


# Robina Foundation

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Version 3
August 20, 2018

PENNY HUNT

# ROBINA FOUNDATION
# Board Meeting

## February 25-27, 2013

## Location: New York City

**Meetings: Council on Foreign Relations**
**58 East 68th Street, NY, NY 10065**
**Phone: 212-434-9400**

**Lodging: The Lotos Club**
**5 East 66th Street, NY, NY 10065**
**Phone: 212-737-7100**

# ROBINA FOUNDATION

**TO:** **Robina Board of Directors**

**FROM:** **Penny Hunt**

**RE:** **February 2013 Board Meeting**

Plans shaped up nicely, I think, for our meetings in New York.

Thanks to Steve for making accommodations at The Lotos Club available to us and to Susan for suggesting The Lumi for our Tuesday night dinner. And, of course, to Nancy for making all of the arrangements for our visit and meetings, for organizing material for the Board Book, and for keeping me and others on track. No mean feat!

At the November Board Meeting, Board Members asked that time be set aside at this meeting for a thorough internal Board discussion of the future direction of the Foundation. You can see that the agenda calls for several hours of discussion time on Tuesday morning. **Tab 1** provides background information for the discussion, along with questions to help focus the discussion. Thanks to Susan and Peter for their input on this material. To further stimulate our thoughts and discussion, Peter drafted several scenarios to help us envision new ways of thinking about the Foundation's future grantmaking. Thank you, Peter!

The balance of the time on Tuesday is devoted to Board discussions with Richard Haass, Jim Lindsay and Stewart Patrick. If all of the allotted time is not needed for those discussions, we can cover some items scheduled for Wednesday morning to assure that the Wednesday meeting will end on time.

As always, please feel free to get in touch with me if you have questions or concerns about any of the items in the Board Book or plans for the meeting.

# ROBINA FOUNDATION

## Robina Foundation Board Meeting
## February 25-27, 2013
## New York City

**Monday, February 25**

6:30 p.m. Board Dinner: The Lotos Club

Lodging: The Lotos Club, 5 East 66th Street, New York 10065
Phone: 212-737-7100

**Tuesday, February 26**

7:00 a.m. Complimentary breakfast in the Grill Room at The Lotos
(See 2/26 agenda)

8:30 a.m. Board Meeting: Council on Foreign Relations
58 East 68th Street, NY, NY 10065 (An easy walk from The Lotos)
Phone: 212-434-9400

12 Noon Buffet lunch 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
(Continental breakfast available at CFR)

8:00 a.m. Board Meeting: Council on Foreign Relations

12 Noon Adjournment of Board Meeting

**Robina Foundation Board Meeting**
**Tuesday, February 26, 2013**
**8:00 a.m. to 4:00 p.m.**
**Offices of Council on Foreign Relations**

**A G E N D A**

| TIME | | TAB |
|---|---|---|
| 8:30 a.m. | **Welcome /Call to Order/Introductions** – Crosby | |
| 8:35 a.m. | **Discussion of Robina's Future Grantmaking** – Hunt<br>• Robina Foundation Grants – Current Status<br>• Future Grantmaking Discussions: Background and Outline<br>• Big Ideas for Future Grantmaking (Blue Folder from 11/13/12 meeting)<br>➢ From Robina Grantees<br>➢ From Board Members | 1 |
| 12 noon | **Lunch** (buffet provided just outside meeting room)<br>• Guests: Richard Haass, Jim Lindsay, Stewart Patrick, Suzanne Helm | |
| 1:00 p.m. | **CFR – Guests: Richard Haass, James Lindsay, Stewart Patrick**<br>• CFR: *IIGG* - Six-Month Report<br>• CFR: *Expanded Diversity Initiative* - Annual Report<br>• CFR: *Diversity Profile* | 2<br>3<br>4 |
| 4:00 p.m. | **Adjournment** | |

Possible attendance at a Council on Foreign Relations meeting on Tuesday (2/26) re:

**"The Presidential Inbox: The Global Economy"**
7:45 - 8:00 a.m. Breakfast
8:00 - 9:00 a.m. Meeting (to end promptly at 9:00 a.m.)

**Robina Foundation Board Meeting**
**Wednesday, February 27, 2013**
**8:00 a.m. to 12 noon**
**Offices of Council on Foreign Relations**

**A G E N D A**

| TIME | | TAB |
|---|---|---|
| 8:00 a.m. | **Welcome and Call to Order** – Crosby | |
| 8:10 a.m. | **Minutes of November 13, 2012 Board Meeting** – Berresford – Action | **5** |
| 8:20 a.m. | **Executive Director's Report –** Hunt | **6** |
| 8:30 a.m. | **Treasurer's Report –** Crosby<br>• Assets and Grants<br>• Assets Detail<br>• Reports<br>➢ JP Morgan: Current Residuary Assets<br>➢ Quarterly Financial Report from Mike Sullivan<br>➢ 2012 Unaudited Report from CBIZ<br>• 2013 Operating Budget – Hunt - Action<br><br>**Legal Report –** Crosby<br>• Status of IRS Settlement | **7** |
| 9:00 a.m. | **Grant Proposal**<br>• University of Minnesota: *Sentencing Law and Policy Program Enhancements* - Action<br>➢ Original Request (from 11/13/12 Meeting)<br>➢ Wippman Letter: U Priorities<br>➢ Outside Reviews<br>• *LaPPS* Research Chairs Funding | **8** |
| 9:30 a.m. | **Grant Reports -** Hunt<br>• Abbott: *Life Course* - Annual Report<br><br>• Yale School of Drama: *Binger Center for New Theatre* - Six-Month Report | **9**<br><br>**10** |
| 10:00 a.m. | **Other Business**<br>• Future Board Meeting Dates: May 14 (9:30-11:00 a.m. CST), August 12-14 (Minneapolis), November 12 (10 – Noon CST) | |
| 12 Noon | **Adjournment** | |

