 activities, the Program will help identify the clinical domains in which pilot projects will take place. CoPILoT will use the following as guiding principles for pilot projects:

- Projects are defined to include a broad spectrum of variant models at various stages of implementation or operation.
 - A potential project may be studying existing care guide variants (e.g., Accountable Care Teams, Life Course, etc.) with which CoPILoT would collect data to assess effectiveness of care guides and reproducibility of variant model
 - Another potential project may be collaborating with segments that have explored the care guide concept but never implemented the model (e.g., Sister Kenny Rehabilitation Institute, ER Scribes) to deploy a new care guide variant role
- Information from phases 1 and 2 will help to define the clinical domains of pilot projects, and help to establish and refine appropriate project scope and goals
- CoPILoT will work with identified segments to provide products and services that will aid the implementation process
- Pilot projects are intended for Allina Health, as this provides a testing ground to track the implementation process, if applicable, and the effectiveness and success of variant models
- CoPILoT will collaborate with Allina Health's operations team and clinical leads to establish all four pilot projects by the end of year 2

Resource Requirements

The Program Development & Measurement Lead will be the primary CoPILoT resource dedicated to overseeing activities in phases 1, 2 and 3 stated for Goal 3. We estimate that 40% of this role will be dedicated to Goal 3 activities.

V.A.4. Strategies to Promote Adoption of At Least One New Layperson Variant at a Non-Allina Health Care Provider Organization (Goal 4)

To achieve Goal 4 by the end of CoPILoT's second year, our strategy is to first, work with external organizations to disseminate information on the new layperson variant role; and second, offer CoPILoT's product and service offerings to encourage adoption. The first strategy of Goal 4 is closely aligned to Goal 1, in that the website's user registration function (described in Section V.A.1.) and other website/program inquiries will help us target our outreach efforts. Therefore, we intend to leverage the website's exposure and use it as a channel to identifying external organizations that may be well-positioned to adopt at least one of the new layperson variants (described in Section V.A.3.). It is important to note that any layperson variant models will first need to be deployed and tested for effectiveness within Allina Health.

Disseminate at least one of the new variants outside of Allina Health

Once variant pilot projects have been established and tested for success (described in Section V.A.3), identified external organizations will be approached to implement one of these new variants by the end of year 2. CoPILoT's services such as current-state assessments, implementation plan design, hiring guidance, and training for leadership and variant roles will be offered to these organizations to facilitate adoption of the variant role.

Resource Requirements

The Program Development & Measurement Lead (role described in Section VII.A.1.) will be the primary CoPILoT resource dedicated to overseeing dissemination of at least one new variant outside of Allina Health, with support from the Business Development Lead (role described in VII.A.3.). We estimate 20% of the Program Development & Measurement Lead role and 5% of the Business Development Lead role will be dedicated to Goal 4 activities.

V.A.5. Grant Seeking (Goal 5)

In partnership with the research team at Allina Health's Center for Healthcare Research and Innovation, a member of the Program will be tasked to seek external grant funding programs to support CoPILoT's overall mission. There will be a strong emphasis on seeking grants to support establishing and studying variants of the Care Guide project model.

Resource Requirements

The Business Development Lead will work in tandem with Allina Health's Center for Healthcare Research and Innovation to seek and write external grants. We anticipate that grant seeking and writing will occur on an ongoing basis, and account for 25% of this individual's role.

V.B. Measurement of Program Impacts

Many organizations that begin to incorporate laypersons into their care teams with or without assistance from CoPILoT will wish to measure the impacts of these important care model changes. While CoPILoT would like to see many a plethora of study activities occur, there are several specific areas in which we are particularly interested.

We will influence others to apply this focus to help apply a broader prioritization scheme that should prevent duplication of effort, help limit ineffective study questions or approaches and produce a coordinated picture of results, relevant to a broader audience.

The framework through which we will express our perspective and guide our activity is the Triple Aim (care quality, cost and the patient's experience). However, even within that framework, there are specific areas in which we will attempt to create focus. Our priorities are discussed below. Our means for guiding and coordinating activity at sites outside the Allina Health family are informal support, teaching and interaction, implementation services and the Awards programs.

The CoPILoT team will partner with other researchers within the Center for Healthcare Research and Innovation at Allina Health to achieve ongoing peer-review publication about the implementation of CoPILoT and its effect on other organizations.

V.B.1. Measurement of Patient Care: Quality of Care

There are many elements of care quality that can be studied, from care delivery processes to outcomes measures. We would like to see organizations that adopt the Care Guide model to focus on two areas: the intermediate quality outcomes of the first Care Guide research and for other chronic diseases; and the process of integrating care guides into other models of care (e.g., patient centered medical home). To this end, Table 5 lists patient care outcomes developed from Allina Health's standards of care guidelines and intended to measure patient quality of care. Beyond the patient care outcomes for diagnoses studied in the research phase of the Care Guide project (diabetes, hypertension and congestive heart failure), additional patient care outcomes have been established for asthma, COPD, depression, obesity, post-hospitalizations and vascular. We can offer this work in assembling clinical guidelines to make study in these areas easier to achieve.

In the case of studying integration of laypersons into other care models, we are particularly interested in the models into which the laypersons are integrated, the final integrated structure and modifications in process and the impacts of the hybrid models on quality. We will work with the adopting organizations to define specific hypotheses and methods.

Table 5. Patient Quality of Care Outcomes

	Measured Patient Outcomes
Asthma	Do not use tobacco
	Asthma Action Plan is documented in EHR within 12 months

	Has an Asthma Questionnaire on file annually. If > 0, has a follow up appointment scheduled with provider
	Had a Pneumovax vaccination
	Patient understand triggers as listed in Asthma Action Plan
Congestive Heart Failure	Do not use tobacco
	If taking ACE-I and/or ARB and Beta Blocker patient understands this is for heart failure
	Follow-up with primary care physician within three to five days of a hospitalization or emergency room visit
	Follow-up with your physician at a minimum of three months or as directed by physician
	Weigh yourself each day and record your weight. (weight gain of 3 pounds in one day or 5 pounds in one week will be reported to care guide)
	Had a Pneumovax vaccination
COPD	Do not use tobacco
	Had a Pneumovax vaccination
	If hospitalized for COPD or acute respiratory infection, follow-up with primary care physician within 3-5 days of discharge
Depression	Do not use tobacco
	Had a PHQ9 screening test completed within the last 6 months.
	If last PHQ9 score is 10 or greater, has a follow-up appointment scheduled with provider that is managing the medications as directed (family practice, internal medicine or mental health)
	Has a follow-up appointment scheduled with the psychologist as directed
Diabetes	Do not use tobacco
	Had a Pneumovax vaccination
	Systolic blood pressure less than or equal to 139
	Diastolic blood pressure less than or equal to 89

	Hemoglobin A1c level (measures average blood sugar) less than 8.0% or as otherwise determined by provider
	Had a test for protein in urine (microalbuminuria) within the last 1 year or if ever abnormal
	If there is microalbuminuria (>30mg/g creatinine) at any time: taking a ACEI or ARB medication to help control the amount of protein unless contraindicated
	Taking aspirin (ASA) if ordered or unless contraindicated
	LDL checked within the last year and is less than 100 or as otherwise determined by provider
	Had an eye examination within the last 1 year
	Does foot self-exam monthly checking for calluses and sores, visit podiatry as needed
Hypertension	Do not use tobacco
	Had a Pneumovax vaccination
	Systolic blood pressure less than or equal to 139
	Diastolic blood pressure less than or equal to 89
	Has had blood pressure checked yearly
	If patient is on 4 or more antihypertensive medications: has been referred to PharmD
Obesity	Do not use tobacco
	Had an annual cholesterol lipid panel lab screening completed
	Has had blood pressure checked yearly
	Maintain or decrease weight keeping BMI to < 30. If >30, lose 5-10% of your weight
	Patient is aware of community resources for exercise therapy and dietary adjustments
Post Hospitalization	Do not use tobacco
	Review hospital discharge instructions with patient within 3 days of discharge
	Have all outpatient appointments on record for the 5 day time period following discharge

	For CHF patients only: has not had hospital readmissions within 30 days of the last heart failure discharge
Vascular	Do not use tobacco
	Had a Pneumovax vaccination
	Systolic blood pressure less than or equal to 139
	Diastolic blood pressure less than or equal to 89
	LDL checked within the last year and is less than 100 or as otherwise determined by provider
	Patient has daily personal exercise plan
	Taking aspirin (ASA) if ordered or unless contraindicated

V.B.2. Measurement of Patient Care: Costs

Health care expenditures have become of critical due to the nearly 20% of GDP that is spent every year on health care. If health benefits from the layperson-inclusive clinical models are achieved as is supported through the Care Guide research results, understanding the cost implications to achieving those results will be an important next step. There are three areas in which we will want to see further study: the total cost of care, productivity and expenses.

Total cost of care

With the degree of interest in assigning patient cohorts to provider organizations for management (accountable care organizations), understanding the effects of new interventions on health care expenditures for a defined patient population have engendered a great deal of interest from the policy community. As such, we will steer adopting organizations to this question, should appropriate circumstances exist (e.g., predefined cohorts, administrative claims for the cohort). Given the costs associated with data collection, management and study, it is likely that Study Awards will be necessary for meaningful work to occur here.

Care Delivery Costs

Understanding the costs of adding new members to the care delivery team will be critical to important to adopting organizations. The specific components of these costs will include simple direct costs such as salary, productivity and

opportunity costs. Understanding these costs will be tantamount to interest in adoption.

Implementation Expenses

Similar to, but separate from care delivery costs, will be the costs to simply add new laypersons to care teams, understand space and other capital outlays and management expenses.

V.B.3. Measurement of Patient Care: Patient Satisfaction

Awardees of CoPILoT's Implementation and Study Awards will be required to conduct annual patient surveys on an annual basis. We will share the surveys and methods used in the original care guide study to create consistency and comparability. Surveys will cover the following topics:

- General patient health
- Patient experience
- Likelihood to recommend
- Perceptions of STEEEP attributes (safe, timely, effective, efficient, equitable, patient-centered)

VI. MARKETING AND DISSEMINATION STRATEGY

The purpose of this section is to describe how we will promote the Care Guide project, creating broad awareness of the program and its results (Focus 1). While the contents of this section mainly address Focus 1 goals, there are a few areas where marketing activities are planned to support Focus 2. Consistent with our discussion above, we consider the marketing activities necessary to develop the Future State, as summarized in Section III.B., outside the scope of this section.

VI.A. Program Differentiators

As with any program that is being considered for dissemination or adoption outside its native environment, understanding that program's positive and negative differentiators is critical. In the following two sections, we summarize our findings integrating the perspectives of other external parties including the Chief Medical Officer of Iowa Health System, the Executive Vice President of the Office of Clinical Integration at UMass Memorial Health System, the Chief of Innovation at Fairview Health System, the Chief of Clinical Quality at Hennepin County Medical Center, CEO and senior team of Stratis Health, Chief Health System Officer and Chief Operating Officer of the Institute for Clinical Systems Integration, the CEO of the Accountable Care Solutions, Optum, Inc., the Medical Director of Primary Care at HealthPartners, and the Associate Chief Medical Officer, Population Health, Geisinger Health System.

VI.A.1. Positive Differentiators

Results

The Care Guide project produced positive results corresponding to each component of the triple aim. The randomized controlled trial showed significant improvement in all intermediate quality measures that were studied: not using tobacco, systolic blood pressure, diastolic blood pressure, HgA1c values, LDL values, retinal exams within last 2 years for diabetic patients, pneumonia vaccination, measurement of urinary albumin within last 2 years, prescription of angiotensin converting enzyme inhibitor (ACE-I) or angiotensin receptor blocker (ARB) for diabetic patients with urinary albumin values greater than 30mg/g creatinine, echocardiogram test for CHF patients, prescription of beta blocker for CHF patients with left ventricular ejection fraction less than 40%, prescription of ACE-I or ARB for CHF patients with left ventricular ejection fraction less than 40%.

In addition, further analysis of the costs of the populations that were served by care guides, imply a reduction in total cost of care through reduction in rates of hospitalization.

Lastly, patients reported greater satisfaction with the health care they received when supported by a care guide. At a time in health care when there is unprecedented pressure on costs, quality and patient experience, this program is seen as an inexpensive method for delivering greater value for patients, payers and front-line providers.

External Program Validation

The results noted above have been submitted for publication to a top-tier journal. Building this type of validation will be important as we move to introduce a new, little known role to the care delivery team. Using anecdote and simply vouching for the usefulness of this role might have been a successful strategy for driving adoption in years past, but will not work in today's competitive and resource-constrained health care environment.

Experience and Tools

The team that developed, implemented and managed the Care Guide project and the care guides themselves all have very valuable insight into how a program can be constructed to produce the value for which it was originally conceived. Given the embryonic nature of laypersons as part of care delivery teams, this kind of experience is rare and can be useful for organizations that begin designing or implementation these models.

In addition to the experience of the team, there are many tools that were developed during the implementation and operation of the Care Guide research project (see Table 2). These tools embody know-how that will be useful to that will be useful to organizations that designing or implementing layperson-inclusive clinical programs.

Ongoing Use

The Care Guide model and its first variant (Care Guides as implemented on Advanced Care Teams) are ongoing programs at Allina Health. Their continued existence suggests the presence of ongoing value in a way that a one-time, close-ended study would not.

Low Cost Substitute

The low cost of adding a layperson to a care delivery team is attractive to health care delivery organizations that are revising the make-up of their care teams. One large provider organization that we interviewed has implemented an extended care team across its primary care base. Their purpose was to better manage transitions of care, close gaps in care and more actively manage complex and high cost cases in order to lower the total cost of care for the total population. They have found that the results they achieve with these extended care teams (comprised of RNs, pharmacists and social workers) do not justify the program costs. As such, this provider organization is looking for ways to lower the cost structure of their teams, while improving or holding flat the quality and patient satisfaction. They believe more extensive use of laypersons on their care teams as a partial substitute for some of the higher cost resources will allow them to produce a positive return on investment for their program.

VI.A.2. Negative Differentiators

Early results

Unlike some of the widely adopted care models (Chronic Care Model or Patient Centered Medical Home), formal study of layperson-inclusive care models is in its infancy. In fact, there are hundreds of articles supporting the efficacy of the patient centered medical home. The breadth and depth of these results has led to adoption by many providers, government programs (e.g., Minnesota Health Care Home initiative) and most recently, and probably most tellingly, commercial payers (Aetna, WellPoint and UnitedHealthcare have all announced expansion of their programs and have documented positive return on their investment in the support of patient centered medical homes).

Based on our conversations with a broad array of provider stakeholders, rapid and wide-ranging adoption of laypersons onto care delivery teams will require additional study and published results.

Stand-alone program

As discussed in the previous section, there is tremendous focus (read financial incentive) on ensuring that patient centered medical homes are implemented universally in this country. Given that less than 50% of providers are now practicing in a patient centered medical home, a great deal

of effort will be put into the adoption of this model by primary care practices in the coming years.

As studied, the Care Guide project was not implemented as part of a patient-centered medical home nor was there any formal care management team structure in place in the study clinics. (Purely from a research standpoint, this approach is understandable as the goal was to isolate and measure the impact of the layperson in a primary care setting.) Therefore, as we consider implementing this model in the primary care setting, it will be important to understand how a care guide can enhance the patient centered medical home model or any other clinical model with high or growing acceptance and adoption.]

Limited areas of function

The first implementation and study of Care Guides was focused on improving clinical indicators and supporting patients with three very important conditions: congestive heart failure, diabetes mellitus and hypertension. As organizations expand and refocus primary care to more broadly meet the needs of populations of patients, deemphasizing the distortions introduced into practice behaviors by fee-for-service, these practices will need support across many different clinical domains, care delivery settings and modes of interaction. The care guide role as initially implemented and studied may fall short of the expanding needs of primary care practices.

VI.B. Strategies for Dissemination

Focus 1 has two areas that will require very clear and specific strategies for dissemination: generating broad awareness of the Care Guide project (Goal 1) and actively promoting and facilitating the adoption of the Care Guide project outside of Allina Health (Goal 2). Achieving these goals will require intensive dissemination activities as described below.

The success of Focus 2 will be less dependent on dissemination strategies (public relations, promotion, etc.). Instead, the ability to partner with Allina Health's clinical functions, supporting the development of variants (financially or with other resources) will be more important. As such, most of the dissemination activities described below will be in support of achieving the goals in Focus 1.

VI.B.1. Marketing Strategy to Achieve Goal 1 (Generate Broad Awareness of the Care Guide project)

Public Relations

The Public Relations Society of America defines public relations as the strategic communication process that builds mutually beneficial relationships between organizations and their [constituents]. In order to achieve broad awareness, we intend to utilize several communication methods focused on the two groups defined in GOAL 1 (local/regional and national providers).

Local and Regional

Conferences and other health care events:

- Annually, CoPILoT will hold an annual on-site meeting for increasing general awareness, sharing program results and providing information on how to successfully adopt similar programs. Invitations will be extended to all organizations within the Allina Health service area.
- The annual ICSI Colloquium draws people from over 30 different provider organizations from across the five-State area (MN, IA, WI, ND and SD). CoPILoT has been extended an invitation to speak at the 2013 Colloquium conditional upon funding approval.
- The ICSI mediated Ideagora is a monthly podcast moderated by ICSI staff. They discuss policy and practice issues in health care in a wide-ranging, interactive format. CoPILoT has been extended an invitation to be present their concepts in an Ideagora upon funding approval.

Newspaper articles/op-ed

- Star-Tribune
- Pioneer Press
- Minnesota Business Journal
- Minneapolis-St. Paul Magazine

Newsletters and Websites

- Stratis Health newsletter and website: Stratis operates extensively regionally with largely rural providers. They have offered to allow us to introduce the Care Guide model through their published newsletters.

Stratis also has a website on which we would like to include a blurb in exchange for including a reference to their website from ours (see below). (This method of cross-referencing websites increases the search engine

relevance of the two websites that cross-reference each other).

- Institute for Clinical Systems Integration (ICSI) newsletter and website: ICSI has a particularly active website with a great deal of quality content available. As with Stratis Health, we will propose swapping web links with the inclusion of a description on their website and listing them as a partner on our website. We will also request an opportunity to publish our results in their newsletter.
- Minnesota Health Action Group, formerly Buyers Health Care Action Group: with their recent change to add focus on small- and mid-sized employers, they represent an important channel to employers that in turn influence payment models and frequently communicate their needs to provider organizations. CoPILoT has been offered to present their ideas at their November 2012 meeting pending funding approval.
- Other organizations that we will approach to partner as a communication channel:
 - MN Medical Association
 - Minnesota Hospital Association
 - MN Department of Health
 - Allina Health communication vehicles
 - Minnesota health plans
 - ACP State Chapter
 - American College of Healthcare Executives

Direct Marketing

Public relations channels often limit the amount, frequency and type of information that can be delivered to their target audience, simply because the channels are controlled by another organization with different objectives (e.g., newspapers need to drive readership). In contrast, direct marketing, defined as selling via direct contact with the prospective customer rather than through other channels, allows the organization with the information control the target audience, type of information shared and the frequency of communication. Further, information delivered through a direct channel can be frequently revised and refreshed in direct response user feedback. Initially, direct marketing will be one of the most effective and inexpensive ways to present the full breadth of our program offerings including, resources for starting a program, grant programs, our results and more.

While there are non-electronic means of direct marketing (pamphlets, paper-based newsletters, letters, physical presentations), the most cost effective means of communicating with an audience in a dynamic way is through electronic means. While some provider practices can be slow to adopt electronic clinical technologies (e.g., electronic medical record), almost all physicians have access to the Internet either at home or in the office. Certainly provider organizations of nearly any size would be able to routinely access resources via the Internet.

There are three key components to our direct marketing efforts. First, we will build a website to serve as the electronic face of CoPILoT. Second, for those people that don't wish to come to the website routinely, we will publish an e-newsletter and use push email to share program updates. Lastly, while we will avoid interactive ads due to our small target markets for GOALS 1/2 and the low yields they would produce, we will develop a search engine optimization strategy ensure our unpaid search position is optimized for those looking for information on layperson-inclusive clinical models. At this point, we do not believe that a social media presence (Twitter, Facebook) would enhance our reach to busy professionals. We will consider a presence on LinkedIn after further review of the costs and the anticipated reach we could achieve.

➤ *Program Website*

Please see the complete website description in the Program Description (Section V.A.1.).

➤ *eNewsletter and Opt-In Email Updates*

Please see the complete description of these services in the Program Description (Section V.A.1.).

➤ *Search Engine Optimization*

We will not review the history of and complete set of SEO methods, suffice it to say that they range from simple and inexpensive to complex and costly. CoPILoT will focus on six basic approaches to maximize our relevance in search engine results.

1. **Key word targets.** As we build our website, we will proactively identify and increase the appropriate use of high-potential search terms in the content of our site. When web crawlers find appropriate use of these terms, they cause their respective search engines to increase the rank of our pages when similar terms are used in web searches.

2. *Continuous content creation.* Search engines increase the ranking of sites that are dynamic versus those that are fixed and rarely updated. By offering news, blogs and other relevant content on the site we will better achieve search engine optimization.
3. *Cross-linking and link building.* Exchanging links with other legitimate and active web sites, or cross-linking, (e.g., Stratis Health links to the CoPILoT website and the CoPILoT website links to the Stratis Health website), can lead to higher page rank scores and greater relevance when our key search terms are entered.
4. *Include a searchable site map.*
5. *Post press releases when appropriate.*

Direct Provider Organization Outreach

Helping other organizations understand the nuances of the Care Guide project (its critical elements and results at Allina Health, the components of implementation and methods for measurement), our implementation assistance offerings and award programs is an indispensable part of achieving Goal 1, program knowledge dissemination. Parenthetically, the work of disseminating knowledge, achieving Goal 1, will blend into helping organizations adopt the Care Guide project, Goal 2.

There are many ways to communicate this important program information with other provider organizations, some more time consuming and labor intensive, and therefore costly, than others. To use our resources most efficiently, we will use a three-step progressive engagement process that will ultimately lead to comprehensive face-to-face meetings with decision-makers in external organizations that have a high degree of interest in the program:

- Step 1: When an organization is referred to CoPILoT, either through another provider, Allina leadership, a partner (such as ICSI) or via self-referral, the first step in the engagement process will be use of the CoPILoT website. We will use the resources on the website as the first introduction to the concept to allow interested parties to gain a better understanding of the concept, how they might adopt the model and how we can help them. In addition to the introductory resources on the website, we will always provide the contact information for a CoPILoT team member to address any remaining questions or to just make a personal contact.
- Step 2: If after reviewing the information on the website and through informal conversations with a CoPILoT team member the referred organization would like to learn more, the CoPILoT team will set up a phone

or videoconference conversation. This more formal interaction will allow for a comprehensive description of the Care Guide project, our implementation assistance offerings and grant opportunities.

- **Step 3:** If after receiving this additional information, the referred organization wishes to explore a formal relationship to begin implementing the program, will arrange a half-day, onsite session for an extensive review of the program. As part of the comprehensive interaction, CoPILoT would involve a broader selection of staff that has real world experience working with Care Guides on their care delivery teams (potentially including a physician, clinic nurse, care management nurse, a Care Guide and a program administrator). We would rarely arrange this comprehensive without substantial interest from the referred organization.

VI.B.2. Marketing Strategy to Achieve Goal 2 (Actively Promote and Facilitate Adoption of the Care Guide project Outside of Allina)

The marketing strategy for achieving Goal 2, will in large part leverage the work that was described above to as a means to achieve Goal 1. For example, there will not be a separate public relations strategy. We will use each public relations opportunity to disseminate program concepts and knowledge AND to promote the adoption of the Care Guide project in other locales. Similarly, the website described above would serve both to promote and disseminate the concept and accrued knowledge AND to facilitate the application of these concepts inside the adopting organizations. The latter is accomplished through the “soft shadowing” methods described in the Program Description (Section V.A.1).

While there are important overlaps in our methods for achieving Goals 1 and 2, there are four key ways that the marketing strategy for achieving Goal 2 is different.

- *Promotional Materials.* If we are going to help organization through a process of implementation, not simply provide convey our concepts and knowledge, we will need to produce materials for distribution through the website and for use in in-person meetings that also describe our implementation support and training services, pricing, grant programs and eligibility.
- *Customer Relationship Management Capabilities.* While not formally a “sales” organization, the CoPILoT team will need to treat interested organizations with same respect and attention commercial organizations treat their prospective customers. This will mean having the same level of sophistication at identifying prospective organizations, understanding the needs of prospective customers,

competence in communicating and follow-up. See “Direct Provider Organization Outreach” for our approach to “sales” interactions.

- *Establishing a Complete and Compelling Value Proposition.* The third key difference in this strategy is closely related to the second: defining a very clear value proposition for adoption of the Care Guide project and our implementation training services. At this point, the value proposition contains very persuasive evidence regarding effects on quality and patient satisfaction. It is also fairly easy to make the case that this program improves provider and support staff satisfaction. A complete and compelling value proposition for this concept will require a full elaboration of the financial costs of implementation, indirect costs to adopting practices and the effects on total costs of care. In addition, the value proposition must account for the reality of ongoing programs that will be a universal reality in adopting organizations (e.g., patient centered medical home). We must position the Care Guide as being an important enhancement to these programs, not a new initiative competing for attention and resources inside busy organizations.
- *Award Programs.* The fourth and last key difference is the availability of our award programs. For appropriate organizations we will make grants available to defray the costs of adoption and measurement (see Program Description Section) with appropriate eligibility criteria and performance expectations. While the awards are an important financial vehicle to generate adoption, from a marketing standpoint, the award programs must be constructed in a way that encourages the appropriate rate of adoption by outside organizations, attracts the desired types of adopting organizations and produces the results (success and measurement) that CoPILoT is seeking.

VI.B.3. Marketing Strategy to Achieve Goals 3 and 4

As noted above, marketing needs for Goals 3 and 4 are substantially less or duplicative. For Goal 3, we will produce marketing materials to communicate the CoPILoT goals as we seek to develop variants of the Care Guide role.

The marketing activities to achieve Goal 4 (exporting Care Guide project variants) will leverage the work done to support Goal 2 (exporting the Care Guide project) with modifications or additions to each of the key marketing components:

1. Public Relations Activities
2. Electronic Communications
3. Promotional Materials
4. Customer Relationship Management
5. Extension of the Value Proposition
6. Grant Programs

VII. MANAGEMENT AND ORGANIZATION

VII.A. Key Personnel

The Program will operate within the Center for Healthcare Research & Innovation division of Allina Health, with executive sponsorship by Chief Clinical Officer, Dr. Penny Wheeler. Director of Robina Programs, Kimberly Radel, will act as the Program Administrator, providing oversight of the Program's products, services and personnel. Key roles of the Program include: Program Development & Measurement Lead, Relationship & Implementation Manager, Business Development Lead & Grant Writer, Training Coordinator and Clinical Lead.

For the first six months to one year of CoPILoT's establishment, roles and responsibilities will be combined to create 2 full-time employment positions. The two roles will be the Project Manager (combining the functions of the Relationship & Implementation Manager, Program Development & Measurement Lead) and the Business Development Manager (combining the functions of the Business Development Lead & Grant Writer, and Training Coordinator). As the Program's products and service offerings scale up and client load increases, roles and responsibilities will be divided and additional full-time employment positions will be created to accommodate the increased workload. Figure 5 illustrates CoPILoT's organizational structure in its initial state and future state.

VII.A.1. Program Development & Measurement Lead

The primary responsibilities of this role are to promote, develop and measure variants of the Care Guide project model. This individual will:

- Oversee development of the four pilot projects testing variants of the Care Guide model
- Develop and track specific measures of success for each of the pilot projects
- Collect pilot project learnings during the development, implementation and measurement stages to refine the variant layperson in care delivery team role offered to external organizations by the end of year 2

VII.A.2. Relationship & Project Manager

The primary responsibilities of this role are to manage projects and assessments with external organizations, and oversee implementation of CoPILoT's products and services. Once the Business Development Lead engages external organizations to

utilize CoPILoT's offerings, the Relationship & Project Manager then assumes primary responsible for interfacing with the client to deliver products and services.

The individual in this role will also be dedicated to tracking CoPILoT progress in achievement of identified program goals as listed in mission and description of the Program Overview section. Measurement and evaluation of goals will occur on a six-month basis, and reviewed annually by the Advisory Board (Section VII.B.).

VII.A.3. Business Development Lead & Grant Writer

The primary responsibility of this role is program promotion and outreach. The individual will:

- Contact all of Allina Health's CEO Summit partners, affiliate and regional providers to describe the benefits of the Care Guide project in addition to the Program's products and services offerings
- Manage the relationship between CoPILoT and external organizations
- Field inquiries on the Care Guide project
- Seek and write for external grant funding opportunities from organizations such as Optum Health and Blue Cross Blue Shield. Grant seeking and writing activities will account for 25% of this role.

VII.A.4. Training Coordinator

The primary responsibility of this role is to build a training curriculum for each of the training packages offered to leadership, care guides and for continuing education. The individual will:

- Lead and conducting the training packages offered by CoPILoT
- Maintain the blog on CoPILoT's website
- Generate e-newsletters to members of Continuing Education Training Program

VII.A.5. Clinical Lead

During the dissemination of the Care Guide project (public relations and outreach, or when programs are implemented), the clinical lead will be needed to support these activities. In addition, during the design and implementation stages of care guide variant pilot projects (described in Section V.A.3), this individual will provide a clinical perspective and leadership will be required. We anticipate requiring no more than 0.25 FTE in this role.

Figure 5. CoPILoT Organizational Structure: Initial and Future States

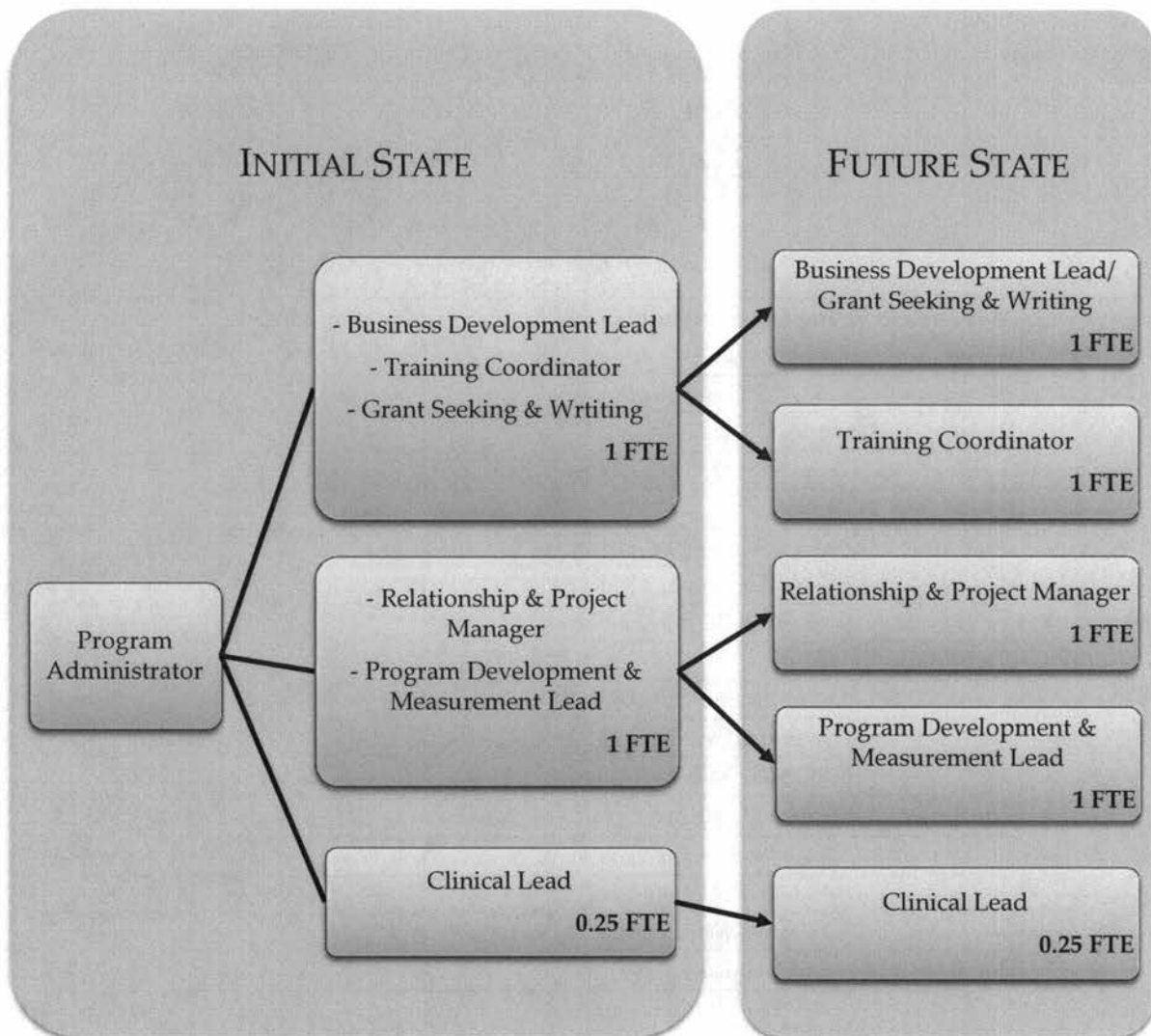


Table 6. Resources and Time Requirements to Deliver CoPILoT Products and Services. Shaded regions indicate combined FTEs in CoPILoT's initial state.

			CoPILoT Program Roles	Program Development & Measurement Lead	Relationship Development & Manager	Business Development & Grant Writer	Training Coordinator	Clinical Lead
Enhanced Implementation Services	Assessments & Implementation Plan Design		-	✓	-	-	-	-
	Service Duration			30 days				
	Hiring Guidance		-	✓	-	-	-	-
	Service Duration			1 week				
	Leadership Training		-	-	-	✓	✓	
	Service Duration					1 day	1 day	
	Curriculum	Initial Development				6 weeks		
		Content Maintenance				Ongoing		
	Care Guide Training		-	-	-	✓	✓	
	Service Duration					1 week	1 day	
Ongoing Training & Support Services	Continuing Education Training		-	-	-	✓	✓	
	Service Duration					1 day	1/2 day	
	Curriculum	Initial Development				6 weeks		
		Content Maintenance				Ongoing		
	Documentation and Reporting		✓	-	-	-	-	-
Additional Products and Services	Self-Service Website		-	-	✓	-	-	-
	Duration				Ongoing			
	Implementation Award		-	✓	✓	-	-	-
	Duration			Ongoing	Ongoing			
	Study Award		✓	-	✓	-	-	-
	Duration		Ongoing		Ongoing			

VII.B. Other Advisors

CoPILoT will have an advisory board that will be comprised of individuals than can help it 1) achieve the mission and vision laid out in this document, 2) navigate the issues that arise when incorporating laypersons onto care delivery teams and studying the effects, 3) ensure stewardship of the funds, and 4) represent the needs of the

external market. As such, we will construct board so that consists of four internal and two to three external individuals. At this point, we have identified the following individuals: Penny Wheeler, MD, Heather Britt, PhD, VP of care management (name TBD), and Richard Adair, MD. Kim Radel, MHA will be the primary point of contact between CoPILoT and the advisory board and an ex officio member. As such, she will call the meetings, define the agenda and lead the advisory board meetings. The external advisors will be considered and solicited when approval to proceed has been received from the Robina Foundation Board.

The membership of the CoPILoT advisory board will change from time to time, but will have a makeup comprised of an Allina Health senior executive, Allina Health care management leader, Abbott Northwestern clinical leader and a senior member of the Allina Health Hospital research team. One of the two to three outside advisor positions will be filled by a senior member of a non-Allina Health provider organization. The other two will be filled by senior members of outside provider or provider-related organization (e.g., ICSI, commercial business, policy organization or health plan). The administrative leader of CoPILoT will serve as an ex officio member of the board.

The CoPILoT advisory board will convene on a quarterly basis to review the four elements noted above.

VIII. FINANCIALS

The following section reflects a five-year pro forma for CoPILoT.

	CoPILoT Five-year Pro Forma					
	Year 1	Year 2	Year 3	Year 4	Year 5	Total
Revenue						
Robina Foundation	\$1,180,000	\$300,000	\$238,000	\$175,000	\$107,000	\$2,000,000
Revenue from Operations	\$0	\$164,800	\$254,400	\$392,400	\$537,600	\$1,349,200
Governmental Revenue	\$0	\$140,000	\$150,000	\$130,000	\$150,000	\$570,000
Private Foundation	\$0	\$70,000	\$175,000	\$185,000	\$150,000	\$580,000
Total Revenue	\$1,180,000	\$674,800	\$817,400	\$882,400	\$944,600	\$4,499,200
Expenses						
Personnel & Fringe						
Relationship/Project Manager	\$99,840	\$102,835	\$105,830	\$108,826	\$111,821	\$529,152
Training/Program Development	\$99,840	\$102,835	\$105,830	\$108,826	\$111,821	\$529,152
Business Development	\$0	\$64,272	\$132,288	\$136,032	\$139,776	\$472,368
Clinical Lead	\$62,400	\$64,272	\$66,144	\$68,016	\$69,888	\$330,720
Total Personnel & Fringe	\$262,080	\$334,214	\$410,093	\$421,699	\$433,306	\$1,861,392
Other Expenses						
Implementation Award	\$0	\$100,000	\$125,000	\$125,000	\$125,000	\$475,000
Study Award	\$40,000	\$50,000	\$50,000	\$50,000	\$50,000	\$240,000
Space build-out	\$300,000	\$0	\$0	\$0	\$0	\$300,000
Lease	\$15,000	\$15,450	\$15,900	\$16,350	\$16,800	\$79,500
Website Development	\$100,000	\$20,000	\$20,600	\$21,218	\$21,855	\$183,673
Supplies	\$5,000	\$5,150	\$5,305	\$5,464	\$5,628	\$26,546
Travel	\$0	\$32,000	\$48,000	\$72,000	\$96,000	\$248,000
Printing	\$5,000	\$5,150	\$5,305	\$5,464	\$5,628	\$26,546
Total Other Expenses	\$465,000	\$227,750	\$270,109	\$295,495	\$320,910	\$1,579,264
Indirect Expenses (10%)	\$451,208	\$111,171	\$136,118	\$162,665	\$189,240	\$1,050,403
Total Expenses	\$1,178,288	\$673,136	\$816,320	\$879,860	\$943,455	\$4,491,059
Net Income	\$1,712	\$1,664	\$1,080	\$2,540	\$1,145	\$8,141

The pro forma on the preceeding page incorporates the following assumptions:

- Three percent inflation rate
- Ten percent indirect cost rate
- To staff CoPILoT:
 - In year 1, we will start with two (2) full time equivalents (FTEs) working 40 hrs/wk. Each FTE will be paid at a rate of \$48/hr.
 - One FTE will be dedicated to training, business development, and grant writing
 - The other FTE will be responsible for relationship and project management
 - In the third quarter of year 2, we will bring on an additional FTE to provide additional business development support at a rate of \$60/hr.
 - A 0.25 FTE clinical lead will provide a clinical perspective and leadership.

Table 7. FTE Requirements Per Year

Roles	Hours	Rate	Year 1	Year 2	Year 3	Year 4	Year 5
Relationship & Project Manager	2080	48	1	1	1	1	1
Program Development & Training Coordinator	2080	48	1	1	1	1	1
Business Development	2080	60	--	0.5	1	1	1
Clinical Lead	2080	120	.25	.25	.25	.25	.25

Revenue from operations will be \$20,000. The table below summarizes the estimated number of sites per year where we will implement the Care Guide project.

Table 8. Estimated Sites Served Per Year

Year 1	Year 2	Year 3	Year 4	Year 5
0	8	12	18	24

Our financial model also includes the following estimated expense assumptions:

Table 9. Estimated Expenses: Assumptions

Expenses	Rate	Year 1	Year 2	Year 3	Year 4	Year 5
Implementation Awards	25000	0	4	5	5	5
Study Awards	10000	4	5	5	5	5
Travel Expense per Trip	1000					
Lease expense per Year	15000					

- The contribution from the Robina Foundation is \$2.0 million distributed over the course of five (5) years.
- Applications for government funding/grants will be completed in year 1 with hopes of receiving partial funding in years 2-4 and reporting in years 4 and 5.
- Private foundations may provide funding for project for the initial phase because of an interest in innovative new care models. However, many private foundations do not fund ongoing operations and we assume contributions will taper in future years.
- Private foundations may include Allina Health foundations.

Nancy Gilberg

From: Penny Hunt [pennhunt@gmail.com]
Sent: Tuesday, November 13, 2012 4:45 PM
To: Penny Wheeler; Kimberly Radel
Cc: Steve Schroeder; Nancy Gilberg
Subject: Robina Foundation / CoPILot Proposal

file
*Approval of CoPILot
Initiative
11.13.12*

Dear Penny and Kim,

At this morning's board meeting, the members of the Robina Foundation Board of Directors discussed your proposal to use funds remaining from the Robina-funded Care Guide Program to fund the CoPILot initiative described in your October 2012 proposal. Board Members were very pleased with the thoughtful, thorough process you followed to prepare the proposal and the resulting plan for the development and implementation of the CoPILot program. The Board enthusiastically approved the use of funds remaining (approximately \$2 million) to implement the initiative over the next five years as described in your proposal. Congratulations! We are all excited about the initiative.