1 DISCUSSION OF ROBINA'S FUTURE GRANTMAKING

2 COUNCIL ON FOREIGN RELATIONS
Guests: Haass, Lindsay, Patrick

3 CFRs "IIGG" Six-Month Report

4 CFRs "Expanded Diversity" Annual Report

5 MINUTES
NOVEMBER 13, 2012

6 EXECUTIVE DIRECTOR'S REPORT

7 TREASURER'S REPORT
LEGAL REPORT

8 GRANT PROPOSAL
University of Minnesota

9 GRANT REPORT
Abbott "Life Course" Annual Report

10 GRANT REPORT
YSD "Binger Center for New Theatre"
Six-Month Report

AVERY READY INDEX

## ROBINA FOUNDATION GRANTS

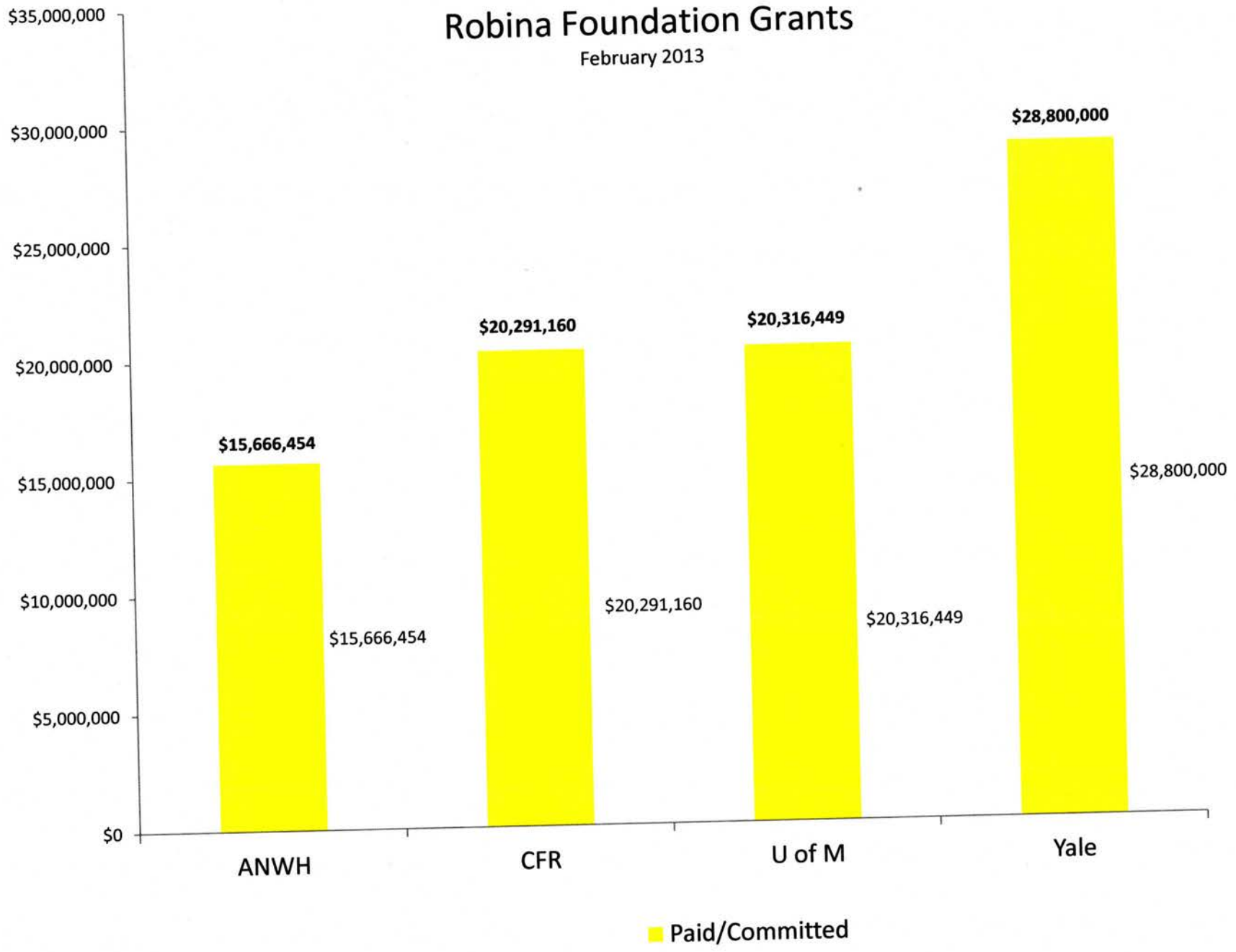
| | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 | 2017 | 2018 | 2019 | 2020 | 2021 | TOTAL |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **ANWH** | | | | | | | | | | | | | | | |
| Care Guides | 1,253,535 | 2,373,233 | 2,373,232 | | | | | | | | | | | | 6,000,000 |
| Late Life Supportive Care Phase I | | | | | 2,356,696 | 4,245,492 | 3,064,266 | | | | | | | | 9,666,454 |
| Late Life Supportive Care Phase II | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | **ANWH Total** | **15,666,454** |
| **CFR** | | | | | | | | | | | | | | | |
| IIGG | 2,000,000 | 2,000,000 | 2,000,000 | 2,000,000 | 2,046,627 | 2,034,671 | 2,034,971 | 2,074,424 | 2,114,664 | | | | | | 18,305,357 |
| Online Video Project | | | | 419,750 | 276,805 | | | | | | | | | | 696,555 |
| Expanded Diversity Initiative | | | | 15,000 | 377,034 | 426,492 | 470,722 | | | | | | | | 1,289,248 |
| | | | | | | | | | | | | | | **CFR Total** | **20,291,160** |
| **U of M** | | | | | | | | | | | | | | | |
| LaPPS | 1,400,000 | 1,436,750 | 1,480,338 | 2,850,854 | 893,457 | | | | | | | | | | 8,061,399 |
| Institute of Criminal Law & Justice | | | | | 847,190 | 1,494,134 | 1,750,900 | 1,771,752 | 1,639,451 | | | | | | 7,503,427 |
| Institute of Criminal Law & Justice | | | | | | | | | | | | | | | |
| Scholarships | | | | | 250,000 | 250,000 | 250,000 | 250,000 | 250,000 | | | | | | 1,250,000 |
| Public Interest Scholars | | | | | 379,800 | 694,544 | 809,355 | 813,736 | 804,188 | | | | | | 3,501,623 |
| | | | | | | | | | | | | | | **U of M Total** | **20,316,449** |
| YALE | | | | | | | | | | | | | | | |
| **Yale Drama** | | | | | | | | | | | | | | | |
| CNT | 750,000 | 750,000 | 1,350,000 | 950,000 | 18,000,000 | | | | | | | | | | 21,800,000 |
| | | | | | | | | | | | | | | | |
| **Yale Law** | | | | | | | | | | | | | | | |
| Human Rights | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | 1,000,000 | | | | | | | | 7,000,000 |
| | | | | | | | | | | | | | | **Yale Total** | **28,800,000** |
| **TOTAL** | **6,403,535** | **7,559,983** | **8,203,570** | **7,235,604** | **26,427,609** | **10,145,333** | **9,380,214** | **4,909,912** | **4,808,303** | | | | | | **85,074,063** |
| | | | | | | | | | | | | | | | |
| **YEAR END NET ASSETS*** | | | | **120,827,000** | **100,568,259** | **95,693,220** | **90,874,456** | **90,071,375** | **89,757,992** | | | | | | |

**Grants Paid/Committed**

BOD Mtg February 26, 2013

*Estimated by Mike Sullivan based upon the projected grant programs and using asset allocation and assumed return assumptions.

(Further detail in Sullivan's report at Tab 7)


Robina Foundation Grants
February 2013
$35,000,000
$30,000,000
$25,000,000
$20,000,000
$15,000,000
$10,000,000
$5,000,000
$0
$15,666,454
$20,291,160
$20,316,449
$28,800,000
$15,666,454
$20,291,160
$20,316,449
$28,800,000
ANWH
CFR
U of M
Yale
Paid/Committed

# ROBINA FOUNDATION
# Future Grantmaking Discussion
# February 26, 2013

**Goal:** Engage in a spirited, freewheeling discussion of Robina's grantmaking to help set the course for the Foundation's future.

**Background:**
From time to time since the beginning of the Foundation, Robina Foundation Board Members have held discussions to plan and chart the work of the Foundation. These discussions resulted in:

- Planning grants to begin the Foundation's work with the four Robina Grantees.

- A framework for the Foundation's grantmaking describing the Foundation's grantmaking style, purpose, restrictions, etc. (Attachment 1 – 2/23/10 document)

- The Board's decision in August 2010 that the Robina Foundation is a foundation of limited duration with a time horizon ending not later than December 31, 2025, subject to earlier termination if the Foundation identifies programs that merit larger grants during a shorter period of time to achieve maximum impact.

- Board approval in February 2011 of a "Framework" for the Foundation.

- Refinement of the Foundation's "Framework" following "Unstructured Board Discussion of Grantmaking" in August 2011. (Attachment 2) Transmittal of Framework to Robina Grantees.

- In 2011, approval of Phase 2 multi-year grants, including support for a major new initiative at ANWH / Allina.

- Board Members' request in February 2012 that a portion of August 2012 and/or February 2013 Board Meeting(s) be set aside to brainstorm options/approaches for the future.

  (The decision to set aside additional time for brainstorming followed a Board discussion that confirmed that the Foundation will not seek parity in the grants to Robina Grantees and included the following ideas:
  - The need to not just "go with the flow," but rather to think more intentionally/strategically to find an approach or approaches with the potential for truly transformational grantmaking;

- The opportunity to re-visit possibilities for a "common theme" among the work of Robina Grantees;
- Opportunities to push and explore collaboration among multiple Robina Grantees;
- The freedom permitted by Robina Bylaws to fund a variety of opportunities at Robina Grantees.)

- The Board's decision in February 2012 to endow the Binger Center for New Theatre at Yale School of Drama.

- The Board's decision in August 2012 to ask Robina Grantees and Board Members to submit "big, bold ideas" for the Foundation's future grant program.

**Current Status:**
Robina Grantees and Board Members responded with "Big Ideas for Future Grantmaking" contained in the Blue Binder. At the November 2012 Board Meeting, Board Members' discussion focused on the following:

ANWH: although no new programmatic ideas were put forth, Board Members found the conceptual framework for Robina grantmaking interesting and the description of the model for changes in the health care system solid.
CFR: CFR involvement in Global Health and Climate Change might interest the Board, subject to information on how CFR would work with others involved in these areas. Additional funding of IIGG may also make sense.
University of Minnesota: Binger Center for New Americans holds some interest, particularly if the Foundation wants to leave a Binger legacy in the Twin Cities, but need clearer articulation of the vision for the center and its potential impact beyond the Law School.
Yale: Of the six ideas put forth by Yale, continued support of Yale Law School along with funding for Yale School of Management hold the most interest.