Since you already have the funds for the initiative, we assume that you are able to begin implementation of the initiative immediately. Given that, we propose the following schedule for reports to the Robina Foundation: six-month reports due in the spring for review at May Robina Board Meetings; annual reports due in the fall for review at November Robina Board Meetings. Following are the due dates for 2013 reports:

Six-month report: due April 30, 2013

Annual report: due October 29, 2013

We ask that you provide these reports in the format you use for other Robina reports (pages numbered, printed on both sides, etc.)

I believe that's it at this point. Please let me know if you have questions or concerns or if you believe another reporting schedule makes more sense for you. We are delighted to support this initiative and look forward to following your roll-out of CoPILot.

Warm regards,
Penny Hunt

Penny A. Hunt
Executive Director

Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402
Ph: 612-333-2313
Cell: 612-381-7790
phunt@robinafoundation.org
pennhunt@gmail.com

From: Penny Hunt [mailto:pennhunt@gmail.com]

Sent: Thursday, August 09, 2012 11:24 AM

To: Wheeler, Penny; Anderson, Eric W; Schellinger, Sandra; Britt, Heather R; Radel, Kimberly

Cc: Steve Schroeder; Nancy Gilberg

Subject: Robina Foundation

Dear LLSC Team,

Thanks to all of you for attending the Robina Foundation Board Meeting last week. (And thanks to Eric, Sandy, and Heather for meeting with Steve and me on Monday before the meeting.)

The Board Members' many questions and comments made it clear that they recognize the importance of the initiative and are very eager to understand how the initiative will unfurl. Your focus on listening to patients and learning their stories clearly resonates with all Board Members, who share with you the belief that the initiative will not be successful if in the end a strictly medical model emerges. We appreciate the complexity of developing an enrollment process when each patient's support system, as well as his or her health situation, will differ. We look forward to learning more about the enrollment process in the future.

Board Members asked me to follow up with you on a few things:

Although you are reaching out to diverse communities through listening sessions and perhaps through other workgroups, we are concerned that since the Design Team / National Advisory Committee lacks diversity, you may miss issues of minority groups in the development of the model and enrollment process. Is it too late to explore the addition of a member of a minority community who has the requisite expertise to participate on the team? Perhaps we can discuss this.

In the same vein, we noted that all of the faces in the short video you showed us are white. Since the video is a work in process, you should be able to add shading to some of the faces. The video cleverly conveys important messages in a short period of time. Not easy to do!

Not surprisingly, the use of radio -- commercial in addition to public -- continues to be an issue for us. We are hoping that you will determine how and when commercial radio can be integrated into the initiative.

You've provided us with information on your work through January 2013. For the next report, we will want to review a detailed timeline for work after January 2013. At that time, it would be helpful for us to re-visit the outcomes the initiative hopes to achieve. Agreement on the timeline and outcomes will be particularly important as we approach the time when you will seek additional commitments from the Robina Foundation.

With respect to reports on your progress with the program, we are scheduling the LLSC initiative for annual reports for the Board's February meetings and six-month reports for the Board's July/August meetings. Nancy will provide you with specific due dates and requirements for the reports.

You indicated that a new leader for the Center for Healthcare Innovation may be named very soon. Assuming you are [?] successful with the current candidate, perhaps we (Steve and I - Steve by phone) could meet with Penny and the new head in about six months to talk about the initiative.

The Robina Board is interested in learning how social media can be used effectively to inform the general public about health and other issues. You perhaps are thinking about that too. We will let you know what we learn and hope you will do likewise.

I think that's it at this point. I suspect that you will have questions or want clarification on some of the items I've highlighted. I would be happy to talk with you and involve Steve or other Board Members in a discussion if that would be helpful.

Once again, thank you for participating in the Board Meeting. We all look forward to working with you on this important initiative.

Warm regards,
Penny

Penny,

Below are some responses to the Board's comments. We found the comments both supportive and challenging!

Diversity: It's fair to say we've struggled with this. I appreciate the Board pushing us to do more.

- Our first group of Patient/Caregiver Advisors included a family of color, but the individual has been unable to attend so far.
- At our community and health system collaboration kickoff meeting, we started with a video of an African-American family. Channel 2 produced a nice interview between the family and their palliative care RN. Afterwards, the family spokesperson joined us for further discussion. She stayed on during the event as one of our caregiver experts. We are inviting her onto a workgroup, probably the Team workgroup, to help guide development of the model.
- Our listening sessions with public television have included diverse communities. I had the opportunity to help interview two Hmong providers during one of the sessions. It was personally very helpful in thinking how we approach our Hmong families. These sessions are being clipped into short segments and posted on the website www.tpt.org/lifecourse. Our experience with a similar process around Honoring Choices was instructive. I can recall a Somali family that was very resistant to advance care planning. Their home nurse went to the website and showed the segment of a Somali elder advocating for advance directives. After seeing it, they wanted to move forward with their own living wills.
- We are going to our palliative care team at Abbott to get more names of families from this neighborhood. The plan is to invite some additional local faces to join our Patient/Caregiver Advisory Council.
- The Board mentioned a lack of cultural diversity on our National Advisory Group. I don't have specifics to report at this time, but we will move forward on that need, as our next meeting is October 20.

Commercial Radio:

- We will work with Bill Hanley from public television and Tim Burke from Allina to engage commercial radio. The goals will be to encourage a public discussion about late life care, and to increase awareness of LifeCourse.

Social Media

- Twin Cities Public Television has included an interactive Forum page on the website, where individuals can exchange ideas and seek out resources. Links to key listening session clips can be sent via email or Facebook, similar to Honoring Choices clips.
- Caring Bridge is a well-known organization that started in the Twin Cities. Over 10% of Americans have used a Caring Bridge website to support someone on a medical journey. This June, they added a Support Planner, a calendar that allows patients to make requests, and allows others to respond with support. They have also created apps for the iPhone and Android that allow one to be instantly apprised of new activity on a Caring Bridge website.

- Caring Bridge is very interested in working with us, expanding on an existing relationship with Abbott Northwestern. We see Caring Bridge as the potential "patient chart" for LifeCourse, that is, information that is owned and managed by the patient, and used as one portal for communicating with system and community services.
- Allina's Family Health Manager and our EMR companion product MyChart are potential vehicles to interact with caregivers and patients. We are engaging the MyChart folks at this time.

Please respond with questions as desired. We will anticipate presenting a full report to the Board in February.



Eric W. Anderson, MD

Palliative Medicine, United Hospital

Investigator, Late Life Supportive Care Research

Allina Center for Healthcare Research and Innovation

Phone: 612-262-1448 • Pager: 612-654-0743 • Cell 612-817-8189 • Fax: 612-262-4059

eric.worden.anderson@allina.com

Mail Stop 10105 • Allina Commons at the Midtown Exchange • 2925 Chicago Avenue South • Minneapolis, MN 55407

From: Penny Hunt <pennhunt@gmail.com>

Subject: Re: Robina Foundation

Date: August 19, 2012 2:42:34 PM CDT

To: "Anderson, Eric W" <Eric.Worden.Anderson@allina.com>

Cc: "Wheeler, Penny" <Penny.Wheeler@allina.com>, "Schellinger, Sandra"

<Sandra.Schellinger@allina.com>, "Britt, Heather R"

<Heather.Britt@allina.com>, "Radel, Kimberly" <Kimberly.Radel@allina.com>,

Steve Schroeder <schroeder@medicine.ucsf.edu>, Nancy Gilberg

<ngilberg@robinafoundation.org>

Eric,

Steve and I both appreciated your thoughtful response to the Board's comments I outlined in my email. The Robina Board is well aware that development of the LLSC initiative is complicated and involves many moving parts. You and the other members of the team are clearly striving to move the initiative forward very carefully and thoughtfully. We hope that our input is helpful and doesn't hamper your work!

By separate email, I have sent to you information Susan Berresford received on a person who might be appropriate for participation on the National Advisory Committee. We also plan to do our own investigation of social media and will share with you any examples of organizations' effective use of social media to increase public awareness of a particular issue.

Thanks again for your prompt response!

Warm regards,

Penny

Council on Foreign Relations Online Video Project

Interim Report to the Robina Foundation

Project Director: **Robert McMahon**, *Editor, CFR.org*

Reporting Period: October 1, 2011 – September 30, 2012

Report Due: October 31, 2012

Executive Summary

The Council on Foreign Relations (CFR) online video project seeks to leverage the growing demand for online video by using this new communication channel to maximize the impact of the work of CFR's International Institutions and Global Governance (IIGG) program and of CFR more broadly.

In the first year of the project, CFR has focused on: (1) equipping CFR staff with the skills and tools to exploit the potential of video; (2) implementing tools that will allow CFR to track the reach and impact of the project; (3) improving the production value and content structure of new video series; and (4) delivering CFR's video products more effectively to its constituencies. CFR has produced 97 videos during this time period (for a full list of videos produced in the grant period, please visit: <http://www.cfr.org/publication/video.html>).

The Robina Foundation's investment in CFR's online video project has enabled CFR to significantly improve the quality of the production, branding, and distribution of its videos in the first year of the grant period. These improvements are critical to building the size and quality of the audience—especially among students and the broader public—because in the online environment, only content that is instantly recognizable and unquestionably authoritative will break through the clutter of other content competing for the viewer's attention. Such improvements could not have happened at this pace without the foundation's generous support.

1. Briefly outline your original goals and objectives as stated in your proposal, summarize your progress in meeting these goals and objectives, and describe how you will be measuring the concrete outcomes and impact of the project.

The online video project's principal goal is to help IIGG and CFR to broaden and deepen the audience for their ideas and analysis by mastering the new medium of online video. The project does this in three ways: by equipping IIGG and CFR staff with the necessary tools and skill sets to ensure that CFR's online videos are of the highest professional quality; by producing a robust set of online video offerings; and by successfully marketing the videos by developing partnerships with major news portals, ramping up IIGG's and CFR's already extensive use of social media, and expanding CFR's existing ties with colleges and universities.

The online video project has made substantial progress during its first year in meeting each of these three objectives.

(1) Equipping CFR staff with the skillsets and tools to use video effectively

- All of CFR's online video offerings adhere to the highest professional quality standards. The videos are developed and produced in cooperation with CFR's experts and under the guidance of CFR's editorial team. The Robina grant has enabled CFR to meet industry best practices by upgrading its studios in New York and Washington, DC. Both studios now feature two HD cameras and all the necessary supporting equipment such as tripods, switchers, and lighting. The introduction of the two-camera setup has enabled the production and engineering staff to use video more effectively and efficiently. The two-camera setup allows producers to take zoomed-in isolated shots of each speaker, which makes for a better visual experience for the viewer. For example, compare the recent video interview titled, "[The G20 Mexico Summit](#)," conducted as part of The Internationalist video series hosted by Stewart Patrick, director of CFR's International Institutions and Global Governance Program, which uses the two-camera setup, with an earlier [interview with Secretary of Homeland Security Janet Napolitano](#), shot with just a single camera.
- Having two isolated shots of the interview host and guest also significantly shortens the editing process. This, in turn, enables producers to accomplish more in less time, and it enables CFR to create more compelling content.
- CFR has also installed a teleprompter in both studios, which has been especially useful in more heavily scripted videos such as the History Lessons series. Following the installation, we trained producers and experts on how to use the prompter, thereby professionalizing the taping and production process as well as streamlining it to further increase capacity. Taping times were reduced significantly, dropping from 60-90 minutes to just 15-25 minutes. The teleprompter, along with the training and new processes, has noticeably improved participants' on-camera performances, and substantially shortened preparation and production time for both participants and producers.
- CFR's experienced producers have advised CFR fellows on the video series formats best suited to presenting their analysis of foreign policy developments and concepts. CFR's producers have also trained CFR staff on how to conduct archival photo and footage research, frame the structure of video segments, and write video scripts and accompanying text elements. Just how much the Robina grant has improved CFR videos can be seen by comparing the [Nigeria video briefings](#) taped in late 2010 with CFR's Africa expert John Campbell to the [History Lessons series](#) taped this year by CFR's director of studies, James M. Lindsay.

- The Robina grant made it possible to hire an outside media consultant to train the staff in media best practices. This summer, the consultant ran a two-day professional training workshop designed to help CFR's multimedia production staff develop the skills and practices needed to help CFR fellows and other staff hone their on-camera presentations. One of the products of the workshop was the creation of a standardized checklist for contributors to refer to before every on-camera appearance. This ensures a level of consistency and preparedness across all hosts, guests, and contributors to CFR videos. In the coming months, the consultant will focus on continued training for fellows in "on-air" skills as well as skills specific to online video delivery needed to create an engaging presentation. The consultant will work with CFR experts in both group and one-on-one sessions to provide guidance on preparation for live and taped on-camera presentations and provide tailored feedback on past performances. The consultant will also work with CFR experts on interviewing skills and enhancing their on-camera presence and versatility.
- CFR has also contracted with an expert motion graphics design agency to develop on-screen titles and branded intros and series identifiers. These graphics will ensure that the video content being viewed is associated with the authority of the CFR brand. It is critical to make this connection because CFR videos are frequently picked up, embedded, and viewed on sites other than CFR.org. The graphics will also inform viewers when a video is part of a series and invite viewers to engage with additional installments of that series as well as other CFR video offerings. The graphics should thereby help increase viewer engagement and develop repeat-user loyalty. We plan to introduce these graphics to CFR videos starting in mid-November. We are in discussions with the motions graphics design agency about the potential to brand the CFR YouTube channel. We are also exploring whether to use more motion graphics elements, such as maps and charts, in CFR videos.

(2) Developing a robust set of online video offerings

- CFR's multimedia team wrote a detailed video strategy that focuses on serving an ever-expanding audience looking for a trusted source of information on and analysis of international affairs and U.S. foreign policy, including policymakers, policy advisers, journalists, educators, students, issue or region interest groups, and general international news consumers.
- The video strategy identifies the development of online video series, as opposed to one-off videos, as the optimal approach for IIGG and CFR to reach these audiences. Videos in a series are published at regular intervals, such as on a specific day of the week, and feature a recurring topic or theme, a standardized format, and a regular host when possible. This approach allows CFR to tailor video series to various constituencies, promote and enable viewer retention by allowing viewers to subscribe to content types and topics (through RSS, YouTube, and iTunes subscriptions), support marketing and distribution efforts much more successfully, regularize production and editorial schedules to ensure efficiency, and support and enhance IIGG and CFR as a video channel destination online.
- CFR has developed four series. They are: ① "The Internationalist," a series hosted by Stewart Patrick, Director of CFR's International Institutions and Global Governance Program, dedicated to in-depth discussions about leveraging multilateral cooperation to meet today's transnational challenges; ② "Three Things to Know," a series featuring CFR and IIGG fellows analyzing major news developments; ③ "Campaign 2012 Video Briefings,"

a series dedicated to providing context for the primary foreign policy issues debated in the 2012 U.S. presidential race; and "History Lessons," a series hosted by James M. Lindsay, CFR's Senior Vice President and Director of Studies, that examines historical events for their lessons for foreign relations today. CFR regularly reevaluates and revises its online video strategy and offerings to reflect evolving best practices in the online video space and to best serve its audience.

- CFR will shortly introduce a new video series titled "Issue Primers." These videos will provide in-depth analysis from multiple experts on high-profile foreign policy issues. These videos follow a documentary format to combine expert interviews with archival footage, field photography, and excerpts from world leaders into an engaging narrative that reflects the complexities of the issues. These high quality video products will leverage the inherent storytelling strengths of the video medium. The first pilot installment of the Issue Primers series is currently in the final stages of post-production.
- The format for each distinct series is tailored to enhance the content and subject matter and maximize efficiency. For example: analysis of breaking news events is formatted to ensure quick turnaround and timely distribution to audiences and media partners; explorations of historical events such as Nelson Mandela's release from prison, the Bay of Pigs invasion, and the Tet Offensive are accompanied by archival photos, footage, and sound bites from the event discussed such as Mandela's speech from the dock or President John F. Kennedy's address on the situation in Cuba, which help bring the past to life, leveraging the full force of the video medium; complex analysis of international trends is broken down into a list format to ensure clear messaging and is accompanied by visual information graphics; and interviews are now filmed using two HD cameras, which visually support the conversation between host and guest, providing a more professional and dynamic presentation.

(3) Tracking the reach and impact of the project

- To take advantage of YouTube's built-in robust metrics analytics tools, CFR now uses the YouTube player across the CFR website. Using the YouTube player as the primary distribution mechanism also allows CFR to take advantage of YouTube's constantly advancing video technology, the inherent embedding and sharing capabilities, as well as the access to YouTube's vast and growing audience.
- YouTube's metrics tools allow CFR to track not only views on YouTube and CFR.org, but also on any other webpages where the video is embedded. So when CFR videos are picked up by other site, which happens frequently, we can still track audiences. This provides us with tremendous and unparalleled insight into viewer behavior, preferences, and trends. CFR has also dedicated time and resources to analyzing these metrics and translating them into recommendations regarding best practices and course corrections to ensure maximum reach and impact. Some preliminary findings are discussed in the following section.
- Initial metrics from the first year of the video project reveal a substantial demand for short-form videos, as well as substantial opportunities for growth in viewership and audience building. The total CFR video viewership more than tripled over the past two years. Between November 1, 2010 and October 31, 2011, CFR videos were viewed 211,038 times; between November 1, 2011 and October 31, 2012 they were viewed

641,404 times. CFR will continue to track several other metrics to assess the success of the project. The first is growth of average views per video and per series on all platforms. This metric has gone from a few hundred views per video in the first month after release two years ago to several thousand views per video in the first month after release today. Repeat visits and growth of a loyal audience among IIGG's and CFR's target constituencies are another goal. The best measure of progress here the number of individuals who subscribe to the video feed. Here again, the news is good. Subscriptions to CFR videos are up more than 65 percent over the past year, pushing the total subscriber count above 4,500.

- In recognition of CFR's robust video offerings and growing video audience, YouTube has selected CFR as a participant in its limited non-profit consulting program. This ongoing engagement involves a regular communications line with Google and YouTube experts who provide insight into YouTube best practices on video production, engagement, and tracking. As a result of this engagement CFR has already implemented improved search engine optimization techniques for its videos. ✱
- CFR has received feedback from educators at the university level through various channels praising the video content and mentions of CFR videos being used in classrooms at universities including Harvard, Pepperdine, and Princeton. A Pepperdine faculty member wrote praising a video in the "History Lessons" series: "I wanted to give you some feedback on your excellent YouTube video on the sarin attacks on Japan. I used the video as the introduction and set-up for a class discussion of this event and the broader issue of CBW, and it was excellent. Keep up the good work!" A staff member at the Nixon Center wrote of another "History Lessons" segment on Nixon's trip to China: "Thanks for sharing. The video was great! I've sent it to some History Day students who found it very useful."

(4) Delivering CFR's video content to target constituencies

- CFR has developed and begun to implement a detailed marketing and outreach strategy aimed at maximizing the distribution of CFR's videos, particularly to target audiences. The strategy is focused on: marketing CFR's online videos to major news portals, including CNN Global Public Square, The Atlantic Media Company (including TheAtlantic.com's International channel and Cities blog, National Journal, and the Ideas Lab sponsored by GE), The Diplomat, Devex, Israel Hayom, Africa.com, and the Progressive Realist; exploiting CFR's extensive existing ties with colleges and universities; and accelerating IIGG's and CFR's already extensive use of social media.
- Leveraging CFR's social media presence, some of CFR's video series have been designed in coordination with CFR's established and successful blog offerings. For example, our "History Lessons" series was developed with the specific intent to be released, promoted, and engaged via James M. Lindsay's blog "The Water's Edge" and coordinated with a new CFR website feature, "This Day in History." The intertwining of these elements and the video series allows the already interested and engaged audiences easy exposure to the new video series and also brings in a new audience to the already established franchises. This further serves to enhance the brand and avoid duplication of marketing efforts and audience splitting.
- The designed graphic titles and introductions for videos mentioned above should also help support CFR's video distribution efforts by associating the videos with and leveraging

CFR and IIGG's renowned brands. These graphics will enhance brand awareness across platforms and are particularly crucial given that most viewing of CFR video content does not occur on CFR.org.

- In early November, CFR will launch a newly designed home page on CFR.org. The video section of the homepage will be transformed into a multimedia showcase that will deliver featured content – video series, events, podcast, and interactives. This design will present our multimedia content more prominently on our website to visitors and allow them to explore each of our content types in-depth.
- CFR plans to undertake additional steps to further expand the reach to target constituencies, including introducing changes to CFR.org's functionality, website architecture, and design. These changes will help facilitate the conversion of one-time viewers into recurring viewers, thereby developing a robust audience for each video series and for CFR video as a whole. These developments will also increase the likelihood and ease with which a one-time viewer could become a subscriber and receive regular updates whenever new installments are published. This is particularly important since viewer trends indicate that audiences often consume video content by subscribing to feeds through iTunes, YouTube, and RSS.

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

CFR has learned a lot from its experimentation with a variety of formats and setups, including single camera shoots, two-camera shoots, and shoots outside the studios, interviews with one or multiple guests, incorporation of archival materials, testing different hardware and software, testing lighting, use of captions on videos and translation subtitles. The team has also learned and continues to learn from viewership trends and feedback from constituencies such as educators and members of the media.

Implementing all of these lessons learned to date, the team will continue to tailor certain formats and practices to specific subject matter and target audiences. The team stays informed of best practices and technical developments and will continue to adapt CFR's video strategy and practices as needed.

Following are some of the lessons learned and the steps taken by CFR in response:

- After we learned that it was difficult for some contributors to memorize complex scripts, CFR introduced the use of a teleprompter in both studios. This has been a welcome change. It has improved participants' delivery and made video preparation and production more efficient.
- CFR has seen that a large proportion of CFR videos are accessed or viewed on blogs or websites that have embedded CFR video content, not on CFR.org itself. This has clarified the need to associate all CFR videos with the CFR brand and inform viewers that additional content is available on CFR's YouTube channel and CFR.org. CFR has implemented the use of embedded links back to these destinations, which follow the videos wherever they are displayed. CFR has also commissioned a graphics package to better identify the videos with CFR's brand, as discussed above. Finally, CFR has

endeavored to build on this trend and encourage bloggers and media portals to embed CFR videos through forging formal relationships as well as one-time outreach campaigns.

- Discussions with media contacts as well as recent metrics indicate a substantial appetite for authoritative analysis on breaking global developments. CFR has developed, “Three Things to Know,” a video series designed to meet this need. CFR has also put in place new planning practices that account for major scheduled events that warrant coverage, such as global summits, elections, or missile tests, and also respond quickly to unanticipated events.
- The project team has observed that upon the release of new CFR video a large amount of the initial traffic is driven from social media platforms such as Facebook and Twitter—audiences for both of these outlets have seen remarkable growth in the past year with over 52,000 “Likes” and followers on both channels. In order to amplify the impact and reach of these videos, CFR systematically posts CFR video content on social media sites as soon as it is published and encourages debate on these platforms as well as on CFR blogs. CFR also reposts previously published videos on various social media channels if they are relevant to breaking or developing news stories.

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

Financial Statement
Robina Foundation
October 1, 2011–September 30, 2012

Year one award	\$419,750
Direct expenses as of September 30, 2012	\$313,500

	Year one budget	Actual expenses to date
Multimedia production and engineering staff salaries and benefits	\$185,000	\$185,000
Professional video training (Outside Consultants)	\$50,000	\$8,500*
Motion graphics design (Outside design agency)	\$30,000	\$20,000*
Cameras and other equipment	\$100,000	\$100,000
Total Direct Costs	\$365,000	\$313,500

These budgeted costs have been committed and will be invoiced by the end of the year.

From: Penny Hunt <pennhunt@gmail.com>

Subject: Robina Foundation: Diversity Initiative and Online Video Project

Date: August 9, 2012 1:19:13 PM CDT

To: "James M. Lindsay" <JLindsay@cfr.org>

Cc: Gordy Aamoth <gaamoth@msn.com>, Nancy Gilberg <ngilberg@robinafoundation.org>

Hi Jim,

I'm writing to follow up on a few items that came up at the recent Board Meeting of the Robina Foundation:

Expanded Diversity Initiative

Board Members are pleased that CFR was able to launch this initiative, particularly the partnership with Humanity in Action, very quickly and that CFR is moving forward with the other parts of the initiative. As you noted, the interest of CFR members and staff is evidenced by their participation in the May workshop. We're very interested to learn how the participants evaluated the May workshop at CFR and ask that you pass along the feedback that you receive

The rich and varied nature of the agenda should have appealed to everyone, but I guess you never know. (Somewhat related, I was interested to read Anne Marie Slaughter's Atlantic article about her time in the State Department. I wonder if CFR/HIA participants read the article.)

No answer.
Need to push for more evaluation.

I think I provided you with information on the timing of reports to Robina on the work of the Expanded Diversity Initiative, but in case I haven't, please note that we have scheduled six-month reports for review at the Board's July/August meetings, with review of annual reports to take place at February meetings. Nancy will provide you with specific due dates for the reports, along with the number of copies, etc.

As we've discussed, the Robina Board is interested in information on CFR's organizational diversity. Please include that with your annual reports.

Online Video Project

It's been fun to see how quickly you and others at CFR began using the new technology and training resulting from the Robina grant! I watched several of your UTube videos, as well as Stewart's in connection with IIGG. I'm sure your use of the technology will expand over time.

Since we have now paid the full amount of our \$696,555 grant, could you provide us with a final report for consideration at Robina's November Board Meeting? The Board would, of course, welcome information on the impact of the grant after that report, but no further formal reporting would be required.

I have appreciated very much working with you on these two projects and particularly admired your ability to respond to my requests and questions from all parts of the world!

Let me know if you have questions or concerns.

Warm regards,
Penny

From: Penny Hunt [mailto:pennhunt@gmail.com]
Sent: Thursday, August 09, 2012 1:32 PM
To: Stewart Patrick; James M. Lindsay
Cc: Gordy Aamoth; Nancy Gilberg
Subject: IIGG / Robina Foundation

Dear Stewart and Jim,

As I indicated last week, the Robina Board approved this year's grant payment for the IIGG program. Transfer of the funds is in process and will be complete soon, perhaps by the end of this week.

Gordy and I were sorry to interrupt Stewart's much-deserved vacation to talk about the IIGG report, but our conversation helped us fill the other Board Members in on various activities. They appreciated the changes you made to the report to highlight areas of particular interest to Robina.

During our discussion of the IIGG initiative, Board Members asked me to follow up with you on a couple of items:

IIGG Budget

We would like more detail on the expenses included under the various items listed on the budget you provided.

It would be fine to provide that information on an attachment to the budget. Please provide this same information in future reports.

CFR Structure and Issues

Stewart mentioned to Gordy and me that several "centers" exist within CFR. We would like to understand how those centers as well as the IIGG initiative fit into CFR's overall structure. Would it be possible for you to send me CFR's organizational chart or other document that will provide this information? Similarly, the Board would like to understand the full range of issues CFR is working on. What could you send me that would help us in that area?

Several Board Members are very interested in global climate change and would like to understand CFR's involvement in that area. The most recent post on *The Internationalist* blog discusses the Green Climate Fund and issues related to the development and implementation of the fund. Is CFR actively involved in providing policy makers with information and recommendations regarding the fund or in other work on global climate change?

I think that's it at this point. Please let me know if you have questions or need clarification on any of the items I've mentioned above. We look forward to learning more from you about the IIGG budget as well as CFR's structure and issues.

Warm regards,
Penny

Penny A. Hunt
Executive Director

Nancy Gilberg

From: James M. Lindsay [JLindsay@cfr.org]
Sent: Thursday, August 09, 2012 1:39 PM
To: Penny Hunt; Stewart Patrick
Cc: Gordy Aamoth; Nancy Gilberg
Subject: RE: IIGG / Robina Foundation

Hi Penny,

Once again, thank you for the very good news. And will of course be happy to supply you with the budget information you have requested. Stewart should be back from his vacation next week. He will work with CFR's budget folks to pull the numbers together.

With respect to your question about centers, CFR has ^①two, the Maurice R. Greenberg Center for Geoeconomic Studies and the Center for Preventive Action. Both are housed within the David Rockefeller Studies Program, and each has a dedicated endowment that helps support its activities. The other programs in the Studies Program do not have dedicated endowments. (You can find a list of programs within the Studies Program here. They are also listed at the bottom of the CFR.org homepage.)

CFR's organizational structure is rather flat. CFR's research work is housed within the Studies Program, which I oversee. I report to Richard; the fellows report to me. Center and program heads (like Stewart) lead and coordinate activities and projects across Studies. They do not, however, supervise other fellows. (CFR is a very collaborative community so this is not an issue.) We don't have a formal organizational chart of Studies, or CFR as a whole, but I am sure that we could create one if need be.

CFR has an active research agenda on climate change. Michael Levi, our David M. Rubenstein Senior Fellow for Energy and the Environment, heads up our Program on Energy Security and Climate Change. He regularly advises the White House and international organizations on climate change and energy issues. (You can track what he writes on his blog, as well as on his Twitter feed, @levi_m.) We are always looking to do more in this domain, and we have about half a dozen other fellows with relevant expertise on the subject (e.g., Elizabeth Economy is the foremost American expert on China's environmental policies; Shannon O'Neil, one of our Latin America experts, advised the Mexican government on preparing for the Cancun Summit.) If you have the time and interest, I would be happy to talk with you or any Robina Board members about what more CFR could be doing on climate change (or any other issue).

As for what topics CFR research addresses more broadly, the answer is pretty much everything within the international relations/foreign policy field. Studies' core staff of 33 full-time fellows and 25 adjunct (part-time) fellows consists of experts on every major region and country in the world as well as on every leading functional issue (e.g., global governance, international law, communicable disease, non-communicable disease, energy, nuclear proliferation, development, counter-terrorism, deradicalization). On top of this, we have the expertise of the 25 or so visiting fellows who rotate through CFR every year. Some of these visiting fellows are drawn from government; each year five mid-career military officers (typically colonel or the equivalent) spend 12 months with us, as do representatives from the State Department and the intelligence community. Other visiting fellows are from the private sector or academia. I have attached a brochure that lays out who is in the Studies Program as the 2012-13 year starts. (This brochure also lays out the major program categories within the Studies Program.)

As always, I would be happy to expand on this or anything else you might be curious about, Penny. I am in the office all next week, then traveling the last two weeks of August. But I should be reachable even then by email or phone (646-541-5454).

Best,

Jim

COUNCIL *on* FOREIGN RELATIONS

The David Rockefeller Studies Program, 2012 – 2013

James M. Lindsay, *Senior Vice President, Director of Studies, and* ^{*Endowed?*} Maurice R. Greenberg
Chair

Africa

John Campbell, *Ralph Bunche Senior Fellow for Africa Policy Studies*
Jendayi Frazer, *Adjunct Senior Fellow for Africa Studies*

Asia

Elizabeth C. Economy, *C.V. Starr Senior Fellow and Director of Asia Studies*
Robert D. Blackwill (DC), *Henry A. Kissinger Senior Fellow for U.S. Foreign Policy*
Joshua Kurlantzick (DC), *Fellow for Southeast Asia*
Daniel Markey (DC), *Senior Fellow for India, Pakistan, and South Asia*
Adam Segal, *Maurice R. Greenberg Senior Fellow for China Studies*
Sheila A. Smith (DC), *Senior Fellow for Japan Studies*
Scott A. Snyder (DC), *Senior Fellow for Korea Studies*
Jerome A. Cohen, *Adjunct Senior Fellow for Asia Studies*

Center for Preventive Action – *Endowed*

Paul B. Stares (DC), *General John W. Vessey Senior Fellow for Conflict Prevention and Director of the Center for Preventive Action*
Micah Zenko, *Douglas Dillon Fellow for Conflict Prevention*

Civil Society, Markets, and Democracy Initiative

Isobel Coleman, *Senior Fellow and Director of the Civil Society, Markets, and Democracy Initiative; Director of the Women and Foreign Policy Program*
Ed Husain, *Senior Fellow for Middle Eastern Studies*
Terra Lawson-Remer (DC), *Fellow for Civil Society, Markets, and Democracy*
Gayle Lemmon, *Fellow and Deputy Director for the Women and Foreign Policy Program*
Jared Cohen, *Adjunct Senior Fellow*

Michael Levi, *David M. Rubenstein Senior Fellow for Energy and the Environment and Director of the Program on Energy Security and Climate Change*
Blake Clayton, *Fellow for Energy and National Security*
Meghan O'Sullivan, *Adjunct Senior Fellow*
Daniel Ahn, *Adjunct Fellow for Energy*

Europe

Charles A. Kupchan (DC), *Whitney Shepardson Senior Fellow*
Stephen R. Sestanovich (DC), *George F. Kennan Senior Fellow for Russian and Eurasian Studies*

Global Health

Thomas J. Bollyky (DC), *Senior Fellow for Global Health, Economics, and Development*
Laurie Garrett, *Senior Fellow for Global Health*
Yanzhong Huang, *Senior Fellow for Global Health*
Michael Hodin, *Adjunct Senior Fellow*

International Institutions and Global Governance

Stewart Patrick (DC), *Senior Fellow and Director of the International Institutions and Global Governance Program*
Mark Lagon, *Adjunct Senior Fellow for Human Rights*

Latin America

Julia E. Sweig (DC), *Nelson and David Rockefeller Senior Fellow for Latin America Studies and Director of Latin America Studies*
Shannon K. O'Neil, *Senior Fellow for Latin America Studies*

Maurice R. Greenberg Center for Geoeconomic Studies

Sebastian Mallaby (DC), *Director of the Maurice R. Greenberg Center for Geoeconomic Studies and Paul A. Volcker Senior Fellow for International Economics*

Edward Alden (DC), *Bernard L. Schwartz Senior Fellow*

Jagdish N. Bhagwati, *Senior Fellow for International Economics*

Thomas J. Bollyky (DC), *Senior Fellow for Global Health, Economics, and Development*

Robert Kahn (DC), *Steven A. Tananbaum Senior Fellow for International Economics*

Benn Steil, *Senior Fellow and Director of International Economics*

A. Michael Spence, *Distinguished Visiting Fellow*

James P. Dougherty, *Adjunct Senior Fellow for Business and Foreign Policy*

Michael Hodin, *Adjunct Senior Fellow*

Peter Orszag, *Adjunct Senior Fellow*

Matthew J. Slaughter, *Adjunct Senior Fellow for Business and Globalization*

Middle East

Elliott Abrams (DC), *Senior Fellow for Middle Eastern Studies*

Robert D. Blackwill (DC), *Henry A. Kissinger Senior Fellow for U.S. Foreign Policy*

Isobel Coleman, *Senior Fellow and Director of the Civil Society, Markets, and Democracy Initiative; and Director of the Women and Foreign Policy Program*

Steven A. Cook (DC), *Hasib J. Sabbagh Senior Fellow for Middle Eastern Studies*

Robert Danin (DC), *Eni Enrico Mattei Senior Fellow for Middle East and Africa Studies*

Ed Husain, *Senior Fellow for Middle Eastern Studies*

Ray Takeyh (DC), *Senior Fellow for Middle Eastern Studies*

Mohamad Bazzi, *Adjunct Senior Fellow for Middle Eastern Studies*

National Security and Defense

Max Boot, *Jean J. Kirkpatrick Senior Fellow for National Security Studies*

Frank G. Klotz (DC), *Senior Fellow for Strategic Studies and Arms Control*

John B. Bellinger III, *Adjunct Senior Fellow for International and National Security Law*

Richard K. Betts, *Adjunct Senior Fellow for National Security Studies*

Stephen Biddle, *Adjunct Senior Fellow for Defense Policy*

Richard Falkenrath, *Shelby Cullom and Kathryn W. Davis Adjunct Senior Fellow for Counterterrorism and Homeland Security*

Linda Robinson, *Adjunct Senior Fellow for National Security and Foreign Policy*

Jared Cohen, *Adjunct Senior Fellow*

Matthew C. Waxman, *Adjunct Senior Fellow for Law and Foreign Policy*

Visiting Fellows, 2012-2013

Paula L. Briscoe, *National Intelligence Fellow*

Pir Zubair Shah, *Edward R. Murrow Press Fellow*

Stanton Nuclear Security Fellows, 2012-2013

Andrew J. Coe (DC), *Stanton Nuclear Security Fellow*

Gregory D. Koblenz (DC), *Stanton Nuclear Security Fellow*

Jane Vaynman (DC), *Stanton Nuclear Security Fellow*

Military Fellows, 2012-2013

Captain Peter Troedsson, *Military Fellow, United States Coast Guard*

Colonel Julian D. Alford, *Military Fellow, United States Marine Corps*

Colonel John S. Kolasheski, *Military Fellow, United States Army*

Colonel Brian M. Killough, *Military Fellow, United States Air Force*

Captain Peter A. Garvin, *Military Fellow, United States Navy*

International Affairs Fellows, 2012-2013

Jeanne Hull, *International Affairs Fellow in Residence*

Rebecca Chamberlain-Creanga, *International Affairs Fellow*

Glenn Y. Baek, *International Affairs Fellow in South Korea*

Philipp C. Bleek, *International Affairs Fellow in Nuclear Security*

Andrew Exum, *International Affairs Fellow*

Michael Horowitz, *International Affairs Fellow*

Alexander H. Montgomery, *International Affairs Fellow in Nuclear Security*

James E. Platte, *International Affairs Fellow in Japan*

Maggie Sadowska, *International Affairs Fellow in Japan*

Troy W. Stangarone, *International Affairs Fellow in South Korea*

Joshua W. Walker, *International Affairs Fellow*

Jason Wheelock, *International Affairs Fellow in Japan*

Joshua T. White, *International Affairs Fellow*

Ayse Zarakol, *International Affairs Fellow*

U.S. Foreign Policy

Robert D. Blackwill (DC), *Henry A. Kissinger Senior Fellow for U.S. Foreign Policy*

Isobel Coleman, *Senior Fellow and Director of the Civil Society, Markets, and Democracy Initiative; Director of the Women and Foreign Policy Program*

Gayle Lemmon, *Senior Fellow and Deputy Director for the Women and Foreign Policy Program*

September 12, 2012

Dear Penny,

Please find attached the revised financial statement for the IIGG program's FY2012 programmatic activities. The revised financial statement incorporates two changes from the original budget sent in July. These include a reimbursement of \$12.7k from the Google Ideas for their share of the Illicit Networks Roundtable series, and a transfer of Global Governance Monitor production expenses from the publication category to the multimedia category (a transfer of approx. \$68K) to reflect consistency with last year's reporting standards.

I have also attached a document describing in detail the budget categories.

Please let me know if you have further questions.

Best,

Farah

COUNCIL ON FOREIGN RELATIONS

Financial Statement
Robina Foundation
July 1, 2011 - June 30, 2012

Year four award	\$2,073,100
Balance as of June 30, 2012 to be applied to year five activities	\$163,846

	Year Four Budget	Actual Expenses (7.1.11-6.30.12)
Core Staff	\$578,300	\$429,646
Senior Fellows/Studies Staff	\$610,400	\$419,453
Meetings	\$107,600	\$139,084
Research Travel	\$73,600	\$210,785
Publications	\$36,000	\$24,100
Multimedia	\$43,700	\$105,966
Professional Services	\$21,500	\$85,616
Research Materials	\$7,800	\$2,396
Administrative	\$69,400	\$66,125
Outreach	\$236,400	\$142,984
Project Management	\$288,400	\$283,100
Total	\$2,073,100	\$1,909,254

COUNCIL ON FOREIGN RELATIONS

Financial Statement Explanation of Expenses

Core Staff

Includes salary and benefits for fulltime staff of the IIGG program, temporary help, and compensation of rapporteur reports.

Senior Fellows/Studies Staff

Includes salary and benefits for senior and non-senior fellows, research associates, and stipends for adjunct senior fellows and fellows for collaboration on IIGG projects; temporary help; and compensation of rapporteur reports.

Meetings

Includes the costs of formal CFR meetings such as the Council of Councils event and roundtables (covers catering, food, beverage and miscellaneous meeting expenses).

Research Travel

Includes the cost of international and domestic tickets for CFR staff and non-staff, hotel for staff and non-staff, ground transportation (taxi, car service, car rental), and meal expenses while on business.

Publications

Includes licensing costs for photographs, promotion, editorial and publishing expenses, etc.

Multimedia

Includes website development and maintenance, and computer related expenses.

Professional Services

Includes payments for services rendered by non-staff entities for written products such as Council Special Reports, working papers, Contingency Planning Memorandums, Policy Innovation Memorandums, etc.

Research Materials

Includes costs related to books, periodicals, online subscriptions, online research services, etc.

Administrative

Includes costs associated with the Executive office, including oversight responsibilities of the program by CFR President Richard Haass and his staff, as well as office expenses such as office supplies, postage, courier services, copying, wireless communication, etc.