While Board Members expressed interest in these ideas and asked for follow-up in several areas, Board Members decided to step back and dedicate time at the February 2013 meeting for a thorough internal Board discussion of the future direction of the Foundation.

# ROBINA FOUNDATION

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

**VISION:** The vision of the Robina Foundation is to ensure excellence at the four named institutions and to use the individual and collective resources of those institutions to make a significant difference in critical societal issues.

*Consistent with the above mission and vision, the Robina Foundation supports innovative, forward-thinking, and practical projects at the four named institutions that promise to have a significant and long-term positive impact on the institutions and on society. The Robina Foundation is especially interested in major initiatives that have the potential to transform the involved institutions and from which new insights and solutions to critical problems may emerge.*

***VALUES:*** *Innovations, Creativity, Forward-Thinking, Ambitious, Practical*
*(Source: Draft Vision and Values prepared by Joanne Duhl of TPI following the February 2007 Robina Foundation Board Retreat)*

**GOALS:**

- Positively impact critical social issues by encouraging innovation at select institutions
- Foster the development of new ideas and models that have the potential to significantly improve both the selected institutions and the larger society in which we live. *(Source: Extracted from Bylaws)*

**GRANTMAKING:**

- **Style**
  - Proactive
  - Forward-thinking
  - Collaborative
  - Opportunistic – ready to help get something over the "tipping point"
  - Open to taking risks and funding things that others will not
  - Focused on building long-term, productive relationships with institutions
  - Grants awarded competitively based on merit and alignment with Robina mission/priorities
- **Purpose**
  - Support the development of creative, original ideas at institutions
  - Build the capacity of institutions
  - Positively impact the institution on an important social issue
- **Requirements**
  - Proposals must be in alignment with institution's long-range plans and priorities
  - Grantee must be able to articulate and measure the significant change(s) that will come about as a result of the grant

- **Preferences**
  - Major projects or initiatives
- **Restrictions**
  - No general operating support
  - No capital/bricks and mortar
  - No replacement funding for lapsed grants
- **Terms of Grants**
  - No specific limit on the number of years Robina will support one proposal
- **Proposal Review Process**
  - Board members with insight/expertise involved in specific reviews
  - Consultants hired to conduct more in-depth review as needed
- **Monitoring and Evaluation**
  - Benchmarks for measuring progress of each grant will be established

*(Source: "Highlights of Grantmaking Discussion at Board Retreat – 2/20/07" included in Board Book for 4/25/07 board meeting)*

## GRANTEE MONITORING / ANNUAL REPORTING REQUIREMENTS:

### Questions for grantees to address

- Benchmarks – Please provide a summary of your activities to date and describe how these activities relate to/help achieve the ultimate goal/purpose of the program;
- Challenges – What challenges have you faced in carrying out the program? What have been the causes of these challenges and how have they been addressed?
- Finances – Please provide an accounting of expenditures to date compared to the original budget. A narrative explanation should be included for any significant line item differences between the original budget and actual expenditures (i.e. differences that are more than 10%)
- Staffing – Provide an overview of how the program is staffed; noting any significant changes or developments.
- Leverage – Has the program leveraged any additional planned or unplanned support or attention from within or outside of your institution? If so, please describe.

### Monitoring

- Grants will be formally monitored by staff on an annual basis
- Written responses to the above questions should be received and reviewed prior to the payment of the next scheduled grant installment.
- Staff and board members, as appropriate, will hold annual sit-down meetings with grantees to discuss progress.
- The principals of the four grantee institutions should meet with the full Board on a somewhat regular basis.

*(Source: Minutes of August 2008 Board Meeting)*

**Annual Evaluation Report Guidelines (Questions to accompany letter requesting annual report):**

1. Briefly outline your original goals and objectives as stated in your proposal.
2. Please summarize your progress in meeting these goals and objectives, and describe how your activities relate to achieving the ultimate goal/purpose of the program.
3. Were there any unanticipated results, either positive or negative? What have you learned? Will you make any changes based on these results?
4. What are your plans to share your results or findings?
5. Please attach an income and expense statement for this grant period. Also, include your original budget. A narrative explanation should be included for any line item differences between the original budget and actual expenses.
6. Please distinguish the work funded by the Robina Grant from your roader, ongoing work on the subject. Also include a list of additional funders (if any), including amounts received, for this program.
7. What is the single most creative idea that has come out of this program?

*(Source: Minutes of May 2009 Board Meeting)*

**Board of Directors Meeting 2/23/10**

# ROBINA FOUNDATION

## FRAMEWORK

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

**GOALS:**

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

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

**FOUNDATION ASSETS AND GRANTS BUDGET:** The Foundation's initial assets approximate $150 million. While the Foundation's annual grants budget will depend on the size of grant proposals approved, equal expenditures during a 15 year term of the Foundation might result in annual expenditures of approximately $11 million.

## GRANT PROGRAM

**2005 - 2006: PLANNING GRANTS**

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

## 2008 - 2012: MULTI-YEAR GRANTS

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

## 2012 and BEYOND

### MULTI-YEAR GRANTS

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

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

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

**Requirements:**

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

- Proposals should describe how the program will be sustained following the term of the Robina Foundation grant.

**Grant Size and Duration:**

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

**Restrictions:** The Foundation does not ordinarily provide:

- General operating support
- Grants for capital projects or endowments

## DISCRETIONARY GRANTS

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

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

## ROBINA FOUNDATION MONITORING

**Written Reports:**

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

**Site Visits:**

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

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

T5 = 10:30

# OUTLINE FOR BOARD DISCUSSION

**What principles should guide the Foundation and its future grantmaking?** (30 minutes)

- Imp. issue - strat - cap + resources
- Shorten life-span
- Legacy
- Sign. challenging enemy
- Communications
- Educated big bets
- 1 or 2 large bets
- Transformative
- Equity + principle
- Honor Jim's desig of RF

**What ideas – old or new – fit the Foundation's agreed-upon principles?**

**Exploration of possible future scenarios.** (45 minutes)

- YLS - Humanities
- ANWH - Health Care End of life
- Berger Center - Bet on creative young people.

**Break** (15 minutes)

**What are the options for the future of the Foundation?** (30 – 45 minutes)

1. Award?
2. Name on something in NYC
3. End of life
4. HofM - Big Bet? Berger Center - re-think Maybe fund pilot Ask Iaw funds to put in $100K/yr.

**What are the issues the Board must address in order to move forward?** (30 minutes)

**Next steps / timing?** (30 minutes)

Yale Gift
- Excell. of school
- Vision of FB - ability to exer.
- Promise of propelling new ideas.
- Simple prod.
- No others

Criminal Law
- Issue is in play

4 of M
Prob. not positioned to be trans.

SS

- May have to have separate tracks.
- Conf. doing other things that are big.
  - Yale + U of M - tog. on Crim law
  - ANW - Diane M. - Ud be dissemination arm.

PK

ANWH } able to deliver
Yale }

KB

ANWH - doesn't have as much conf.

PK

What do we do to one. capacity of U of M.

- Bingeri Centr (rel. w/ Yale?)

Issue * (Imm) - trans. Issue?

Peter Karoff - Draft January 31, 2013

To the Robina Board – what follows are some ideas, and a possible template to consider them. It is now your turn!

## Scenarios for the Robina Foundation

> From the OED – Scenario- a description of an imagined or a postulated sequence of events: an outline of an intended course of action.

Assumptions:

Something with the potential to be transformational in a field or issue area that would have excited Jim Binger

A big bet - $50+ million investment over five years to seven years

Connects directly to the resources/capacity of one, or more than one, of the four Robina institutional recipients, and builds out from those resources

Robina investment matched by major institutional commitment and support – all-in one way or another - funds, faculty, staff, reputation/ brand, influence, convening power, networks

Use of expert advisors, collaboration with others, or within networks, broad enough to achieve systemic change

Rigorous measurement and evaluation of impact – funded by Robina

May require dedicated Robina Advisory Baord(s), staff/consultant, or use of an intermediary organization (Robert Wood Johnson (project offices) or Ford (LISC) models)

Has the goal of sustainability beyond Robina funding

Other assumptions are to be determined

**Scenario One** – Over the next ten years, Abbott Northwestern/Allina Health systems becomes a model regional health care system that makes patients and families the drivers in their health journey, and helps transform the traditional business model upon which health care is founded – one that reimburses nearly solely on 'sick care' and volume of services. In addition, Abbott/Allina becomes a national convener of a network of others with similar goals.