Outreach

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

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

Project Management

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

CFR
Big Ideas
2012

COUNCIL *on* FOREIGN RELATIONS

58 East 68th Street, New York, New York 10065
tel 212.434.9400 fax 212.434.9800 www.cfr.org

October 25, 2012

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

Dear Penny:

Thank you for your letter of August 30. I and we much appreciate the opportunity to contribute our recommendations as the board begins to plan its final rounds of potential grants. At this time, the Council on Foreign Relations (CFR) sees a number of opportunities for Robina funding to continue to make a significant difference in our work and, perhaps more importantly, enhance our impact on the many constituencies, both domestically and globally, we seek to serve and inform. Some of the ideas presented here are technical in nature, while others relate to the substance of CFR's research agenda and programming.

INTERNATIONAL INSTITUTIONS AND GLOBAL GOVERNANCE PROGRAM

We trust you agree that Robina's investment in our International Institutions and Global Governance (IIGG) program has been a remarkable success. As you know, Secretary of State Hillary Rodham Clinton delivered a major address at CFR's Washington office in 2010 on the need for a "new global architecture" of international cooperation. The secretary's choice of CFR as the venue for this important speech reflected her understanding that our IIGG program has emerged as the leading U.S. platform for analysis of the state of multilateral cooperation.

The success of the IIGG program has uniquely positioned CFR to address diverse global issues from climate change to the Internet to nuclear proliferation, in addition to other as-yet unknown challenges and threats. Ours is an era in which the world matters as never before. Events have shown that a defining characteristic of the twenty-first century is globalization—yet there is a significant gap between multilateral arrangements and global challenges.

James H. Binger Center for International Institutions and Global Governance – \$20 million

Should the Foundation wish to ensure that the IIGG program remains a permanent and vibrant part of the CFR research agenda, Robina might consider an endowment gift of \$20 million. A gift at this level will ensure the continuation of the program conceptualized and launched with Robina funding. It would provide approximately \$1 million of support annually, or roughly half of the current operating budget for IIGG. CFR could leverage Robina's gift to raise additional funds from other sources to

support the continuation and expansion of its core programmatic work, including the Council of Councils initiative and multimedia features like our award-winning Global Governance Monitor.

It would be our privilege to name this important center of study in honor of Mr. Binger. This transformational gift would solidify the organization's voice in the national and international debate on global governance issues. We can think of no better partner than the Robina Foundation as we move CFR's work on these issues forward in the years to come.

James H. Binger Senior Fellow for Global Studies – \$7 million

A more modest option would be to build on IIGG's solid foundation of work by funding an endowed chair for the director of the program, which could be named the James H. Binger Senior Fellow for Global Studies. The Binger fellow would lead CFR's multi-scholar collaboration across disciplines and regions, as senior fellow Stewart Patrick has done so ably since the IIGG was established. Establishing such a chair would require a gift of \$5 million, and would ensure that CFR is able to promote independent scholarship on issues of global governance in the future. Additional support in the amount of \$2 million would generate roughly \$100,000 per year to underwrite activities associated with the fellow's work, including publications, roundtable series, and content on CFR.org.

GLOBAL HEALTH PROGRAM

Another CFR research area where Robina funding could make a significant difference is global health. CFR has recognized that global health issues are now integral to any serious thinking about foreign policy. Emerging infectious diseases like avian flu have the potential to affect U.S. national security and public health in ways that were unimaginable just a few years ago. The dramatic increase in chronic and noncommunicable diseases (such as cancer, diabetes, heart disease, and respiratory illnesses) could blunt global economic development as countries struggle to meet the demands of aging and sick populations. CFR's Global Health Program seeks to integrate—in both study and practice—these critical global health issues into U.S. foreign policymaking by examining diverse challenges such as the spread of new emerging infectious diseases, how trade policy inadvertently encourages tobacco use, the consequences of intellectual property rights for the availability of low-cost drugs, worldwide inequities in life expectancy and maternal mortality, the global shortage of health workers, weakness of health-care delivery systems, and rising threats posed by biological and chemical weapons.

Support for CFR's important work in this area has diminished as traditional global health funders have become more inclined to support technological advancements and direct-service programs, largely in the realm of infectious disease. However, a myriad of policy issues remain that can be tackled only through improving the domestic capacities and programs of developing countries and building international mechanisms for effective multilateral cooperation.

This set of issues is also an area where we envision potential opportunities to collaborate with two of Robina's other grantees whose work could be complementary—namely, Yale University and Abbott Northwestern Hospital. CFR's strength in this area is its concentration on global-health diplomacy and global health in a security framework. Though these themes are increasingly critical to U.S. foreign policymaking, they remain among the most under-studied.

Senior Fellow for Global Health – \$7 million

As we look to institutionalize global health as an area of study at CFR and further integrate it with the IIGG program, our goal is to endow a chair (\$5 million) for a senior fellow who would produce research and direct related activities across the organization. The establishment of this position along with additional endowment funds on the order of \$2 million to support publications, roundtables, and other associated activities will ensure that global health remains a permanent part of the CFR research agenda.

International Affairs Fellowship in Global Health – \$3 million

One of the best and most important things CFR does is invest in people. Our visiting fellows program is a unique training ground for the next generation of foreign policy leaders. This program offers talented mid-career professionals from academia or the private sector the opportunity to spend a year in government. It similarly offers rising stars in government the opportunity to work in a scholarly atmosphere where they can engage in sustained analysis and writing, free from operational pressure. The goal is to develop a network of scholar-practitioners who have spent time both in and out of government, which advances their analytic capabilities and broadens their foreign policy experience. More than 500 individuals have participated in the program since it was established forty years ago, including former secretary of state Condoleezza Rice, undersecretary of state Robert Hormats, MacArthur Foundation president Robert Gallucci, and U.S. ambassador to NATO Ivo Daalder.

Should Robina chose to invest in this specific area of study at CFR, it could consider establishing a Global Health International Affairs Fellowship (IAF) for talented young professionals in this area. To foster collaboration between Robina's grantees, the Global Health IAF could be chosen by a selection committee comprised of representatives from Yale University's new Global Health Initiative, Abbott Northwestern Hospital, CFR members, and representatives of the Robina board of directors. The fellow would reside in either New York or Washington for the fellowship period, and would have the opportunity to become involved in the intellectual life of CFR, interfacing with CFR scholars and gaining exposure to a wide range of foreign policy issues well beyond his or her own career experience and portfolio. Through CFR's programs, the fellow would also regularly interact with CFR members from many sectors, ranging from financial and business executives to leaders from academic, cultural, nonprofit, and state and local entities.

Global Health Symposium – \$1,000,000

A capstone event for CFR's Global Health Program would be an annual symposium that would focus on the state of the global health field. This event would convene practitioners, academics, policymakers, and CFR members to reflect on current and emerging trends in the international public health sphere. We believe that this event could become the preeminent annual meeting on this topic. We would explore collaboration with Yale University and Abbott Northwestern on this initiative, and the budget for the conference could include dedicated travel costs for Robina grantees as well as international guests and speakers. This annual event could be established with an endowment gift of \$1,000,000.

GRANTMAKING SCHEDULE

Finally, we would like to suggest that the beneficiaries of Robina's final grants might begin their work while the Foundation is still operating, thereby maximizing each organization's opportunity to

Ms. Penny Hunt
October 25, 2012
Page Four

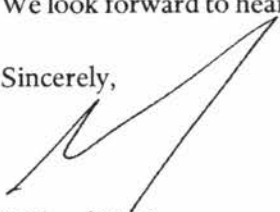
collaborate with members of the Robina board and its other grantees. To facilitate this, you might structure payments so that a large portion of the commitment is transferred at an early stage in the grant period. For example, something on the order of half of the total grant amount could be administered upon grant approval, with additional payments distributed over a multi-year period.

CONCLUSION

Thank you for soliciting our ideas and for your consideration of such meaningful support. Robina's legacy of supporting transformational programs is evident in its investments in CFR. The example set by the Foundation will undoubtedly encourage others to make meaningful contributions to institutions that provide thought leadership.

I trust Mr. Binger would be pleased to know that his legacy is helping the Council on Foreign Relations shape U.S. and international policy during these especially challenging times. We would be delighted to work with the Robina board to determine an appropriate way to honor both the Foundation and Mr. Binger's distinguished association with CFR. Please feel free to contact me or Senior Vice President and Director of Studies James Lindsay if you would like additional information. We look forward to hearing from you.

Sincerely,



Richard N. Haass
President

tel 212.434.9540 fax 212.434.9880
president@cfr.org

*we are very
excited about
these possib. letters*

*Thank you for
this opportunity*





Yale Law School

KATHERINE R. NORTON
Associate Director of Development

Quality of students
Value of database + work
of Katie Lawder

October 31, 2012

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

Dear Penny,

I hope that you are having a good fall. I am pleased to provide this semi-annual report on the Robina Human Rights Fellowship Initiative at Yale Law School. We are looking forward to your visit to the Law School on December 7. Below, please find a short narrative report about our activities in the current academic year and our upcoming plans. I have also enclosed the year-end financial information for the Robina Initiative as of June 30, 2012 (the end of the Law School's previous fiscal year). You may remember that in the last report submitted in April 2012, the year-end figures had not yet been finalized but were based on projections according to the information available at the time. I have also enclosed a copy of the Summer 2012 *Yale Law Report*, which has an article on post-graduate fellowships featuring Matiangai Sirleaf in her recent position as a Robina Fellow. I thought you might find this article to be of interest.

Robina Human Rights JD Scholarships: In academic year 2012-13, we are providing Robina Foundation JD Scholarships to twelve students interested in human rights. The names of the students are: Emad Atiq '16 J.D.; Kristine Beckerle '15 J.D.; Tessa Bialek '13 J.D.; Rebecca Buckwalter-Poza '14 J.D.; Ravi Deedwania '14 J.D.; Arnaldur Hjartarson '14 LL.M.; Kaitlin Konkel '15 J.D.; Sheng Li '14 J.D.; Benjamin Perryman '13 LL.M.; Marbre Stahly-Butts '13 J.D.; Cameron VanSant '13 J.D.; and Julie Veroff '15 J.D.. The average scholarship amount provided to students is \$24,096. The largest scholarship is \$31,280, and the smallest is \$12,253.

Kirby Simon Summer Human Rights Fellowships, Supported by the Robina Foundation: In summer 2012, we provided summer human rights fellowships to 34 students. These students included 32 Yale Law School students as well as 2 students in the International Relations Master's Degree program at Yale. The Summer Fellows worked in organizations and institutions ranging from the European Court of Human Rights, based in Strasbourg, France, to Lawyers for Human Rights in South Africa to Asylum Access in Ecuador to the Center for Policy Alternatives in Sri Lanka. The average combined stipend and travel funding provided to each student was \$5,282.

Robina Foundation Post-Graduate Fellows: We have chosen the following individuals to be the 2012-13 Robina Foundation Post-Graduate Fellows: Leah Bellshaw '12 J.D. working in

the chambers of the President of the International Criminal Tribunal for the Former Yugoslavia; Colleen Gilg '08 J.D., working in the Office of the Prosecutor of the International Criminal Court; and Josiah Pertz '12 J.D., working in chambers at the European Court of Human Rights. Below please find their brief biographies as well as a description of their fellowships.

Leah Bellshaw graduated from the Law School in 2012. She is spending her fellowship year working at the International Criminal Tribunal for the Former Yugoslavia in The Hague, Netherlands. Leah received a B.A. from the University of California at Berkeley, where she studied international development. Prior to law school, she worked with refugees and forced migrants in Kampala, Uganda. At Yale, Leah served as a Managing Editor of the Yale Journal of International Law and as a Policy Editor of the *Yale Law & Policy Review*. In her second year, Leah competed in the International Criminal Court Moot Court Competition. She also co-directed the Project Assisting the Extraordinary Chambers in the Courts of Cambodia, co-chaired the Human Rights Committee of the American Constitution Society, and served as a Board Member of the Initiative for Public Interest Law at Yale. During her two law-school summers, Leah interned with the Department of Justice Human Rights and Special Prosecutions Section, the Hebrew Immigrant Aid Society, and the World Bank.

Colleen Gilg graduated from the Law School in 2008. She is spending her fellowship year in the Office of the Prosecutor at the International Criminal Court in The Hague. Colleen graduated *summa cum laude* from the University of Notre Dame with a B.A. in Government and International Studies. During her time at the Law School, Colleen served as a student director of the Lowenstein International Human Rights Clinic, a student director of the Schell Center, and a Teaching Fellow for a Yale College international human rights course. She also worked with immigration clients in the Community Lawyering Clinic. Colleen spent her law school summers in Costa Rica with the Center for Justice and International Law and in San Francisco with the Center for Justice and Accountability. Between her second and third years of law school, Colleen worked in the Office of the Prosecutor at the International Criminal Court, first as an intern and then as a legal consultant. After graduating from law school, Colleen spent two years at the law firm of Simpson Thacher & Bartlett LLP in New York, where she helped represent the Government of the Dominican Republic in an international arbitration proceeding and successfully represented several clients seeking asylum. She then worked as an Associate Legal Officer in the Office of the Co-Prosecutors at the Extraordinary Chambers in the Courts of Cambodia. Colleen just completed a one-year judicial clerkship for Judge John C. Coughenour of the Western District of Washington.

Josiah Pertz graduated from the Yale School in 2012. He is spending his Robina Fellowship year in Strasbourg, France, working at the European Court of Human Rights. In law school, Josiah served as an Editor of the Yale Journal of International Law and Co-Chair of the Barristers' Union trial advocacy organization. He was a Moot Court semifinalist and a finalist for the Trial Prize. Devoting a substantial portion of his coursework to international law, Josiah received a Coca-Cola World Fund Fellowship to research Costa Rica's historic referendum on the Dominican Republic-Central America-United States Free Trade Agreement. He is working on a book about that election, recounting how a Nobel Laureate, an astronaut, a crocodile wrestler and two U.S. presidents came together to promote the agreement. Josiah interned during one law-school summer in the chambers of Judge Sandra Townes of the Eastern District of New

York. Prior to law school, Josiah was chief English speechwriter for Nobel Peace Laureate and Costa Rican President Oscar Arias, then chief speechwriter for United States Senator Robert Menendez. He received his B.A. from Harvard.

Robina Foundation Visiting Human Rights Fellows: As noted in our April 2012 report, a number of outstanding scholars and practitioners are joining us this year as Robina Visiting Human Rights Fellows. The 2012-2013 Fellows are Tom Dannenbaum '10 J.D.; Hassan Jabareen; and Zachary Kauffman, '09 J.D. Lucas Guttentag has also rejoined us during the fall semester as a Robina Fellow. The Fellows are spending time at the Law School teaching courses, conducting research, and leading workshops on human rights topics. Below are their brief biographies and a description of their work.

Tom Dannenbaum is a Robina Foundation Visiting Human Rights Fellow and Lecturer in Law for the 2012-2013 academic year. He is currently a Ph.D. candidate in the Department of Politics at Princeton University. He earned a B.A. in public policy and philosophy from Stanford, an M.A. from Princeton, and a J.D. from Yale Law School, where he was a Senior Editor of the *Yale Law Journal* and an Editor of the *Yale Journal of International Law*. He expects to complete his Ph.D. in political theory and international relations in May 2013. His dissertation is titled "War and the Moral Integrity of the Soldier." This semester, he is teaching International Law and Armed Conflict.

Hassan Jabareen is a Senior Robina Foundation Visiting Human Rights Fellow. Hassan is the Founder and General Director of Adalah - The Legal Center for Arab Minority Rights in Israel. He has litigated many important cases before the Israel Supreme Court on the rights of Palestinians living in Israel and in the Occupied Palestinian Territories. He participated in the Yale Law School's regular Human Rights Workshop on October 11, 2012, speaking on the subject of "How the Palestinians Became a National Minority in Israel." Hassan will be returning to Yale Law School in the spring and will be writing several articles and working on human rights projects with the Lowenstein International Human Rights Clinic.

Zachary Kaufman will be a Robina Foundation Visiting Human Rights Fellow during the spring 2013 semester. Zach is the co-editor (with Dr. Phil Clark) of the book, *After Genocide: Transitional Justice, Post-Conflict Reconstruction, and Reconciliation in Rwanda and Beyond*, and editor of and contributor to the recently published book, *Social Entrepreneurship in the Age of Atrocities: Changing Our World*. While at the Law School, he will be working on a book about U.S. foreign policy on transitional justice. In 1911, Zach received his D.Phil degree in International Relations from the University of Oxford, where he was a Marshall Scholar from 2002 to 2005. From 2009 to 2010, he served as Law Clerk to The Honorable Juan R. Torruella on the U.S. Court of Appeals for the First Circuit. He is currently an Associate in the Washington, D.C. office of the law firm of O'Melveny & Myers LLP.

Lucas Guttentag is a Robina Foundation Distinguished Senior Visiting Fellow and Research Scholar in Law and Lecturer in Law during the Fall 2012 semester. As you know, Lucas was the founding national director of the Immigrants' Rights Project of the American Civil Liberties Union Foundation. He is also a lecturer at the University of California, Berkeley (Boalt Hall) School of Law. This semester, Lucas is co-teaching the Liman Public Interest

Workshop: Borders; Strategic Impact Litigation; and teaching Immigration Law, Policy & Constitutional Rights.

Robina Fund for Human Rights Clinical Education Innovation and Field Missions: The Lowenstein Clinic has continued to work on a project with Plan UK and Plan Sierra Leone, which we mentioned in the annual report that we submitted to the Robina Foundation last April, to draft a report on the ineffectiveness of laws prohibiting child marriage in Sierra Leone. There are no known reports, except a brief reference in a 2008 World Health Organization Survey, documenting barriers to ending early and forced marriage in Sierra Leone. The Lowenstein Clinic has conducted research to produce a report on this issue with the goal of providing recommendations to identify and reduce barriers to the enforcement of laws banning child marriage in Sierra Leone and to improve advocacy on this topic internationally. Recently, students in the Lowenstein Clinic (Amanda Elbogen, Stephanie Keene, and Ben Baker) and Jim Silk travelled to Sierra Leone to publicly release the Lowenstein Clinic's report and participate in roundtable discussions of its findings and recommendations with government officials and civil society.

Robina Coordinator: Katy Lawder is continuing to help coordinate the day-to-day activities of the Robina Initiative, organizing lectures, panels and other events involving Robina JD Scholars, Post-Graduate Fellows, and Visiting Fellows; refining and implementing assessment tools in order to continue to evaluate the Initiative's impact; and collaborating with the Schell Center's Executive Director, Jim Silk, to conduct outreach to students and programs in other parts of the university and to increase their interaction with the Law School's human rights program. She is also continuing to update and refine the newly developed Yale Law School human rights database to enable us to reach out to graduates of the Law School who were involved in various aspects of the human rights program and to connect current students with them.

Related Activities: We have organized and conducted several other programs and events that have taken advantage of and highlighted the Robina Foundation Human Rights Fellowship Initiative. In October, the Schell Center hosted a reception for returning Summer Human Rights Fellows. The Fellows had time to chat with each other about their experiences and then briefly present the challenges and lessons of their summer experiences. As in the past, returning Summer Human Rights Fellows will talk about their experiences on two panels this fall and another this spring. In the first panel, four Fellows will share insights from their summer experiences to introduce the first-year law students to the variety of opportunities the Summer Human Rights Fellowships can provide. In the second panel, Summer Fellows whose work relates to a particular theme will discuss not only their work, but also the substantive issues their work raised. At a third panel in the spring, several Summer Fellows will lead a discussion of another specific human rights issue on which their summer work focused. Among the themes under consideration for the two issue-oriented Summer Fellows panels are: promoting human rights through domestic law, the rights of immigrants and refugees, efforts to build the rule of law, and advancing human rights through international courts and tribunals.

Jim Silk will continue to work this year with the Schell Center student directors and a new undergraduate assistant to develop a group of Law School students involved in human rights to serve as mentors to Yale College students interested in pursuing careers in human rights. They

will also revive efforts to develop a group of the leaders of undergraduate organizations concerned with human rights issues to foster richer collaboration among them and between them and the Schell Center. There are more than forty student organizations working on some aspect of human rights.

Unanticipated Results or Lessons Learned and/or Any Proposed Changes to the Allocation of Funds: The Robina Human Rights Fellowship Initiative continues to provide many diverse opportunities for students, graduates, and fellows to benefit from the program: by investing in individuals through scholarships and post-graduate fellowships; by offering students the rich experiential learning opportunities that clinical fact-finding missions and summer human rights internships provide; by enriching the international human rights curriculum with courses taught by Robina Foundation Visiting Fellows; and by supplementing the curriculum through the lectures Visiting Fellows give, the interactions they have with students and each other, their collaboration with the Human Rights Clinic, student organizations, and other activities at the Law School. We do not currently anticipate needing to change the allocation of funds outside of the approved budget; however, if we become aware of any need to request reallocations, we will be in touch with the Robina Foundation in advance of the next report. We are very grateful to the Robina Foundation for enabling us to use funds, in accordance with the approved budget, to support clinical education innovation and travel. These funds have provided an exciting spark not only to the project work of the Lowenstein International Human Rights Clinic, but also to the Transnational Development Law Clinic and the Worker and Immigrant Rights Advocacy Clinic.

I hope that this brief report provides a helpful overview of the Robina Human Rights Fellowship Initiative and the important support it is providing for students and human rights leaders. We are ever grateful for your investment, and I look forward to your upcoming visit.

Best regards,

Kate Norton

FINANCIAL UPDATE

(Figures as of the end of Fiscal Year 2012, on June 30, 2012)

A. Income

Years 1-3	\$3,000,000
Year 4	\$1,000,000
Total Income	\$4,000,000

B. Expenses

	(a) Cumulative Expenses Years 1-3	(b) Annual Budget for Year 4	(c) Actual Expenses for Year 4 (as of 6/30/12)	(d) Cumulative Expenses Years 1-4 (as of 6/30/12)
Robina Human Rights Scholarships	\$765,430	\$250,000	\$255,475	\$1,020,905
Robina Summer Fellowships & Travel Support	\$607,238	\$200,000	\$200,023	\$807,261
Robina Post-Graduate Fellowships (<i>Includes salary and benefits</i>)	\$270,735	\$180,000	\$243,906	\$514,641
Robina Visiting Fellows (<i>Includes salary and benefits</i>)	\$947,241	\$235,000	\$229,074	\$1,176,315
Robina Human Rights Coordinator (<i>Includes salary and benefits</i>)	\$126,622	\$65,000	\$79,845	\$206,467
Human Rights Clinical Education Innovation and Field Missions	N/A	\$50,000	\$29,033	\$29,033
Clerical Support & Associated Expenses	\$141,985	\$20,000	\$5,838	\$147,823
Total Expenses	\$2,859,251	\$1,000,000	\$1,018,923	\$3,902,445
<i>Unexpended Balance</i>	<i>\$140,749</i>			<i>\$97,555</i>

Explanation of Financial Report for Year 4 (July 1, 2011 – June 30, 2012) of the Robina Human Rights Fellowship Initiative

The *Robina Human Rights JD Scholarships* include the support provided to 11 JD students chosen as 2011-12 Robina Human Rights JD Scholars.

The *Robina Summer Fellowships and Travel Support* includes all of the travel, living, and related expenses associated with providing summer support to 41 students working in human rights jobs throughout Africa, South America, the Middle East, Asia, Europe, and North America.

The *Robina Post-Graduate Fellowships* include the salary and benefits for Amanda Aikman '08 JD; Michelle Argueta '11 JD; Clark Gard '09 JD; Nadia Lambek '10 JD; Elizabeth Nielsen '11 JD; and Catherine Rivkin '11 JD as the 2011-12 *Robina Foundation Post-Graduate Fellows*.

The *Robina Visiting Human Rights Fellows* costs include the salary, benefits and associated expenses of Or Bassok '07 LLM, Eugene Garver, Lucas Guttentag, and Luke Norris '11 JD as the 2011-12 *Robina Foundation Visiting Human Rights Fellows*.

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

The *Clerical Support and Associated Expenses* reflect the costs of co-sponsoring a conference with the Yale Undergraduate Association for African Peace and Development as well as some of the costs associated with the Immigration Theory and Practice Workshop. The projected June 30 expenses include also the Schell Center's share of the costs associated with the April 14 conference entitled, "Between Equality and Subordination: The Politics of Legal Knowledge in Global North-South Academic Exchange," which was co-sponsored by the Schell Center and the Leitner Center of Fordham University School of Law; and the travel costs associated with bringing Robina Post-Graduate Fellows to participate in the 2012 Robert L. Bernstein Symposium.

The *Fund for Human Rights Clinical Education Innovation and Missions* include the expenses associated with the various field missions of the Allard K. Lowenstein Clinic, described above, as well as the expenses of faculty, staff, and students associated with the Law School's human rights' programs to travel and participate in conferences and other events associated with innovation in human rights education.

Yale Law Report

SUMMER 2012
VOLUME 59 | NUMBER 2

**Although your ability
to effect change in the system
may at times be marginal,
your power to affect
the life of a client is at
once heartening and frightening.
It is the everyday commitment,
the daily revolution, of a lifetime.**

McGregor Smyth '99, Liman Fellow

Fellowships: a pathway to a public interest career

PLUS
THE MOST IMPORTANT CIVIL RIGHTS LEADER YOU NEVER HEARD OF
LAWYER STATESMAN 101
COMMENCEMENT 2012

Each year, dozens of Yale Law School students and graduates apply for highly competitive fellowships in the U.S. and abroad. These experiences—from the Bronx to South Africa—offer substantive, on-the-ground training for new attorneys and those seeking to shift practice focus. Fellows work in a range of settings—including nonprofits, government agencies, and international courts—gaining valuable contacts and experience that frequently serve as the foundation for a career in public interest work.

Generally project-based, fellowships are often designed under the umbrella of a sponsoring organization. Fellowship projects frequently stretch or increase an existing organization's capacity (for example, a fellow at a domestic violence clinic might offer additional help in securing benefits for the clinic's clients—a service the clinic wouldn't otherwise be able to provide) while offering invaluable hands-on experience to graduates.

"Fellows have a real impact on the populations they serve and are meeting a need in the communities in which they work," says Akua Akea, Public Interest Director in the Law School's Career Development Office. Often, too, the fellowships offer an entrance to organizations or positions which would otherwise be nearly impossible to access.

Often a graduate's work with an organization continues after the formal fellowship has ended. Even those who do not stay with their sponsoring organization frequently continue public interest work. For example, as of April 2012, of the seventy YLS graduates who have completed Arthur Liman Public Interest Fellowships, sixty-three (or 90 percent) are doing public service of some kind—government, nonprofit, or teaching.



Legacy of Apartheid

Matiangai Sirleaf '08

Robina Fellow
*Clerk at the Constitutional Court
of South Africa*

Before she arrived for her first day of classes at Yale Law School, Matiangai Sirleaf '08 had an interest in human rights law, particularly as it pertained to Africa. In 2004, following her college graduation from NYU, Sirleaf received a Fulbright Fellowship to Ghana, where she conducted research on transitional justice and earned a master's degree in international affairs.

Her interest in human rights law grew during law school, when Sirleaf served as a student director of the Lowenstein Human Rights Clinic, Managing Editor of the *Yale Journal of International Law*, and student director of the Schell Center for Human Rights.

By the time she graduated from YLS, Sirleaf was firmly committed to studying and working in the field of transitional justice. Her problem was that age-old one of how to secure a job without work experience.

"For human rights-minded law school graduates it can be difficult to get substantive experience; most of the jobs are looking for people with at least three to four years of work experience," Sirleaf explains. "NGOs and other organizations just don't have the capacity to train new employees and aren't able to invest resources in someone fresh out of Law School."

"Without the Robina or the Bernstein or some fellowship that enables you to get involved in human rights work it's really just not possible to get that experience," she says. "The opportunities in the human rights field in general are pretty limited but there is a lot of interest, so it's very competitive. The deck is stacked against you in many ways. The Robina was great because it allowed me to build that experience right out of law school."

As a student at YLS Sirleaf had become fascinated by the Constitutional Court of South Africa, and some of its groundbreaking decisions about socio and economic rights. She quickly learned that while the Court had an international law clerk program to which she could apply, the clerkships were unfunded. Her interest in the court likely would have ended there if it weren't for the Robina Fellowship she applied for and secured.

continued on page 51

apartheid *continued from page 45*

"A lot of the other fellowships won't fund international fellowships or clerkships—so the Robina really made clerking at the Court a possibility for me," Sirleaf says. "I am very grateful for the Robina because I was able to learn a lot by working on the court—and I think my work was able to make an impact."

As clerk to then Chief Justice Sandile Ngcobo, Sirleaf was involved with the Court's ongoing reforms to institutionalize the role of the chief justice and that of the judiciary. Sirleaf worked in the beginning phases of the project helping to conceptualize—through policy papers, research, comparative research, and task force meetings—a judiciary branch independent from South Africa's executive arm. She also worked on a number of high-profile cases, researching issues surrounding the right to water (*Mazibuko v. City of Johannesburg*) and pardon power and victims' rights (*Ryan Albutt v. Centre for the Study of Violence and Others*). In the *Albutt* case, Sirleaf had the chance to do in-depth research on a case that dealt with the legacy of apartheid and the truth and reconciliation committee.

"Alleged perpetrators had to come in front of an amnesty committee if they were accused of committing crimes during apartheid," Sirleaf explains. "They could plead that they were following the dictates of the apartheid state and ask for amnesty. They could meet with their victims or victims' family and explain their role and apologize. The issue was that there were a number of people who didn't participate in that process. And a number

"Without the Robina or the Bernstein or some fellowship that enables you to get involved in human rights work it's really just not possible to get that experience."

Matiangai Sirleaf

of them were in jail and they wanted to seek pardon from the president. The *Ryan Albutt* case was about how that process should play out. The question was: do victims have a right to a hearing? Do victims have any say or input if the president is considering pardoning that person? Does the victim or victim's family have a right to be heard?"

"It was very interesting because of the history of apartheid and the Truth and Reconciliation Committee," Sirleaf continues. "There was kind of a feeling that victims have a right to truth and the right to know what was happening with this process—the right to at least be heard. I was also fascinated by how this differed from the pardon process in the U.S."

Sirleaf's judge wrote the opinion stating that victims are entitled to due process rights—that they should be granted the right to be heard before a presidential pardon of a perpetrator under apartheid.

"I thought that was pretty revolutionary!" says Sirleaf. "The case had a really big impact and it was the highlight of my time working on the court to be so involved with the research that went into the decision."

Today Sirleaf is continuing to build her experience with another fellowship at the Washington, D.C., law firm Cohen Milstein where she works in the pro bono international human rights practice group. Most of the cases she helps litigate involve allegations of extrajudicial killings, torture, and trafficking in countries such as Columbia, Indonesia, Nigeria, and Iraq. "We practice in a number of districts within the U.S. I'm able to get substantive litigation experience in a number of different districts with a variety of different clients. And our cases are also in different stages—remediation, revving up for trial, the appellate level, in discovery—this is helping me learn a range of different litigation skills."

Matiangai Sirleaf also worked in South Africa as a Bernstein Fellow following her graduation from Yale Law School. As a Bernstein Fellow, Sirleaf worked with the Liberia office of the International Center for Transitional Justice, doing a comparative study of transitional justice experiences in western Africa. *Y*

Post-graduate Fellowships

Arthur Liman Public Interest Fellowship
Heyman Federal Public Service Fellowship
International Court of Justice Trainee Position
Mary A. McCarthy Memorial Fellowships in
Public Interest Law
Robert L. Bernstein Fellowship in
International Human Rights
Robina Foundation Human Rights Fellowships
Gruber Fellowships in Global Justice and Women's Rights
Initiative for Public Interest Law at Yale
YLS Public Interest Fellowships (YPIF)
Robert M. Cover Fellowship
San Francisco Affirmative Litigation Project Fellowship
Howard M. Holtzmann Fellowships in
International Dispute Resolution
Yale Information Society Project (ISP) Resident
and Visiting Fellowships

For more information about fellowship opportunities available to Yale Law School graduates, visit www.law.yale.edu/fellowships.

ENHANCEMENT IDEAS

From: Penny Hunt [mailto:pennhunt@gmail.com]
Sent: Monday, July 23, 2012 1:57 PM
To: Silk, James; Norton, Katherine; Lawder, Katherine
Cc: Peter Karoff
Subject: Robina Foundation

Greetings,

I don't recall if I acknowledged receipt of your Assessment Report on the Robina Foundation Human Rights Fellowship Initiative. I'm sorry if I didn't. Peter and I both received it and read it quickly to determine if we felt we needed to have a telephone conversation before next week's meeting of the Robina Foundation Board. We don't think that is necessary and commend all of you for your continued efforts to connect the dots of YLS' many human rights initiatives, including those that are part of the Robina Foundation program. A couple of questions:

- 1) We're wondering what, if anything, Jim would say is still missing in YLS' human rights programming.
- 2) As your data base becomes more substantive, are there changes in your programming that might enhance your work, e.g. aggregating student interests, perhaps by focusing on certain areas? You can undoubtedly think of other ways to enhance your already comprehensive work.

Thanks for considering these questions. Let me know your thoughts.

Warm regards,
Penny

From: "Norton, Katherine" <katherine.norton@yale.edu>
Date: September 10, 2012 8:44:47 AM CDT
To: Penny Hunt <pennhunt@gmail.com>
Cc: Peter Karoff <pkaroff@TPI.ORG>, "Silk, James" <james.silk@yale.edu>, "Post, Robert" <robert.post@yale.edu>, "Dickman, Brent" <brent.dickman@yale.edu>
Subject: Robina Foundation inquiries

Dear Penny,

I apologize that it has taken us a while to respond to your inquiries earlier this summer. Please find our responses below.

- 1) **You ask:** "Is there anything Jim would say is still missing in YLS' human rights programming?"

Let me begin by saying that we are so very grateful for the Foundation's support of the Robina Human Rights Fellowship Initiative. You have enabled us to strengthen the human rights program at Yale Law School. The Initiative has been invaluable to students aspiring to enter the field of human rights. It has supported their education and their transition to human rights work. The program has also enriched the experience of human rights professionals by enabling us to bring them to the Law School to interact with colleagues and students. The Initiative has enabled us to produce new ideas, scholarship, and strategies in the area of human rights. We couldn't be happier with the program.

As we consider the future of the program, however, we are able to identify an area of critical need. Jim and Robert both believe that the most pressing necessity is to secure permanent, long-term support to preserve the achievements of the Robina Initiative. Because the expected performance

of our endowment in the foreseeable future entails sharp budgetary asperities, it will be very difficult to maintain the manifold contributions of the Initiative on the basis of annual and contingent funding. We therefore seek to permanently endow the Robina Initiative. Long-term support of this kind would provide the security necessary to ensure that future generations can enjoy the important opportunities that the Robina Initiative presently makes possible. That is what we feel is most "missing" from the program as we consider its potential impact on human rights in the years to come.

As we consider the program's further growth, we envision two new components that would nicely complement the current program. First, we seek to endow a chair for a clinical professor in the area of human rights. This would ensure permanent leadership of the Robina Human Rights Initiative by an appropriate faculty member dedicated to human rights. As the Robina Foundation is aware, the Initiative is currently overseen by Jim Silk, Executive Director of the Orville H. Schell, Jr. Center for International Human Rights and a Clinical Professor of Law. If we could endow a clinical professorship in this area (a professorship that we envision would initially be held by Jim), it would facilitate the continuity of the Robina Initiative. The Robina Foundation is aware of the value of Jim's position in the Law School community, the University overall, and the field of human rights legal education. At Yale, he provides guidance and input to other departments and centers whose work intersects with human rights. Endowing his position would be a great boon to the Law School and to the University, as well as to the larger field of human rights. The endowment of his position would free up Law School funds to do other hiring in the area of international law, human rights, and related fields and to ensure that this important position will always be filled by an appropriate faculty member.

Second, we would seek to add support through the Law School's Career Options Assistance Program (COAP) to encourage and sustain graduates pursuing human rights work. Yale Law School initiated COAP in order to help students in low-paying positions repay their student loans. As the Foundation is likely aware, the loan burden of students upon graduation is high. In 2011-12, the average law school debt of a Yale Law School J.D. graduate was approximately \$111,000. Most students who work in the area of human rights must take relatively low-paying positions at NGOs or international agencies. Without COAP, such students would be unable to repay their law-school debts. We established COAP so that students' debt burdens would not prevent them from taking such jobs. Yet COAP is an unfunded mandate whose costs are rapidly climbing. Programs like COAP are counter-cyclical, hinged on the economy: They become most expensive when students need them most. As such, COAP puts enormous strain on the School's capacity to maintain support for graduates at their present levels. Just this year, for example, the Law School has had to adjust COAP by altering the salary threshold at which students are eligible to have their loans fully subsidized. Our students who choose to dedicate their lives to human rights need COAP now more than ever. If Robina could support our graduates who work in human rights through the COAP program, we could better support their commitment to careers in human rights.

- 2) **You ask:** "As your data base becomes more substantive, are there changes in your programming that might enhance your work, e.g. aggregating student interests, perhaps by focusing on certain areas? You can undoubtedly think of other ways to enhance your already comprehensive work."

As we continue to refine and add new entries to the human rights database over time, we expect that that it will serve two primary values. It will allow us to communicate with graduates who were involved in various aspects of the Law School's human rights programs when they were at the Yale Law School. And this communication will, in turn, facilitate our ability to foster and maintain a community of past students who are presently working in the field of human rights. For example, the database allowed us to reach out to alumni before last year's Law School reunion weekend (which was on the subject of human rights). Fostering community among our students has many benefits. It improves morale, facilitates innovative legal and political strategies, augments our

educational efforts, and so on. The database is a helpful vehicle for notifying our graduates of events and networking opportunities, as well as for making connections between our students and our graduates in the field. Our graduates can thus provide mentorship and guidance to our current students. (Our Career Development Office already has a robust alumni mentorship program, and we are working with them to ensure that our efforts do not duplicate that program. The database instead enhances our efforts by creating more specialized interactions.) We are planning to create an electronic newsletter for our "human rights graduates." We also anticipate that the database will permit us to document and analyze information longitudinally, so that we can more precisely evaluate the paths followed by students who took advantage of our human rights programming. We hope that the database will enable us to spot trends in student interests and career paths. We will continually assess and adjust our various programs so that they are responsive to student interests and needs.

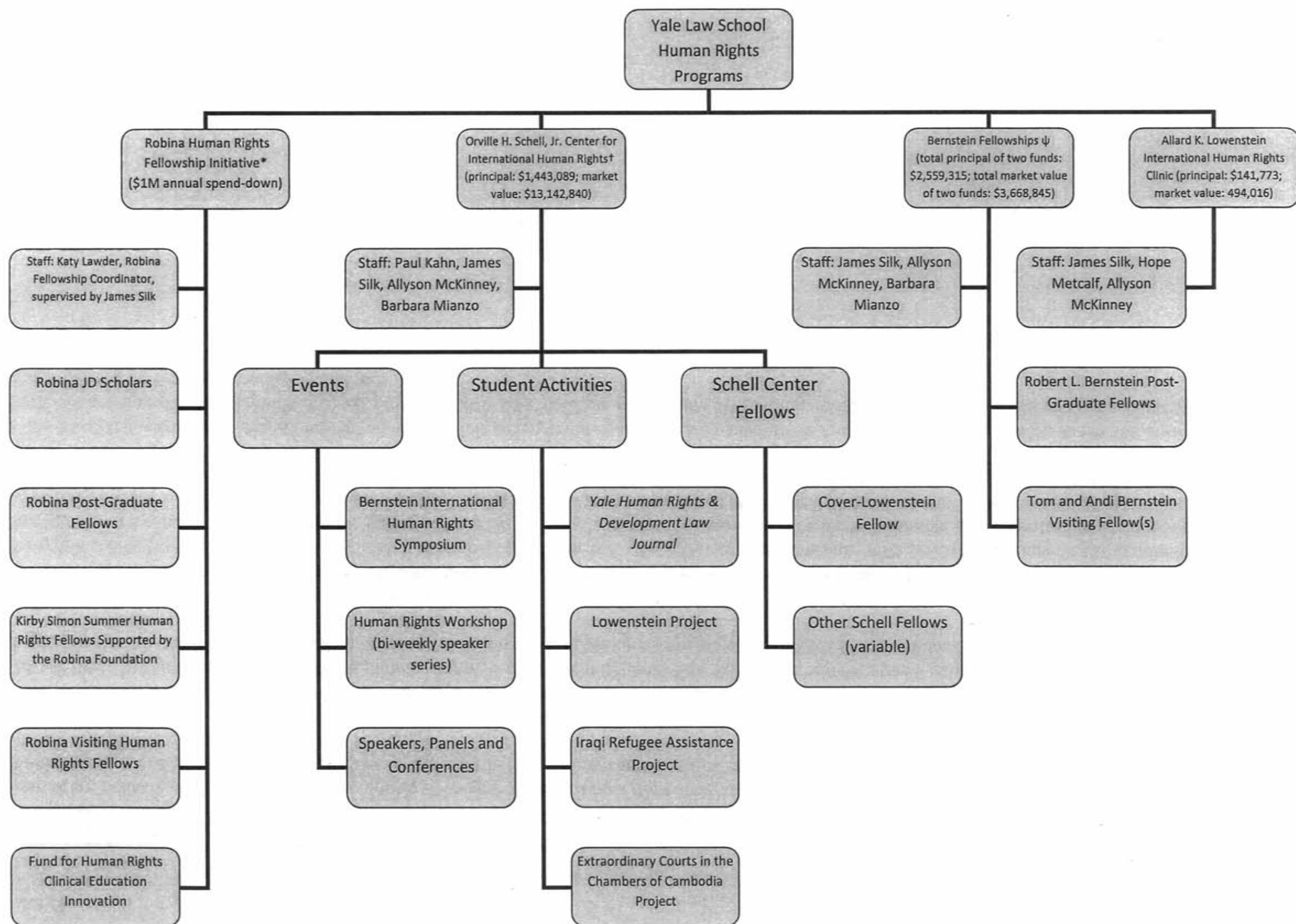
Thank you for your flexibility and understanding regarding the time that it has taken us to reflect on your thoughtful inquiries. I hope that I have provided helpful information. Please feel free to be in touch with any additional questions that you may have.