Robina makes a $50 million commitment to be matched one-to-one by Abbott/Allina for a total investment of $100 million.

The agreement to be negotiated has Abbott/Allina funds primarily used for program development, direct care, training, service delivery, and monitoring. Abbott/Allina develops a business plan that includes many of the elements in 29 October 2012 letter from Dr. Penny Wheeler to the Robina Foundation board (tab 2 of Big Ideas).

Robina funds will be used in several ways with the allocation to be determined:

1) Fund supplement program development direct care, training and service based on negotiated parameters
2) Fund expert consultation as needed and independent evaluation and measurement of results with publications according to medical norms
3) Fund creation, support and convening of a national network of other hospitals and health systems with similar goals. As an alternative to, or in addition to, provide funding and collaborate with an existing network with aligned goals in the health care system.
4) Fund media, social marketing and advocacy with the insurance industry, state and local government
5) Provide seed funding for other hospitals and health systems, with a special focus in Minnesota and the region, to develop similar models
6) Fund the exploration and implications of the legal and human rights aspects that flow from the changes within the new Abbott/Allina model working with both University of Minnesota Law School, and Yale Law School.

Comments:

The overall vision is very broad – it could be compressed to for example, "end of life care," or another specific aspect of medical care.

The above is more than a grant and closer to an operating project. At minimum, Robina will need to create an active project Advisory Board. Depending on what role, if any, cannot be played by Abbott/Allina, and what oversight role is reasonable for the Robina Board to play, Robina may need additional professional staff to represents its interests.

**Scenario Two - The James Binger Center for International Legal Education** is created. The Binger Center primary areas of focus are international human rights and humanitarian law with the goal of closing the gap between America's belief that all humans have certain inalienable rights, and the limited understanding of the U.S court and legal system about the sources, nature, and function of international law. The Center will be a joint project of the University of Minnesota Law School, and Yale Law School, with one of these institutions designated as the lead manager. In addition, the Binger Center aims to become a national convener of other law schools interested in similar and related issues.

Robina makes a $50 million commitment to establish the Center, of which $25 million will be utilized for operating funds over a five to seven year period, and $25 million as endowment funds to be matched one-to-one by the institution(s) for a total initial investment of $75 million.

Guided by an expert Advisory Board, the foundation will develop a request-for-proposal process that establishes goals, and allocates funding and responsibilities between UMLS and YLS, one of which will become the lead manager and administrative home of the Center. The RFP will be informed by the Robina experience funding human rights work at YLS, and by the August 10, 2009 report to Robina on the field of human rights prepared by Barbara Frey & Garth Meintjes. Robina may also commission additional research.

Robina funds could be used in the following ways – see pages 9-10 of tab 4 in Big Ideas, and pages 27-39 of the Frey/Meintjes report:

1) Training of lawyers and judges
2) Development of law school curricula on international law and its application in domestic cases
3) Provide core support to sustain clinical courses in human rights issues and areas
4) Create opportunities for internships, and post-graduate study in international human rights and humanitarian law
5) Support placements of graduate students and post-graduate students in human rights organizations
6) Support fellowships to host international law experts
7) Continuation of existing Robina programs at YLS
8) Endow faculty positions
9) Fund a network of law schools with similar goals to the Center

Comments:

One of the attractions to this scenario is that it would invest in both UMLS & YLS, draw upon their interests and faculty strengths, and potentially impact change in other law schools.

If James Silk were interested in being the Director of the proposed Center, it would count a great deal in selecting YLS as the lead, 'if' YLS would have an interest.

## Scenario Three and Beyond!

There are many variations on the above two scenarios. And many others scenarios that could be developed -for example:

**The James Binger Center on Human Rights and Migration**

There is going to be major immigration legislation in the U.S., probably as early as this year, with extraordinary implications for the society as a whole, and Minnesota in particular. These include a wide range of legal, human rights, and health implications. All of the Robina institutions, especially UMLS, YLS, and Abbott/Allina, could greatly contribute.

Kathleen has suggested a major focus on human trafficking. The Frey/Meintjes report suggested other possibilities – The Right to Health, and National Security and Human Rights.

All of these are interesting.

What do you think? And what do we, as a board, think?

# ROBINA FOUNDATION

**TO:** **Robina Board of Directors**

**FROM:** **Penny Hunt**

**RE:** **Discussion with CFR**

Richard Haass, Jim Lindsay and Stewart Patrick will attend the Board Meeting to discuss the various CFR programs funded by the Robina Foundation. The discussion will include information related to reports submitted on the *IIGG* initiative and the *Expanded Diversity Initiative*, which follow.

In addition, I have asked Richard, Jim and Stewart to talk with the Board about CFR's proposed "Global Health Program" (see Tab 2 in the Blue Folder), specifically how CFR's program would relate to the work of other foundations' global health initiatives, as well as CFR's work – or potential work - in the area of climate change. During the discussion of "big ideas" at the November Board Meeting, Board Members expressed interest in these two areas.

**To prepare for our discussion with CFR, review of the following will be very helpful:**

CFR's website www.cfr.org: The main website contains numerous interesting articles and videos, including a video of Hillary Rodham Clinton's recent speech at CFR. In her speech, you'll hear many of the ideas underpinning IIGG and the work of the IIGG initiative. Her remarks could have been taken from the IIGG playbook!

The IIGG website: www.cfr.org/thinktank/iigg/ (or, search International Institutions Global Governance on the main page of cfr.org.) Review in particular the IIGG projects listed at the left of the page:

- Council of Councils: Richard will talk about the work of the Council since the inaugural meeting last March. (This year's meeting will be held March 11 and 12.)

- Global Governance Monitor: The information on "Public Health" and "Climate Change" is relevant to our discussion with CFR about those two topics. The section on "Human Rights" is of interest, as well. (Additional information on CFR's work on Public Health and Climate Change can be found elsewhere on the IIGG website.)

Richard attended the recent annual meeting of the World Economic Forum, so we may want to ask him to talk about key issues discussed there. I have also encouraged CFR to talk about emerging issues for CFR to give us a broad view of opportunities for Robina funding.

cfr

**Richard N. Haass**

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

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

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

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

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

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**James M. Lindsay**

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

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

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

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

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**Stewart M. Patrick**

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

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

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

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

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

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**Suzanne Helm**

Suzanne Helm is the Vice President at the Council on Foreign Relations. Her arrival in September 2005 followed twenty years of dedicated experience in not-for-profit fundraising.

Before coming to the Council, Helm was director of alumni and development at the Potomac School in McLean, VA, a nationally rated K-12 independent school, where she was responsible for coordination and oversight of all fundraising and alumni activities. While there, she oversaw the launch of a three-year, $50 million comprehensive campaign, surpassing the phase-one goal of $20 million in just seven months. Additionally, her department managed the school's 2004-05 year-long Centennial Celebration during which annual giving reached a record level of $1.5 million, and participation in alumni programs more than doubled.

Helm began her career in higher education, working in admissions, communications, and development positions at Roanoke College and the University of Virginia. From 1987 until 2001 she served in the external affairs office of the Brookings Institution, where her duties ranged from managing corporate and individual fundraising to board activities and communications. While there she coordinated Brookings' 75th anniversary campaign and gala celebration. She also served as vice president for external affairs at the Gettysburg National Battlefield Museum Foundation from 2001 until joining The Potomac School in June of 2002.

A native of Towson, MD, she holds a B.A. from of the University of Virginia and is a member of the Council for Advancement and Support of Education. She currently serves as chair of the development committee of the Association of Independent Schools of Greater Washington.

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***International Institutions and Global Governance Program***

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February 11, 2013

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

Dear Penny,

It is my pleasure to provide you and the Robina board with this semiannual update from the International Institutions and Global Governance (IIGG) program at the Council on Foreign Relations (CFR) for activities undertaken from July 1, 2012, to December 31, 2012.

IIGG continues to have great success advancing its core mandate: promoting effective multilateral responses to combat the world's most daunting challenges. Through cutting-edge publications, an expanding array of global partnerships, and award-winning multimedia, IIGG shaped official thinking and policymaking at home and abroad, influenced teaching at major universities, and reached new audiences around the world.

A few highlights from the past six months: The pathbreaking meetings and publications that IIGG sponsored in the second half of 2012 on stemming the global production and sale of substandard food and counterfeit medicines continued to resonate with policymakers. Dr. Margaret Hamburg, the director of the Food and Drug Administration, approached IIGG director Stewart Patrick directly to help her brainstorm ideas on fostering multilateral cooperation in safeguarding global supplies of food and medicine. Meanwhile, a new IIGG Policy Innovation Memorandum by Mark Lagon, adjunct senior fellow for human rights, that proposed establishing a Global Trust for Rule of Law to assist developing countries build their rule of law capacity attracted wide attention from U.S. and international policymakers. Organizations such as Freedom House, the UN Foundation, and the American Bar Association Rule of Law Initiative have all endorsed the idea.

Throughout the second half of 2012, IIGG also expanded its pioneering Council of Councils (CoC) initiative by holding the first two CoC regional conferences. In Singapore in October and in Moscow in December, CoC members, current and former officials, and other invited guests met to discuss global problems from unique regional perspectives. In preparation for the Moscow conference, IIGG solicited recommendations from fourteen CoC experts on what priorities should guide the Kremlin during Russia's chairmanship of the Group of Twenty (G20) that began on December 1, 2012. Senior Russian officials participated in the

meeting and, as a result, the CoC proposals were circulated widely in Russian policymaking circles. And in July 2012, IIGG joined in a unique partnership with Google Ideas—the think/do tank of Google, Inc.—and the Tribeca Film Festival to cosponsor a high-level summit in Los Angeles on the role of technology in combating transnational crime. The event highlighted the untapped potential for information technology and multilateral cooperation to empower governments and citizens, and thwart criminal networks. The summit attracted government officials, business leaders, and other opinion shapers.

Finally, IIGG continued to set the standard in multimedia. It released the latest installment of the award-winning Global Governance Monitor (GGM). The topic was transnational crime, and the GGM was prominently displayed at the Google Ideas conference. The previous installments of the GGM on human rights and armed conflict received two more Davey Awards and two W3 Awards for online creativity. In all, IIGG products were honored with a total of twenty-two multimedia awards in 2012. The GGM, along with other IIGG publications, is now used widely at colleges and universities around the country, influencing the next generation of foreign policy thinkers.

IIGG will build on these successes over the next six months by releasing new publications, deepening partnerships, and expanding its multimedia offerings. IIGG will develop its relationship with the Food and Drug Administration to generate creative ideas on how to secure the global supply chain for food and drugs, and look to extend this model of collaboration to other government agencies. In March, CFR will hold the second annual CoC conference in Washington, DC. Soon after, IIGG will release an entirely new multimedia product: the Global Governance Report Card. It will evaluate how major countries and institutions have fared in addressing the major transnational threats of the twenty-first century. In June, IIGG will host a conference in Jakarta to explore the rise of Indonesia as a regional (and potentially global) power, and assess the future of regionalism in Southeast Asia. Finally, IIGG will launch a crosscutting initiative on "Managing the Contested Commons." This innovative series of workshops and publications, envisioned to continue into the next fiscal year, will examine the obstacles to and opportunities for crafting more effective rules to govern oceans, outer space, and cyberspace. As with all IIGG projects, the goal will be to generate creative ideas that break through existing bottlenecks and forge new partnerships for robust multilateral cooperation.

CFR remains grateful for the trust the Robina Foundation has placed in the IIGG program with its generous funding, and is especially appreciative of the renewed grant.

Warm regards and best wishes,

Stewart Patrick

Stewart Patrick
Director and Senior Fellow
spatrick@cfr.org

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***International Institutions and Global Governance Program***

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**International Institutions and Global Governance: World Order in the Twenty-First Century**
A Program of the Council on Foreign Relations
**UPDATE:** July 1, 2012–December 31, 2012

Over the past six months, the International Institutions and Global Governance (IIGG) program advanced its core objectives of generating dialogue on major global governance issues and proposing effective multilateral solutions to address the gravest challenges of the twenty-first century. To achieve these goals, the IIGG program pursued a multifaceted strategy: forming innovative partnerships, producing cutting-edge publications and interactive multimedia products, and sponsoring high-level events. Collectively, these activities had a transformative impact on policymakers, scholars, experts, and students who turned to IIGG to shape foreign policy discourse, influence government planning, and learn about critical global governance issues. For a full list of IIGG activities from July 1, 2012, to December 31, 2012, please refer to the attached annex.

One of IIGG's foremost achievements was the expansion of its marquee initiative, the Council of Councils (CoC). Launched in March 2012, the CoC underscores IIGG's pioneering effort to link leading foreign policy institutions around the world in a common conversation on how to combat shared threats and build support for innovative solutions. During the reporting period, the CoC held two regional conferences that convened members from Asia, Europe, Africa, Australia, and the Americas. The robust participation of the CoC membership at the two regional conferences demonstrates both the appeal of the CoC network and the value of the discussions for its members.

The first conference, "Asia at the Crossroads: Regional Priorities for the Twenty-First Century," was co-sponsored with the S. Rajaratnam School of International Studies in Singapore. The meeting explored governance issues from a distinctive Asian perspective. Participants examined regional security challenges, particularly the simmering maritime and territorial disputes in the South China Sea and the East China Sea. Beyond convening seventeen organizations, the conference featured keynote addresses by the Singaporean minister for foreign affairs and minister for law, K. Shanmugam, and Professor Tommy Koh, chairman of the Centre for International Law at the National University of Singapore. The second regional conference, "Russia, Europe, and the Future of Global Governance," cosponsored with the Institute of Contemporary Development in Moscow, delved into contemporary issues facing Russia, and Europe more broadly, in order to provide ideas to senior Russian officials immediately after Russia assumed the Group of Twenty (G20) chairmanship on December 1, 2013. The meeting featured keynote addresses by Ksenia Yudaeva, the official spearheading Russia's G20 effort, and Alexey Kudrin, the former Russian finance minister. Ahead of the conference, IIGG solicited and compiled insightful opinion pieces from fourteen CoC experts on the G20's

What are key issues for G20?

recent performance, main challenges, and potential future. The resulting compendium of memoranda was circulated widely in Moscow, including with Ms. Yudaeva, her negotiating team, and Russian finance ministry officials.

Over the course of the reporting period, IIGG also sought to deepen and enhance the exchange of views among CoC members by publishing the online forum, "Global Roundup." The forum, published monthly on CFR.org, provided an opportunity for experts at CoC member organizations to weigh in with their perspectives on major multilateral challenges in the news. These monthly installments, which culminated with a year-end roundup that featured leaders from five member institutions speculating on what international challenges the world would confront in 2013, elevated and enriched the dialogue on global governance issues. Overall, the Global Roundup analyses produced fresh perspectives on a range of cutting-edge issues that enabled readers to see where experts staked out common ground and where they disagreed.

Even as it expanded its global connections, IIGG continued to provide a platform for both U.S. and foreign leaders to interact with CFR's influential membership in New York, Washington, and around the country. During the past six months, IIGG worked with CFR's Meetings Department to sponsor several high-profile events that attracted considerable media attention. These included a conference cosponsored with the U.S. Holocaust Memorial Museum on preventing mass atrocities, which featured a keynote address by Secretary of State Hillary Clinton. A few months later, IIGG responded to the dramatic release of the Nobel Prize laureate and human rights activist Aung San Suu Kyi by hosting her first on-the-record video conversation after her release from house arrest and twenty-four hours before Secretary Clinton visited her. In New York, meanwhile, IIGG sponsored a meeting with the secretary-general of NATO, Anders Fogh Rasmussen, who defended the enduring importance of the alliance to Western security, even as NATO prepares to wind down operations in Afghanistan. These were just some of forty events that IIGG sponsored during the last six months of 2012.

Beyond hosting timely meetings, IIGG worked to highlight complex, yet often neglected, transnational issues that require effective and timely multilateral action. In particular, over the last six months, IIGG examined the threats posed by transnational organized crime through a number of path breaking initiatives.

First, IIGG played a critical role in shaping and organizing a landmark summit that explored the untapped potential of technology to expose, map, and disrupt transnational illicit networks. Cosponsored by Google Ideas, Tribeca Film Festival, and CFR, the Illicit Networks: Forces in Opposition (INFO) Summit convened two hundred participants from a broad range of backgrounds and experiences, including government officials, human trafficking survivors, North Korean defectors, technology and engineering leaders, and port security experts. Speakers included the secretary-general of Interpol, Ronald Noble, former U.S. secretary of homeland security Michael Chertoff, and Google executive chairman Eric Schmidt. In his closing remarks, CFR Senior Fellow Stewart Patrick argued that illicit networks are "too massive, too complex" for any one country to handle alone, and "successful approaches will require more effective multilateral cooperation in partnership with the private sector and civil society." The INFO Summit was covered by major news outlets such as the *Guardian* and Reuters, and Patrick was featured on the Spanish-language news channel NTN-24.