Thanks again, and we look forward to talking with you more during your visit this winter!

Best regards,
Kate

Kate Norton, Associate Director of Development
Yale Law School, P.O. Box 208215, New Haven, CT 06520
Phone: (203) 432-8359; Mobile: (203) 815-2702; Fax: (203) 432-8147

Components of the Yale Law School Human Rights Programs



Components of the Yale Law School Human Rights Programs

* The Robina Foundation Human Rights Initiative has been supported by a gift of \$1,000,000 annually since May 2008. The Robina Initiative provides comprehensive support for individuals interested in human rights in all stages of their careers, from first-year law students to those pursuing post-graduate fellowships. The goal of the Robina Initiative is to foster and support a commitment to international human rights, by leveraging the robust international human rights community that already exists at the Law School.

† The Schell Center is supported by the Orville H. Schell, Jr. Center Endowment Fund (est. 1988), which has a principal of \$1,443,089 and a market value of \$13,142,840 as of June 30, 2011. The Fund's annual income distribution in 2011-12 is \$638,113. The Schell Center's activities are also supported by the Vivien Wei-Ying U Fund for Human Rights (est. 1998), which has a principal of \$180,724 and a market value of \$361,976 as of June 30, 2011. The Wei-Ying U Fund's annual income distribution in 2011-12 is \$17,575.

ψ The Bernstein Fellowships are supported by two separate endowment funds. The Robert L. Bernstein Post-Graduate Fellowships are funded by the Robert L. Bernstein Fellowship Endowment Fund (est. 2001), which has a principal of \$1,759,315 and a market value of \$2,835,248 as of June 30, 2011. The Robert L. Bernstein Fund's annual income distribution in 2011-12 is \$137,657. The Tom and Andi Bernstein Visiting Fellowship(s) are supported by the Tom and Andi Bernstein Fund for Human Rights Endowment Fund (est. 2008), which has a current principal of \$800,000 and a market value of \$833,597 as of June 30, 2011. The Tom and Andi Bernstein Fund's annual income distribution in 2011-12 is \$40,473. This Fund's principal will continue to be added to in the next several years.

‡ The Allard K. Lowenstein International Human Rights Clinic is supported by the Allard K. Lowenstein Endowment Fund (est. 1996), which has a principal of \$141,773 and a market value of \$494,016 as of June 30, 2011. The fund's annual income distribution in 2011-12 is \$23,986. The Lowenstein Clinic's budget is supplemented by Yale Law School general funds.

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
03/31/12	121,350,931	34,489,187	48,338,828
06/30/12	99,963,670	53,765,992	32,563,646
09/30/12	98,199,014	57,085,876	29,243,762 (1)

- (1) Includes commitments of \$7,309,758 (over 2 years) to Abbott's Late Life Supportive Care project; \$8,258,730 (over 4 years) to CFR's IIGG Phase II, and \$897,214 for CFR's Diversity Initiative; \$6,656,237 (over 4 years) for U of M Institute of Criminal Law & Justice program, and \$1,000,000 (over 4 years) to U of M Scholarship program, \$3,121,823 (over 4 years) for U of M Public Interest Scholars; and \$2,000,000 (over 2 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	1,554,595
USbank Investment	79,623,780	74,568,396	76,710,536
Estate of Jim Binger	30,618,655	30,705,220	30,640,055
IRS Refund	11,622,180	12,445,745	12,445,745 (4)
Total	\$125,106,894	120,827,123	121,350,931

Assets	06/30/12	09/30/12	12/31/12
USbank Checking	538,773	438,552	
USbank Investment	74,687,548	74,324,421	
Estate of Jim Binger	12,291,604	10,990,296	
IRS Refund	12,445,745	12,445,745	
Total	\$99,963,670	98,199,014	

(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.

Current Residuary Assets on Hand (as of September 30, 2012)

Cash and Short Term¹

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 2,707,846.19
James H. Binger Revocable Trust - Income Account [REDACTED]	7,213,513.08
Estate of James H. Binger [REDACTED]	21,367.76
Estate of James H. Binger - Income Account [REDACTED]	448,808.47
Total Cash and Short Term:	\$ 10,391,535.50

Tartan I LP (as of 9/30/2012)

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	88,363.32	43.4%	38,349.68	
Tartan I LP - ScotchGard	87,469.13	33.3%	29,127.22	
Tartan I LP - Post It	74,273.56	19.8%	14,706.16	
Total:	250,106.01		82,183.07	\$ 82,183.07 (Liquidation Value)

Other Assets:

James H. Binger Revocable Trust [REDACTED]		
Tomsten Inc.	125,001.00	
301 Clifton	-	
MN Community Dev. Bond	-	
Jason McLean Prom. Note	50,000.00	
Eridon	-	
Loring Pasta Bar	66,576	
Myfitlife Inc.	275,000	
Project Apple	-	
Raymedica Inc.	-	
Total:	516,577.00	\$ 516,577.00

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA: \$ 10,990,295.57

Note: Distributions to date total \$115.52MM (an interim distribution of \$27MM was made on 10/4/2007, of \$20MM on 3/25/2009, of \$38.295MM on 3/3/11, of \$10MM on 5/17/2011, and of \$15MM on 6/18/2012. Additionally, venture capital distributions were made of \$1.34MM on 7/11/2011 and of \$3.88MM on 7/14/2011, \$1.39MM on 9/30/2012)

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

¹Cash and Short Term Values as of 9.30.12



ROBINA FOUNDATION

Quarterly Financial Report September 30, 2012

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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EXECUTIVE SUMMARY

Quarter 3, 2012

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, and
- Current and targeted portfolio allocations

Executive Financial Summary

	December 31, 2011	March 31, 2012	June 30, 2012	September 30, 2012
Cash	\$32,942,729	\$30,740,303	\$11,516,252	\$11,729,873
US Gov't Bonds	0	0	0	0
Market Portfolio	75,438,899	78,164,882	76,001,674	74,023,395
Corp Bonds	19,719,039	18,897,774	18,680,514	16,848,770
Equity	33,512,561	36,373,047	34,876,312	36,136,432
Other	22,207,299	22,894,061	22,444,849	21,038,193
IRS Refund	12,445,745	12,445,745	12,445,745	12,445,745
Total	\$120,827,373	\$121,350,930	\$99,963,669	\$98,199,013

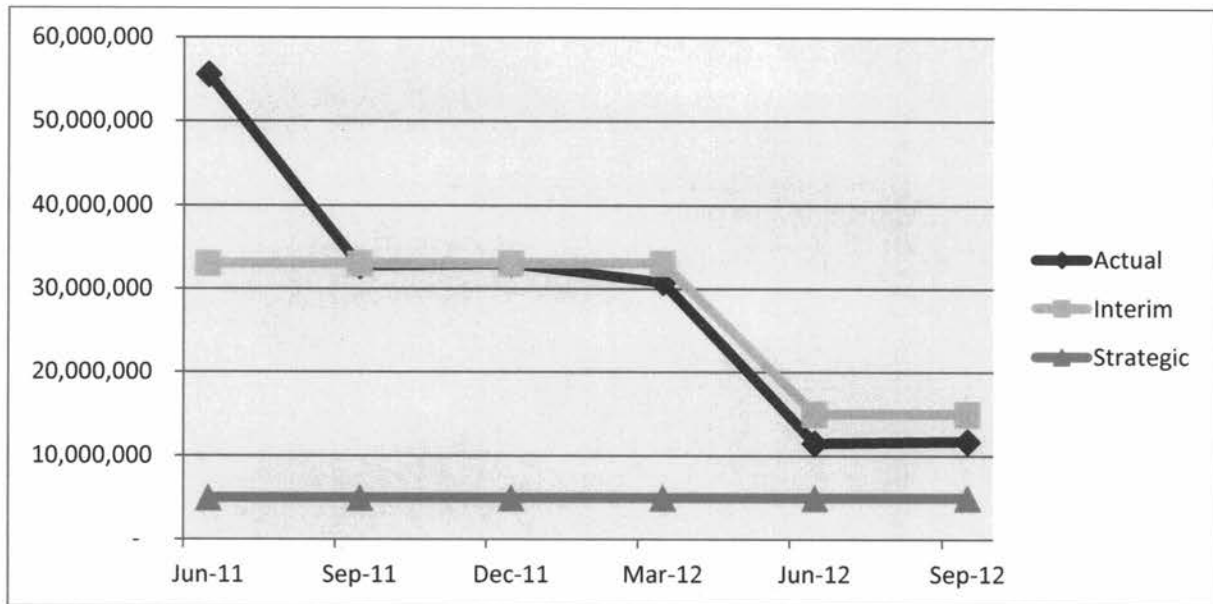
Grants Paid: 2012

Grants Paid	3/31/2012	6/30/2012	9/30/2012	Totals
University of Minnesota				
LaPPS	0	0	893,457	893,457
Institute of Criminal Law & Justice	847,190	0	0	847,190
Scholarships	250,000	0	0	250,000
Public Interest Scholars	0	379,800	379,800	379,800
Allina Health System				
Late Life Supportive Care Phase I	2,356,696	0	0	2,356,696
Council on Foreign Relations				
CFR (Expanded Diversity)	377,034			377,034
CFR (Online Video)	0	276,805	0	276,805
CFR (IIGG)	0	2,046,627	0	2,046,627
Yale Law School	0	1,000,000	0	1,000,000
Yale School of Drama	0	18,000,000	0	18,000,000
The Center for Victims of Torture	0	1,000	0	1,000
Total Grants Paid - Quarter	\$ 3,830,920	\$ 21,704,232	\$ -893,457	\$ 26,428,609
Total Grants Paid - Year to Date		\$ 25,535,152	\$ 26,428,609	

W \$ 21,324,432 \$ 1,273,257

SOURCES OF ASSETS

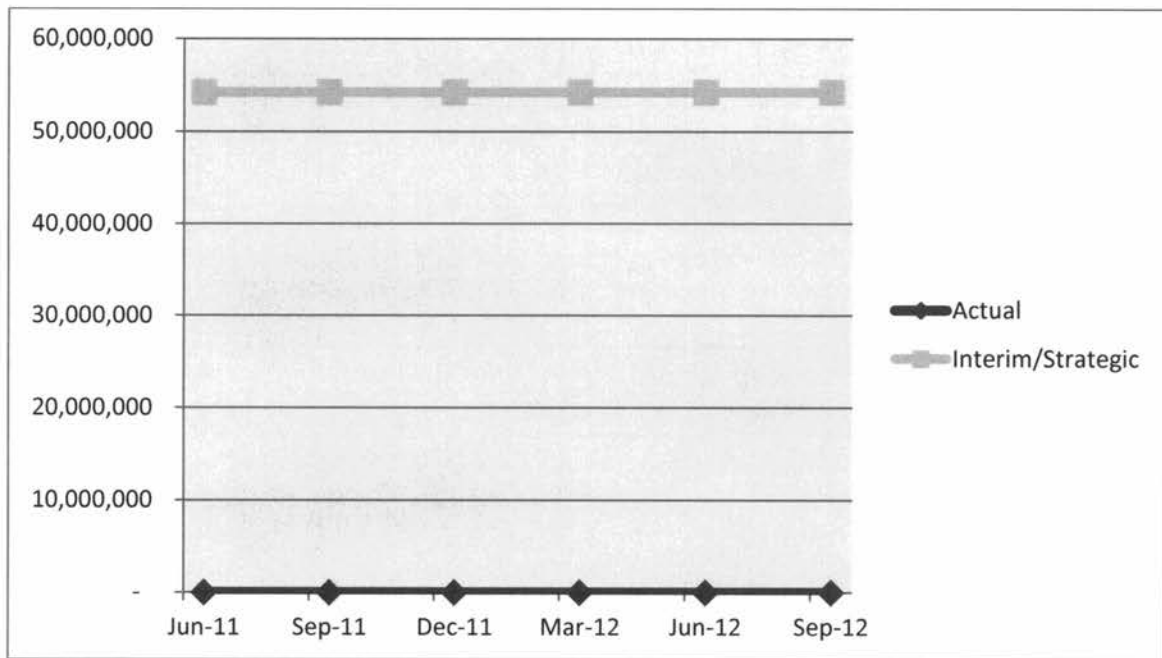
FIGURE 1: TOTAL CASH



- 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 \$15M
- Strategic amount is six months in cash or \$5M

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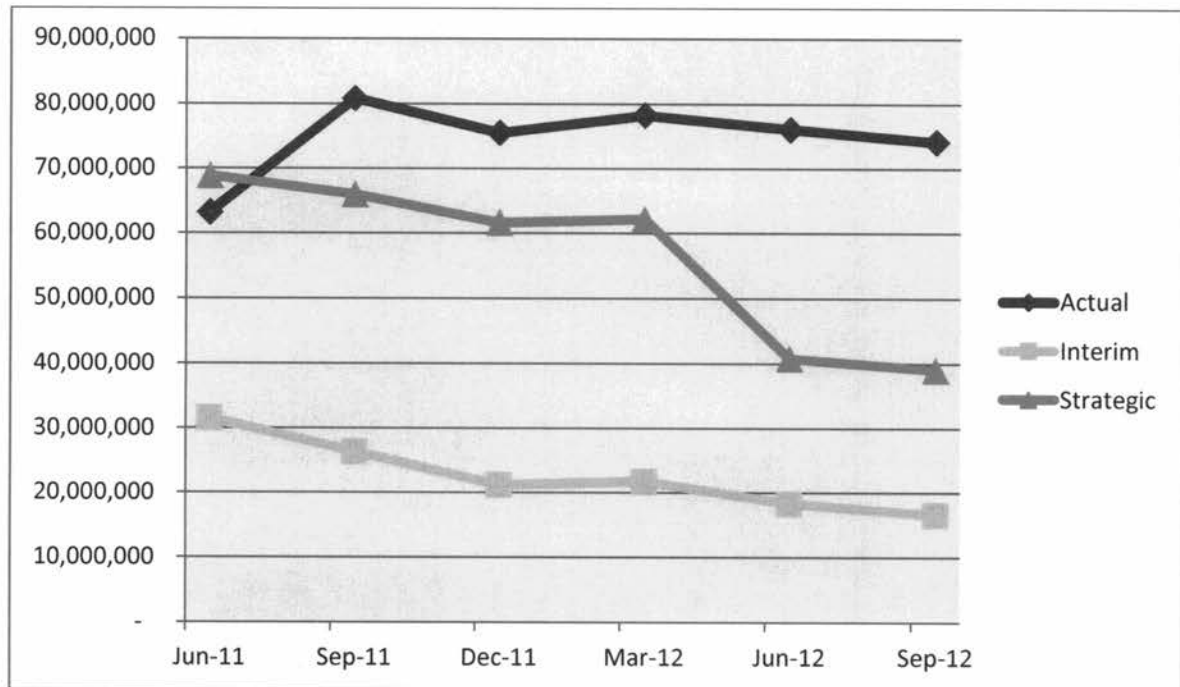
FIGURE 2: TOTAL US GOV'T BONDS



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

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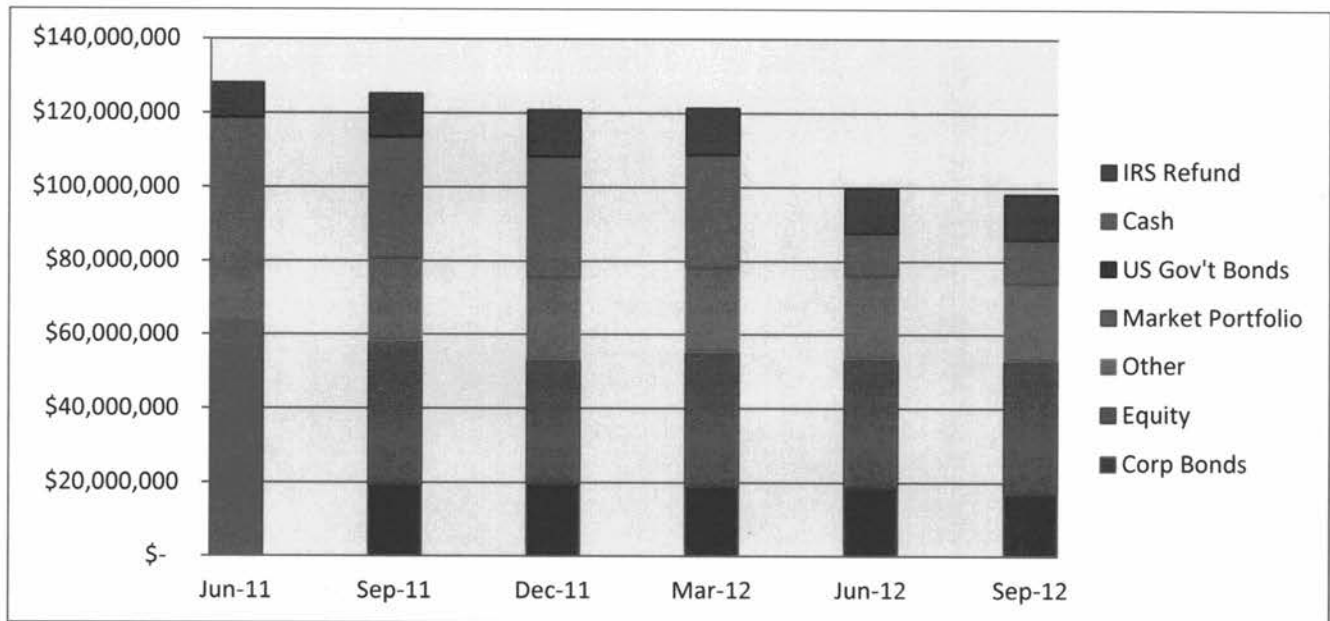
FIGURE 3: TOTAL MARKET PORTFOLIO



- 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

	9/30/2011	12/31/2011	3/31/2012	6/30/2012	9/30/2012
JP Morgan					
JHB Cash/MM	\$ 15,293,671	\$ 15,214,829	\$ 15,145,986	\$ 100,042	\$ 21,368
JHB-Income Cash/MM	449,127	449,593	449,594	449,596	448,808
Total	\$ 15,742,798	\$ 15,664,422	\$ 15,595,580	\$ 549,638	\$ 470,176
Revocable Trust					
JHB Revocable Trust	5,526,532	5,690,067	5,690,067	2,687,279	2,707,846
JHB Income Account	7,230,756	7,232,432	7,235,859	7,210,446	7,213,513
Tartan I LP	84,654	84,635	84,635	82,328	82,183
Total	\$ 12,841,942	\$ 13,007,134	\$ 13,010,561	\$ 9,980,053	\$ 10,003,542
Other Securities					
Venture Capital	1,184,802	1,184,802	1,184,802	1,184,802	0
All Other Securities	849,112	849,112	849,112	577,112	516,577
Total	\$ 2,033,914	\$ 2,033,914	\$ 2,033,914	\$ 1,761,914	\$ 516,577
Total Estate of JHB	\$ 30,618,654	\$ 30,705,470	\$ 30,640,055	\$ 12,291,604	\$ 10,990,295

	9/30/2011	12/31/2011	3/31/2012	6/30/2012	9/30/2012
US Bank					
Total Cash/MM	\$ 951,124	\$ 1,248,046	\$ 664,203	\$ 530,116	\$ 899,786
US Gov't Bonds	0	0	0	0	0
Corporate Issues	15,334,835	15,563,407	14,602,314	14,427,921	12,490,755
Ontario Province	162,305	161,181	161,463	160,044	159,510
Bp Capital Plc	742,154	747,467	750,743	750,127	752,388
Total Capital Sa	530,805	529,510	522,755	530,680	536,860
NuVeen High Income Bond Fd Cl I	2,629,708	2,717,474	2,860,499	2,811,740	2,909,257
Total non- Gov't	19,399,807	19,719,039	18,897,774	18,680,513	16,848,770
Total Corp Bonds	\$ 19,399,807	\$ 19,719,039	\$ 18,897,774	\$ 18,680,513	\$ 16,848,770
Stock Funds	22,251,641	23,856,658	26,705,101	25,150,107	26,627,854
Common Sense Offshore Ltd	2,064,466	2,105,161	2,035,497	2,089,137	2,046,199
Flag Private Equity LP	2,500,000	1,195,695	1,195,695	1,195,695	1,195,695
Flag Venture Partners III LP	5,000,000	1,009,145	1,009,145	1,009,145	1,009,145
Flag Venture Partners IV LP	2,125,000	1,244,759	1,244,759	1,244,759	1,041,250
Pfingsten Partners III LP	2,000,000	1,174,952	1,174,952	1,174,952	1,174,952
Pointer Offshore Ltd	2,948,623	2,926,191	3,007,898	3,012,518	3,041,337
Total Hedge Equities	16,638,089	9,655,903	9,667,946	9,726,206	9,508,578
Total Equities	\$ 38,889,730	\$ 33,512,561	\$ 36,373,047	\$ 34,876,312	\$ 36,136,432

Continued on next page...

	9/30/2011	12/31/2011	3/31/2012	6/30/2012	9/30/2012
US Bank, continued					
Barclays Bank Plc	\$ 512,515	\$ 510,805	\$ 509,370	\$ 504,420	\$ 0
Ontario Province	225,717	223,761	223,385	221,695	220,358
T Rowe Price Intl Bond Fund	1,972,496	1,921,211	1,946,853	1,925,156	2,004,056
Total non-US	2,710,728	2,655,777	2,679,608	2,651,271	2,224,414
Gam Absolute Return Bond Fund	3,087,532	3,056,933	3,263,992	3,220,334	3,290,315
Gca Credit Opportunities Offshore	3,881,166	3,920,421	3,982,227	4,021,968	4,112,038
Marathon Credit Opportunity Fund Ltd	2,929,891	2,808,318	2,932,559	2,988,483	3,047,828
Total Hedge	9,898,589	9,785,672	10,178,778	10,230,784	10,450,181
IDR Core Equity Re Strategy 2010	4,798,615	5,964,561	6,102,963	6,102,966	6,278,622
Barclays Bank Plc	665,700	0	0	0	0
Barclays Bank Plc	674,475	0	0	0	0
Inv Balance Risk Comm Str Y	826,076	859,052	948,677	860,743	952,905
Oppenheimer Com Str Tr Fd Y	808,935	823,688	865,486	754,842	533,311
Total Commodities	2,975,186	1,682,740	1,814,163	1,615,585	1,486,216
Total Other Bonds, Real Estate, Commodities	\$ 20,383,118	\$ 20,088,750	\$ 20,775,512	\$ 20,600,607	\$ 20,439,433
US Bank Total	\$ 79,623,779	\$ 74,568,396	\$ 76,710,536	\$ 74,687,548	\$ 74,324,421
US Bank Checking	3,242,278	3,107,762	1,554,594	538,773	438,552
IRS Refund	11,662,180	12,445,745	12,445,745	12,445,745	12,445,745
Gross Total	\$ 125,146,891	\$ 120,827,373	\$ 121,350,930	\$ 99,963,669	\$ 98,199,013
Grants Paid					
University of Minnesota					
LaPPS			0	0	893,457
Institute of Criminal Law & Justice			847,190	0	0
Scholarships			250,000	0	0
Public Interest Scholars			0	379,800	379,800
Allina Health System					
Late Life Supportive Care Phase I			2,356,696	0	0
Council on Foreign Relations					
CFR (Expanded Diversity)			377,034		
CFR (Online Video)			0	276,805	0
CFR (IIGG)			0	2,046,627	0
Yale Law School			0	1,000,000	0
Yale School of Drama			0	18,000,000	0
The Center for Victims of Torture			0	1,000	0
Total Grants Paid - Quarter			\$ 3,830,920	\$ 21,704,232	\$ 893,457
Total Grants Paid - Year to Date				\$ 25,535,152	\$ 26,428,609

(21,704,232 - 893,457 = 20,810,775)
(25,535,152 - 20,810,775 = 4,724,377)

ASSET ALLOCATION REPORT: SEPTEMBER 30, 2012

	9/30/2012					
		Actual %	Interim \$	Int %	Strategic \$	Strat %
Cash						
JHB Cash/MM	21,368					
JHB-Income Cash/MM	448,808					
JHB Revocable Trust	2,707,846					
JHB Income Account	7,213,513					
US Bank Cash/MM	899,786					
US Bank Checking	438,552					
Total Cash	\$ 11,729,873	12%	\$ 15,000,000	15%	\$ 5,000,000	5%
US Gov't Bonds	\$0	0%	\$ 54,200,000	55%	\$ 54,200,000	55%
Market Portfolio						
Corp Bonds	16,848,770					
Equity (US & non-US)	36,136,432					
Other	21,038,193					
Total Market Portfolio	\$ 74,023,395	75%	\$ 16,553,268	17%	\$ 38,999,013	40%
IRS Refund	\$ 12,445,745	13%	\$ 12,445,745	10%	\$0	0%
Gross Total	\$ 98,199,013	100%	\$ 98,199,013	100%	\$ 98,199,013	100%

*Please note Other includes: Tartan I LP, Venture Capital, All Other Securities, Other Bonds, Real Estate, Commodities

ASSET ALLOCATION REPORT: SEPTEMBER 30, 2012

As perceived by Robina

	9/30/2012					
		Actual %	Interim \$	Int %	Strategic \$	Strat %
Cash						
JP Morgan	470,176					
US Bank Cash/MM	899,786					
US Bank Checking	438,552					
Total Cash	\$ 1,808,514	2%	\$ 15,000,000	15%	\$ 5,000,000	5%
Fixed Income						
US Gov't Bonds	0					
Corp Bonds	16,848,770					
Non-U.S.	2,224,414					
Hedge Funds	10,450,181					
JHB Revocable Trust	10,003,542					
IRS Refund	12,445,745					
Total Fixed Income	\$ 51,972,652	53%	\$ 54,200,000	55%	\$ 54,200,000	55%
Market Portfolio						
JP Securities	516,577					
US Bank Equity Funds	26,627,854					
US Bank Hedge Equities	9,508,578					
US Bank Real Estate	6,278,622					
US Bank Commodities	1,486,216					
Total Market Portfolio	\$ 44,417,847	45%	\$ 28,999,013	30%	\$ 38,999,013	40%
Gross Total	\$ 98,199,013	100%	\$ 98,199,013	100%	\$ 98,199,013	100%

ROBINA FOUNDATION

YALE SCHOOL OF DRAMA EVENT Schedule for Thursday, December 6, 2012

Time	Activity
4:00 p.m.	Yale Art Gallery Tour Led by Jock Reynolds, Gallery Director (Address: 1111 Chapel Street – a short distance from The Study so we can walk)
6:00 p.m.	Reception at the Provost's House (Transportation will be provided <u>from</u> The Study)
8:00 p.m.	Yale Repertory Theatre <i>Dear Elizabeth</i> (Transportation will be provided to the Theatre and then to The Study)
Lodging	The Study (Address: 1157 Chapel Street, New Haven, CT 06511) (Phone: 203-503-3904)

Schedule for Friday, December 7, 2012

8:00 a.m. – 10 a.m.	Breakfast at Yale Law School Susan Berresford, Peter Karoff, Penny Hunt
8:30 a.m.	Gordy, Tom, Kathleen, Wheelock, and Nancy to Hartford for an 11:25 a.m. departure to Minneapolis

ROBINA FOUNDATION

Board Meeting in New York City February 25-27, 2013

(As usual, everyone is to make their own airline reservations.)

Monday, February 25 *

6:30 p.m. Board Dinner: The Lotos Club

Lodging: The Lotos Club, 5 East 66th Street, New York 10065

Tuesday, February 26

7:00 a.m. Complimentary breakfast in the Grill Room at The Lotos

8:00 a.m. Board Meeting begins at the Council of Foreign Relations
(An easy walk from The Lotos)

12 Noon Buffet lunch to be eaten in the meeting room

6:00 p.m. Dinner: The Lumi, 963 Lexington Avenue, New York 10021

Lodging: The Lotos Club

Wednesday, February 27 *

7:00 a.m. Complimentary breakfast in the Grill Room at The Lotos

8:00 a.m. Board Meeting begins at the Council of Foreign Relations

12 Noon Adjournment of Board Meeting

*Because there may be opportunities for meeting with the grantees and/or other guests, we would appreciate your making flight arrangements to accommodate possible afternoon meetings on Monday, February 25 and Wednesday, February 27.

**Robina Foundation
2013 Board Meeting Dates**

DATE (2013)	PLACE/TIME
February 25-27, 2013 (Mon, Tues, Wed) New York City 5 East 66 th Street, NYC 10065 Phone: 212-737-7100 Website: www.lotosclub.org	New York City – The Lotos Club Monday, February 25 – 6:30 p.m. Dinner (7 a.m. to 10:30 a.m. Continental Breakfast in Grill Room) Tuesday, February 26 – 8:00 a.m. – 4:00 p.m. Tuesday, February 26 – 6:00 p.m. Dinner Wednesday, February 27 – 8:00 a.m. to 12 noon
May 14, 2013 (Tuesday) Conference Call	9:30 a.m. to 11:30 a.m. (CDT)
August 12-14, 2013 (Mon, Tues, Wed) Annual Meeting Minneapolis, Minnesota	Minneapolis, MN Monday, August 12 – 6:00 p.m. Dinner (CDT) Tuesday, August 13 – 8:00 a.m. to 4:00 p.m. (CDT) Tuesday, August 13 – 6:00 p.m. Dinner Wednesday, August 14 – 8:00 a.m. to 12 noon (CDT)
November 12, 2013 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CST)

Calendar for year 2013 (United States)

January Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 4:● 11:● 18:● 26:○	February Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 3:● 10:● 17:○ 25:○	March Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 4:● 11:● 19:○ 27:○
April Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 3:● 10:● 18:○ 25:○	May Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 2:● 9:● 18:○ 25:○ 31:●	June Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 8:● 16:○ 23:○ 30:●
July Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 8:● 15:○ 22:○ 29:●	August Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 6:● 14:○ 20:○ 28:●	September Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 5:● 12:○ 19:○ 26:●
October Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 4:● 11:○ 18:○ 26:●	November Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 3:● 10:○ 17:○ 25:●	December Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 2:● 9:○ 17:○ 25:●

Holidays and Observances:

Jan 1 New Year's Day	Sep 2 Labor Day
Jan 21 Martin Luther King Day	Oct 14 Columbus Day (Most regions)
Feb 14 Valentine's Day	Oct 31 Halloween
Feb 18 Presidents' Day	Nov 11 Veterans Day
Mar 31 Easter Sunday	Nov 28 Thanksgiving Day
May 12 Mother's Day	Dec 24 Christmas Eve
May 27 Memorial Day	Dec 25 Christmas Day
Jun 16 Father's Day	Dec 31 New Year's Eve
Jul 4 Independence Day	

COUNCIL *on* FOREIGN RELATIONS

58 East 68th Street, New York, New York 10065
tel 212.434.9400 fax 212.434.9800 www.cfr.org

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Robert E. Rubin
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August 15, 2012

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

Dear Penny:

I am pleased to acknowledge the Robina Foundation's first payment of \$2,046,627, received on August 14, toward its grant of \$10,305,357 to the Council on Foreign Relations (CFR). This generous contribution will support Phase II of CFR's International Institutions and Global Governance (IIGG) program.

As you know, the program's fifth year will be devoted to building on the major themes and trends identified in Phase I of the program, as well as expanding on several projects initiated in the past year. These include exploring the shifting nature of U.S. sovereignty, increasing the capacity of regional organizations, expanding the Council of Councils initiative, and launching the Global Governance Report Card.

In its four year history, the IIGG program at CFR has firmly established itself as the global thought leader on these issues. We are truly grateful to you and the Robina Foundation board for your ongoing support for the IIGG program. We look forward to working with you in the year ahead.

Sincerely,

Richard N. Haass
President
tel 212.434.9540 fax 212.434.9880
president@cfr.org

cc: Nancy Gilberg

Thank you Penny
All best

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

FACSIMILE TRANSMISSION FORM

DATE	August 7, 2012
TO	Timothy S. Towle, USBank cc: Lori Nordby
FAX #	612-303-3794
FROM	Penny Hunt, Executive Director
SUBJECT	Wire \$2,046,627 to The Council on Foreign Relations

(Page 1 of ____ Pages)

*Funds were
wired on
8/13/12*

Tim,

Please wire-transfer \$2,046,627 to the Council on Foreign Relations IIGG Phase II program from our Robina Investment Account [REDACTED] per the instructions below. Also please let us know when that transfer takes place, and inform the Council that Robina needs an acknowledgement letter stating the date and amount of the monies transferred. Thank you.

Instructions for Wire Transfer

The Council's account is at:

Name: The Bank of America, 730 15th Street, NW, 14th Floor,
Washington, DC 20005

Account Name: Council on Foreign Relations

Account Number: [REDACTED]

Wire Routing Number: [REDACTED]

Bank Contact: Lynn L. Jackson, AVP, Treasury Solutions Analyst

Email: lynn.l.jackson@bam1.com

Phone: 202-442-3949

Fax: 704-683-7231

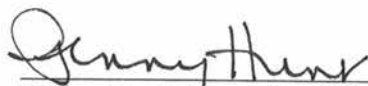
When you make a wire transfer, or for more information please contact:

Lena Moy, Gifts Administrator

Council on Foreign Relations, New York

Tel: 212-434-9457

Email: lmoy@cfr.org



Penny Hunt, Executive Director
Robina Foundation

ROBINA FOUNDATION

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

August 30, 2012

Richard N. Haass, President
Council on Foreign Relations
58 East 68th Street
New York, NY 10065

Dear Richard:

I am writing on behalf of the Board of Directors of the Robina Foundation to ask for your ideas.

As the Robina Foundation wraps up its fifth year of providing grants to the four Robina Grantees identified by Robina founder Jim Binger, the Board of Directors is preparing to chart the course for the Foundation's final spend-down phase. While Board Members have a number of ideas about what that course might be, we would like to hear from you.

When Jim Binger established the Foundation, he urged the Board to:

- Encourage innovation and creativity;
- Focus on forward-thinking projects and initiatives;
- Support major projects and initiatives;
- Fund the most-worthwhile projects gleaned from the best proposals; and
- Pursue a charitable program that will maximize the impact of the Foundation in a limited period of time.

The Board believes that the Foundation's first five years of grant making/commitments have responded to Jim's directives through approximately \$85 million in multi-year grants to the four Robina Grantees. With Foundation funding each of the grantees has begun or expanded important, transformational programs that have the potential to benefit the designated institutions, as well as respond to significant social needs. Information on the Foundation's grants to date is available on Robina's web site www.robinafoundation.org.

The Foundation's current multi-year commitments extend through 2016. We estimate that following the payment of those outstanding commitments, approximately \$90 million in assets will remain for additional grants. In 2010 the Robina Board resolved to "sunset" the Foundation not later than December 31, 2025, with the understanding that the Foundation's support of exemplary programs could result in a shorter duration. The Foundation's governing documents give the Board considerable flexibility in the disbursement of funds.

Here is our request: help us think creatively and boldly about Robina's future.

- How could the Robina Board make grants to increase the chances of more significant results?
- Do you have suggestions as to how Robina could work within the Council on Foreign Relations or in partnerships that would add more value and increase the impact of Robina's grants?
- What opportunities do you see within your institution and beyond for Robina funding to make a significant difference?
- Do you see opportunities for collaboration directly among Robina Grantees or for parallel programs or initiatives around any of the themes that Robina has supported?
- What legacy would you like to see Robina leave within your organization when its work is completed?

In short, we welcome any big and ambitious ideas you are willing to offer for our consideration. Robina Grantees have been the Foundation's partners in this undertaking. We want to be sure we benefit from your best and most visionary thinking about the Foundation's future.

The Board plans to discuss the ideas generated by this request at its meeting in November and asks that you provide me with your response electronically by October 30. Your ideas need not be detailed proposals at this point: a brief description of how the Foundation could move forward in new and different ways will suffice. The Board may wish to address some of the ideas generated at a meeting in February with representatives of Robina Grantees. If so, I will be back in touch with you. I would be very happy to discuss this request with you or others within your organization.

We look forward to hearing from you.

Warm regards,

Penny Hunt, Executive Director
Robina Foundation

Nancy Gilberg

file

From: Penny Hunt [pennhunt@gmail.com]
Sent: Tuesday, October 23, 2012 12:20 PM
To: Richard Adair
Cc: Steve Schroeder; Nancy Gilberg
Subject: Re: Care guide paper

Hi Dick,

Thanks for sending this to us. I'm sure you're pleased to have completed the report! Please keep us posted.

Warm regards,
Penny

On Oct 23, 2012, at 9:39 AM, Richard Adair wrote:

Here is the report as submitted to JAMA yesterday. What is new is the data on resource utilization (hospitalizations, ED visits, charges). I'm sure Steve Schroeder will be happy with that. To stay within word limits some of the data is in an appendix.

You may wish to increase the display size in your browser for readability (150%).

Allison, could you please forward this to each of the care guides?

Thanks to all of you for your wonderful support.

Dick Adair

<Adair JAMA_Care Guide.docx>

October 22, 2012

To the editor:

The enclosed manuscript reports an original investigation of a new care model for chronic disease patients: incorporating lay "care guides" directly into the primary care delivery process.

In theory, systems redesign in primary care, relying on patient-centered teamwork, can improve care and reduce costs. This project tests an uncomplicated and inexpensive version of this hypothesis that could be used in existing primary care practice settings. In a one-year randomized controlled trial of 2135 patients in 6 diverse Minnesota clinics, we demonstrated clinically important improvements in care for patients with hypertension, diabetes, and heart failure, at low cost. This work is a joint project conducted by the University of Minnesota and Allina Health.

A report of interim (9 month) results was presented in abstract form to the plenary session of the Society of General Internal Medicine in Orlando, Florida May 10, 2012; to the 8th International Organizational Behaviour in Healthcare Conference in Dublin, Ireland April 17, 2012; to the AcademyHealth Annual Research Meeting in Orlando June 25, 2012; and to the Health Services Research Network Meeting in Manchester, UK on June 26, 2012. No reports of this work have been published or are under consideration for publication elsewhere.

Sincerely,

Richard Adair, MD, Corresponding Author
Allina Health, University of Minnesota
2800 Chicago Av S #250
Minneapolis, MN 55407
adair001@umn.edu
Telephone 612-345-0539
FAX 612-863-2132

Improving Chronic Disease Care by Adding Trained Laypersons to the Primary Care Team.

A Randomized Controlled Trial

Richard Adair MD, Douglas R. Wholey PhD, Jon Christianson PhD, Katie M. White
EdD, Heather Britt PhD, and Suhna Lee, MPA

From Allina Health (R.A., H.B.) and the University of Minnesota (R.A., J.C., D.R.W.,
K.M.W., and S.L.), Minneapolis

Corresponding author: Richard Adair, M.D.

2800 Chicago Av S #250, Minneapolis, MN 55407

adair001@umn.edu

612-345-0539

Word count: 2958

ABSTRACT

Context: Improving care for chronic disease patients is an important goal, but how to accomplish this efficiently is unclear.

Objective: To test the hypothesis that a new type of clinic employee, a “care guide”, dedicated to helping patients and providers reach standard care goals, could help improve care.

Design: Prospective, randomized, unblinded, controlled trial lasting 1 year, conducted in 2010-2012.

Setting: 6 diverse primary care clinics in Minnesota.

Patients: 2455 patients with hypertension, diabetes, or heart failure referred by providers for enrollment; 2135 patients (87%) agreed to participate; none withdrew because of adverse effects.

Intervention: We gave all enrolled patients disease-specific information about care goals recommended by national authorities, then randomized them 2:1 to work toward these goals with a care guide for 1 year or to usual care. We recruited

laypersons with strong interpersonal skills to serve as care guides and gave them brief training about these diseases and the mechanisms of behavior change.

Main Outcome Measures: The average probability of achieving a care goal at 1 year. Outcomes and care goals were determined before the study began.

Results: Care guide patients and control patients were well matched at baseline demographically and clinically. Ten patients withdrew, leaving 2125 patients for analysis. Comparing care guide patients with control patients, the odds ratio (OR) of meeting a goal at 1 year was 1.31 (95% CI 1.16-1.47). For patients with hypertension, the OR was 1.29 (1.12-1.49); with diabetes, 1.35 (1.18-1.56); with heart failure, 1.52 (1.15-2.01). Similar results were seen when comparing these patients with 5326 matched patients in clinics without care guides. Care guide effects did not vary with patient demographic characteristics. Estimated cost was \$286 per patient per year.

Conclusion: Care guides added to the primary care team can improve care for chronic disease patients at low cost.

Trial Registration: ClinicalTrials.gov NCT01156974



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