Second, IIGG launched the ninth installment of its award-winning multimedia interactive, the Global Governance Monitor. The topic was transnational crime. The new GGM reveals gaps in the international anticrime system and provides specific policy recommendations for combating crime. It also finds that

authorities struggle to keep up with nimble criminal networks empowered by advanced technology, and that efforts to enhance global law enforcement and judicial cooperation remain fragmented.

IIGG promoted the transnational crime GGM at the INFO Summit by hosting a booth that allowed participants to explore its various components, including a mini-documentary on transnational crime (showcased on loop) that generated immense interest. The director of Google Ideas, Jared Cohen—who has almost three hundred thousand Twitter followers—tweeted about the GGM, as did the Korean ambassador to Japan, the U.S. State Department Bureau of Conflict and Stabilization Operations, and the U.S. Mission to the United Nations in Vienna. As a result of such efforts, the crime component attracted significant followings on various social media platforms. Finally, Lieutenant General Guy C. Swan III, former commanding general of U.S. Army NORTHCOM, who works with Mexican military counterparts in the fight against transnational crime, reached out to Stewart Patrick thanking IIGG for its valuable recommendations.

Partly as a result of the new installment on transnational crime, the GGM received more than 45,000 unique page visits during the reporting period. Overall, the GGM has attracted 245,000 page visits since its launch in 2009. The GGM was also recognized with two silver Davey awards for education for the installments on armed conflict and human rights, and two silver W3 awards for education for the installments on armed conflict and terrorism. The Davey and W3 Awards honor excellence in creative products from the best small organizations and outstanding creativity on the web, respectively.

IIGG's contributions to innovative thinking about global governance extended beyond its multimedia offerings. Over the past six months, IIGG published several provocative pieces on multilateral cooperation that challenged conventional wisdom, proposed new institutional innovations, and helped reframe the conversation among policymakers about the U.S. global role. In choosing these policy topics, IIGG sought to enliven tired debates by injecting new thinking, helping policymakers think about old problems in new ways.

One of the major stumbling blocks to global development and political freedom, IIGG recognized, is an absence of the rule of law. To address this gap, Mark Lagon, adjunct senior fellow for human rights, proposed the creation of a Global Trust for Rule of Law, in a CFR Policy Innovation Memorandum. His memorandum calls on the United States to create a new international partnership, that—by leveraging the collective weight of the public, private, and nonprofit sectors—could provide seed money to help developing nations build their the rule of law capacity. This IIGG memorandum attracted wide attention from U.S. and international policymakers, as well as endorsement from associations like Freedom House, the UN Foundation, and the American Bar Association Rule of Law Initiative.

IIGG was also at the forefront of new thinking about the growing dangers to public health posed by counterfeit medicines and unsafe food in an age of globalization. Under IIGG auspices, Senior Fellow for Global Health Laurie Garrett hosted meetings and published articles exploring how the United States and international partners might secure global supply chains. These conversations brought together—sometimes for the first time—experts in public health, infectious disease, agriculture, industry, trade, transportation, finance and national security. In the aftermath of this effort, the administrator of the Food and Drug Administration, Dr. Margaret Hamburg, emailed IIGG director Stewart Patrick to ask for his assistance in brainstorming about how her agency could foster multilateral cooperation in safeguarding global supplies of food and medicine.

IIGG also helped policymakers interpret the lessons of recent international crises and to think more creatively about how the United States should continue to lead multilateral cooperation in an era in which power is rapidly diffusing among other countries. To explore such questions, IIGG sponsored three original working papers from noted experts.

In *The Irony of Global Economic Governance: The System Worked*, Daniel Drezner of the Fletcher School of Law and Diplomacy at Tufts University offers a contrarian perspective on the international response to the 2008 financial crisis. Despite initial shocks to the economy that were more severe than the 1929 financial crisis, Drezner concludes that the international financial architecture reacted robustly to mitigate the crisis. The lesson he draws is that incremental reform of major institutions *is* possible, given a sufficient shock and adequate political will.

The second working paper asked a big picture question: Does the United States need a new approach to multilateral cooperation? In *Democratic Internationalism: An American Grand Strategy for a Post-exceptionalist Era*, coauthors Daniel Deudney of Johns Hopkins University and G. John Ikenberry of Princeton University argue that the United States should initiate international and domestic strategies rooted in democratic internationalism and build upon the ideals of "shared peace, prosperity, and freedom." Their paper received broad attention within the policymaking community, including in a prominent *Washington Post* article by former State Department policy planning director Anne-Marie Slaughter on potential blueprints for a second-term Obama administration foreign policy.

The third working paper in this series asked how the United States should respond to dynamic developments in Asia—and specifically whether the Association of Southeast Asian Nations (ASEAN) might become a pillar for regional stability as the United States "pivots" strategically across the Pacific. *ASEAN's Future and Asian Integration*, by CFR Fellow for Southeast Asia Joshua Kurlantzick, offers a candid assessment of ASEAN's current limitations and offers practical recommendations to enable ASEAN to firmly establish itself as the preeminent regional organization.

Finally, IIGG expanded its study on the potential of regional organizations to respond to major problems by cosponsoring an international conference with the American University in Cairo's School of Global Affairs and Public Policy as part of its Rising Regionalism Workshop series. The conference convened twenty-one experts from CFR and across the Middle East to explore prospects for regional cooperation in the Middle East and improving cooperation at a time of significant and fundamental changes in the political dynamics of the region.

In all, these cutting-edge publications, high-profile meetings, and compelling multimedia offerings have enabled IIGG to build a global network of partnerships with government officials, renowned experts, and prominent educators. What unites these disparate individuals and organizations is their desire to forge more effective multilateral solutions to today's most challenging global problems. The Robina Board can take pride in having catalyzed the emergence of this global network.

From these multifaceted and exciting efforts, IIGG produced several findings on global governance and multilateral cooperation:

- International efforts to address transnational crime are weak. Existing strategies focus too little on combating corruption and the increasing interplay of crime and political power. To improve the capacity to address this gap, the United States and international institutions need to improve data on criminal activities, bolster regulations on money laundering, and apply best practices from counterterrorism efforts to transnational crime.
- Combating illicit networks requires more effective multilateral cooperation with the private sector and civil society. New technologies have a potentially powerful role to play in crowdsourcing, which can expose illicit networks while still providing citizens anonymity and a sense of security.
- Regional institutions and frameworks can be an effective and legitimate tool to address major challenges. However, the capacity of regional institutions varies widely. For instance, the prospects for increased regional cooperation in the Middle East remain largely contingent upon successful democratic transitions in post-uprising nations. And in Southeast Asia, without concerted steps to strengthen ASEAN and its secretariat, there will be a vacuum of leadership needed to solve pressing regional challenges.
- Global governance structures adapted and responded to the 2008 financial crisis in a robust fashion. As a result of coordinated measures on fiscal and monetary policies, the global economy rebounded and economic growth quickly returned to positive figures. At the same time, protectionist measures also declined.
- The G20 continues to struggle in its shift to a more permanent role as the foremost international forum to discuss and address major global challenges. In addition to facing fundamental questions about its ability to deliver on past commitments—which include moderating structural imbalances in the global economy, advancing trade liberalization, and implementing robust regulatory reform of the financial services industry—it also grapples with questions of broader agenda setting and legitimacy.

IIGG made several small changes in its planned activities. It pushed back the release of its comprehensive annual updates to the GGM so that it could complete the preparation and release of its new marquee interactive publication, the Global Governance Report Card. The GGM updates will resume in the next reporting period. The planned release of the Global Governance Report Card was moved to March 2013 as IIGG refined its methodology to assess the performance and effectiveness of addressing global challenges through multilateral cooperation.

A complete list of completed and future activities supported by Robina in FY13 can be found in the annexes of this report.

**UPDATE:** July 1, 2012–December 31, 2012
**ANNEX OF COMPLETED AND ANTICIPATED ACTIVITIES: FY13**

Council of Councils (CoC)

*CoC Regional Conferences:*

- The first CoC Regional Conference, "Asia at the Crossroads: Regional Priorities for the Twenty-First Century," was cosponsored by CFR and the S. Rajaratnam School of International Studies in Singapore (October 30, 2012–October 31, 2012). The conference included the following sessions:
  - Stabilizing the Global Financial System
  - Advancing Trade Liberalization
  - Strengthening Maritime Security and Freedom of Navigation
  - Assessing the Proliferation Threat in Asia
  - The Future of Asian Security Cooperation
- The second CoC Regional Conference, "Russia, Europe, and the Future of Global Governance," was cosponsored by CFR and the Institute of Contemporary Development in Moscow (December 12–13, 2012).The conference included the following sessions:
  - Russia's G20 Presidency: Priorities and Challenges
  - The Eurozone Crisis and the Future of the Global Economy
  - The Crisis in Syria and the Function of the UN Security Council
  - Cybersecurity: What Institutional Reforms Are Needed?

*CoC "Global Roundup" Expert Briefs:*
(Provided by CoC members)

- "Examining Rio+20's Outcome" (July 2012)
- "Global Views on Foreign Policy and the U.S. Conventions" (August 2012)
- "The United Nations and the Future of Global Governance" (September 2012)
- "The Case for IMF Quota Reform" (October 2012)
- "The Doha Climate Debate" (November 2012)
- "Challenges for Global Governance in 2013" (December 2012)

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— "Global Trust for Rule of Law" by Mark Lagon (October 2012)

Working Papers:
— *The Irony of Global Economic Governance: The System Worked* by Daniel Drezner (October 2012)
— *Democratic Internationalism: An American Grand Strategy for a Post-exceptionalist Era* by G. John Ikenberry and Daniel Deudney (November 2012)
— *ASEAN's Future and Asian Integration* by Josh Kurlantzick (November 2012)

General Meetings with Robina Foundation sponsorship:
*New York*
— "World Economic Update" featuring Lewis Alexander of Nomura, John P. Lipsky of Johns Hopkins University, and Vincent Reinhart of Morgan Stanley (September 6, 2012)
— "Noncommunicable Diseases and the New Global Health: The Rise of NCDs in Low- and Middle-Income Countries" featuring Thomas R. Frieden of the Center for Disease Control and Prevention (September 10, 2012)
— "Noncommunicable Diseases and the New Global Health: Scalable Strategies to Address NCDs in Developing Countries" featuring James Habyarimana of Georgetown University, Matthew L. Myers of Campaign for Tobacco-Free Kids, and Bernhard Weigl of the Center for Diagnostics for Global Health (September 10, 2012)
— "David Rockefeller Lecture: The International Criminal Court: A New Approach to International Relations" featuring Fatou Bensouda of the International Criminal Court (September 21, 2012)
— "C. Peter McColough Series on International Economics: Challenges for the Euro and the Future of European Integration" featuring the prime minister of Italy, Mario Monti (September 27, 2012)
— "A Conversation with Anders Fogh Rasmussen" featuring the secretary-general of the North Atlantic Treaty Organization, Anders Fogh Rasmussen (September 27, 2012)
— "Paradigm Shift: Efforts to Reform Drug Policy" featuring the director of National Drug Control Policy, Gil Kerlikowske (October 4, 2012)
— "Fulcrum of the Pivot: The Role of the ASEAN for the U.S. Economy" featuring David I. Adelman, the U.S. ambassador to Singapore; David L. Carden , the U.S. ambassador to the ASEAN; Paul W. Jones, the U.S. ambassador to Malaysia; and Derek J. Mitchell, the U.S. ambassador to Myanmar (November 26, 2012)

— "Bernard L. Schwartz Lecture of Business and Foreign Policy/ CEO Speaker Series: The Case for U.S. Multinationals" featuring John Watson, chairman and CEO, Chevron (November 29, 2012)
— "World Energy Outlook 2012" featuring Fatih Birol, chief economist, International Energy Agency (November 29, 2012)
— "Russia's Challenges at Home and Abroad" featuring Igor Shuvalov, first deputy prime minister, Russia (December 3, 2012)

*Washington, DC*

— "Imagining the Unimaginable: Ending Genocide in the Twenty-first Century" featuring U.S. secretary of state Hilary Rodham Clinton (July 24, 2012)
— "A Conversation with Hina Rabbani Khar" featuring the foreign minister of Pakistan Hina Rabbani Khar (September 21, 2012)
— "A Conversation with Aung San Suu Kyi" featuring Aung San Suu Kyi, general secretary, National League for Democracy (September 21, 2012)
— "A Conversation with Felipe Calderon" featuring the president of Mexico, Felipe Calderon (September 24, 2012)
— "Assessing Iran Sanctions: Riots, the Rial, and the Regime" with Gary Hufbauer, senior fellow, Peterson Institute for International Economics; and Suzanne Maloney, senior fellow, Brookings Institution (October 23, 2012)
— "Developments in the European Debt Crisis" featuring Robert Kimmitt, senior international counsel, WilmerHale; and Faryar Shirzad, global head of the Office of Government Affairs, Goldman Sachs (November 1, 2012)
— "Mexico's Presidential Inbox" featuring James R. Jones, chairman and CEO, Manatt Jones Global Strategy; Andres Martinez, vice president and editorial director, New American Foundation; and Nelson Cunningham, managing partner and cofounder, McLarty Associates (December 4, 2012)
— "Nuclear Challenges: Safeguards, Security, and Safety" featuring Yukiya Amano, director general, International Atomic Energy Agency (December 6, 2012)

**UPDATE:** July 1, 2012–December 31, 2012

## ANNEX OF PLANNED ACTIVITIES FOR THE SECOND HALF OF FY13

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

- Work with CFR's executive office to organize and host in Washington, DC, the second annual meeting of the "Council of Councils," an innovative network of more than twenty leading policy institutes worldwide, to discuss today's major global governance challenges.
- Launch a new monthly forum for the Council of Councils that solicits expert opinions on a news breaking or newsworthy story.
- Expand IIGG's video offerings on Global Governance challenges, including interviews with prominent figures.
- Release the IIGG Global Governance Report Card, which evaluates and grades the performance of multilateral cooperation (encompassing multiple actors and forums) in addressing six global challenges: nuclear weapons proliferation; transnational terrorism; climate change; violent conflict; financial instability; and threats to global health.
- Provide annual updates to the individual packages of the Global Governance Monitor on public health, terrorism, finance, climate change, nonproliferation, armed conflict, and oceans.
- Hold one "Rising Regionalism" sessions to in Jakarta, Indonesia, cosponsored with the Jakarta-based Centre for Strategic and International Studies in June.
- Launch a new IIGG initiative, including related publications, on the "Governance of the Global Commons" (including the oceans, outer space, and cyber space).
- Continue its roundtable and workshop series on U.S and Global Governance, U.S.-U.N. and Making Multilateralism Work.
- Cosponsor a fourth annual Global Governance Workshop at Princeton University in May 2013.
- IIGG Director Stewart Patrick will begin writing his next book on sovereignty in an age of transnational problems.

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February 11, 2013

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

Dear Penny:

I am pleased to submit the annual progress report for the Council on Foreign Relations (CFR) Expanded Diversity Initiative in Foreign Policy. The report covers the period March 22, 2012, to February 28, 2013.

CFR and its partners have worked aggressively over the past year to reach minority students and encourage them to pursue careers in foreign policy. The initiative has attracted great interest and served to catalyze the efforts of other groups committed to diversifying the foreign policy community. The initiative's highlights include broadening the diversity of students participating in the Humanity in Action summer fellowship program; recruiting the annual target number of Franklin Williams minority interns in just half a year; deepening CFR's contacts with historically black colleges and universities; and encouraging greater cooperation among Washington, DC-based think tanks and foreign policy organizations in recruiting members of underrepresented groups.

We are grateful for the Robina Foundation's generous support for the Expanded Diversity Initiative. It has enabled CFR to strengthen its long-standing efforts to foster racial and ethnic diversity in the U.S. foreign policy field. Please contact me if you have any questions or if you need additional information about this project report.

Sincerely,

James M. Lindsay

James M. Lindsay
*Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair*
tel 212.509.8405 fax 212.434.9880
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COUNCIL *on* FOREIGN RELATIONS

# Expanded Diversity Initiative in Foreign Policy

**Annual Progress Report to the Robina Foundation**

Project Director: **James M. Lindsay,** *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair*
**Reporting Period:** March 22, 2012 – February 28, 2013
**Report Due:** February 12, 2013

## Executive Summary

The Expanded Diversity Initiative in Foreign Policy that the Council on Foreign Relations (CFR) launched in March 2012 seeks to identify talented members of underrepresented groups, expose them to job possibilities in foreign policy, actively encourage them to consider working in the field, and help them develop personal networks that will further their careers. The initiative's goal is to make the foreign policy community in the United States representative of American society as a whole.

The Expanded Diversity Initiative consists of four complementary activities: (1) supporting the participation of minority students in Humanity in Action's (HIA) summer programs, holding a workshop for all American HIA participants, and keeping those individuals involved in foreign affairs issues; (2) expanding CFR's longstanding Franklin Williams Internship program to include additional minority students; (3) sponsoring an annual conference in partnership with the International Career Advancement Program's Alumni Association (ICAPAA) and the Global Access Pipeline (GAP) to inform minority students and young professionals about foreign policy career opportunities; and (4) sending CFR staff to career fairs at colleges and universities with a significant minority student population.

CFR's efforts to increase the number of minority students choosing foreign policy careers will by definition yield demonstrable results only over a period of years. During its first year in operation, the Expanded Diversity Initiative is off to a strong start in reaching that long-term goal. CFR successfully launched all four sets of proposed activities, and participants in the various programs have been uniformly positive about their experiences. Specific program achievements include: broadening the diversity of students participating in HIA's summer programs; recruiting the annual target number of Franklin Williams minority interns in just half a year; deepening contacts with department chairs and professors at historically black colleges and universities, which should broaden and deepen the pool of applicants for both the HIA summer program and the Franklin Williams Internship program; and encouraging greater cooperation among Washington, DC-based think tanks and foreign policy organizations on recruiting members of underrepresented groups.

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

The Expanded Diversity Initiative seeks to expand minority participation in foreign policy by encouraging members of underrepresented groups to pursue careers in international relations. The initiative identifies talented members of underrepresented groups, exposes them to career possibilities in foreign policy, actively encourages them to consider working in the field, and helps them develop personal networks that will further their careers. By sustaining these activities over time the initiative looks to make the foreign policy community in the United States representative of American society as a whole.

Established in March 2012, the Expanded Diversity Initiative consists of four specific elements that were conceived to be interrelated, complementary, and mutually reinforcing: (1) a partnership with Humanity in Action (HIA) to bring more minority students into HIA's acclaimed summer programs; (2) an expansion of CFR's current Franklin Williams internship for college or graduate students from underrepresented groups; (3) a partnership with the International Career Advancement Program Alumni Association (ICAPAA) and the Global Access Pipeline (GAP) to heighten awareness among minority students and young professionals about foreign policy career opportunities and to deepen their involvement in the foreign policy community; and (4) increased CFR participation in college career fairs in New York, Washington, DC, and other select cities around the country.

These forward-looking and practical activities build on CFR's extensive previous efforts to promote diversity, leverage CFR's demonstrated strengths in the foreign policy arena, and mobilize the complementary skills and networks of partner organizations. The three organizations CFR chose to partner with to carry out the Expanded Diversity Initiative—HIA, ICAPAA, and GAP—all have considerable experience and expertise on diversity issues.

HIA is an international educational organization that seeks to educate, inspire, and connect a global network of students, young professionals, and established leaders committed to promoting human rights, diversity, and active citizenship in their own communities and around the world. ICAA is the alumni association of the International Career Advancement Program, which seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. GAP brings together an array of think tanks and nonprofit groups to enhance the quality and diversity of U.S. participation in international affairs.

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

CFR successfully launched all four sets of proposed activities during year one. As part of the CFR-HIA partnership, CFR supported the participation of ten minority students in HIA's 2012 summer program, held a workshop for all American HIA participants, kept those individuals involved in foreign affairs issues, and planned for the 2013 program. CFR expanded the Franklin Williams Internship program to include additional minority students, planned the annual conference co-sponsored with ICAA and GAP, and sent CFR staff to participate in university career fairs around the country with a significant minority-student population

*A. Partnership with Humanity in Action (HIA)*

The CFR-HIA partnership entailed three sets of activities: hosting a two-day workshop at CFRs Washington, DC, office for American participants in the HIA summer programs; sponsoring minority participation in HIA's summer programs, and creating opportunities for students to develop their interests in foreign policy after completing one of HIA's summer programs.

*The two-day workshop at CFR's Washington, DC, office for American participants in the HIA program.* All of the American students in HIA's 2012 summer programs were invited to participate in a two-day workshop held at CFR's Washington, DC, offices. (Appendix A contains the workshop agenda and the bios of the panelists.) The workshop began on Monday, May 28 with a private dinner for the thirty HIA participants. The students then spent Tuesday attending panels that brought together distinguished foreign policy experts to discuss issues such as the eurozone crisis, European immigration trends, and the role the European powers play in their former colonies. There was also a panel that allowed the HIA participants to ask three mid-career foreign policy professionals about their career choices. Tuesday closed with a dinner and networking reception. Peter Fischer, the economics minister at the German embassy in Washington, DC, spoke about the eurozone crisis. More than seventy CFR members and staff attended the reception, attesting to the tremendous enthusiasm within the CFR community for the Expanded Diversity Initiative. The workshop closed on Wednesday with private tours of the Pentagon and the State

Department, where the workshop participants heard from senior U.S. government officials about U.S. priorities and policies in Europe.

CFR will host a two-day workshop at its Washington, DC, offices for the American participants in the HIA's 2013 summer programs on May 28-30, 2013. As was the case last year, the HIA participants will receive briefings from CFR fellows, government officials, journalists, and other foreign policy influentials. Under the direction of Dr. James M. Lindsay, senior vice president at CFR, the workshop will encourage discussion of important foreign policy issues and introduce participants to career options in the foreign policy field.

*Minority participation in HIA's summer programs.* The Robina Foundation's generous support for CFR's Expanded Diversity Initiative made it possible for ten minority students to participate in HIA's 2012 summer fellowship programs. (Appendix B provides the biographies for the ten students.) The students spent four weeks in one of five European cities—Amsterdam, Berlin, Copenhagen, Paris, or Warsaw—working with European students exploring ways to promote racial, ethnic, and religious tolerance in diverse societies. Each program was highly interdisciplinary, featuring daily lectures and discussions with renowned academics, journalists, politicians, and activists, as well as site visits to government agencies, nonprofit and community organizations, museums, and memorials. From June 27 to July 1, the students convened in Sarajevo for the Third Annual Humanity in Action International Conference in Sarajevo. The conference, which featured a keynote address by Bill Clinton, gave the students the opportunities to share the lessons they had learned in their individual programs.

Feedback from students, esp. re. CFR workshop

After the completion of the summer 2012 programs and throughout the fall of 2012, HIA worked to lay the groundwork for the 2013 summer programs. The support provided by the Expanded Diversity Initiative will enable fifteen outstanding minority students to participate in the 2013 programs. To ensure a pool of highly qualified and diverse participants, HIA expanded its outreach to institutions with diverse student populations. One step HIA took was to develop a comprehensive list of colleges and universities with diverse student populations. The list identified campus fellowships offices, student groups, and academic departments that attract minority students. Based on this list, which was expanded from previous years, HIA circulated information about its 2013 programs to more than 2,000 contacts.

HIA also hosted in-person information sessions at twenty-five universities around the country. (See Appendix C for a list of information sessions.) This direct outreach was cast in terms of promoting the program and international opportunities to minority students. For example, at the University of Pittsburgh, HIA staff arranged an information session that attracted more than fifty students, with over one-third from minority backgrounds. HIA staff worked closely with partner organizations that provide higher educational opportunities for minority students, such as the

Posse Foundation, which has endorsed twenty minority applicants from its network for the 2013 summer programs.

To complement these in-person information sessions and to reach an even wider audience, HIA staff developed targeted online advertising. HIA used Facebook to create three different online campaigns to promote the HIA program at historically black colleges, schools with diverse student populations, and among Latino students attending a number of different universities across the nation. These campaigns reached more than eighty different American colleges and universities, including Howard, Morehouse, Xavier, Fisk, Spelman, Tennessee State University, University of Alabama, Tuskegee University, and South Carolina State University.

HIA will select students for its 2013 summer programs on March 8. The students selected will attend a two-day introductory workshop at CFR's Washington, DC, office at the end of May, and then spend the month of June at one of HIA's five program cities—Amsterdam, Berlin, Copenhagen, Lyon or Warsaw. All of the HIA students will then attend a concluding conference in Warsaw at the beginning of July. Topics for the summer 2013 programs will include anti-Semitism, Islamaphobia, right-wing extremism, and civic engagement. The 2013 International Conference in Warsaw will focus on the theme of transitions in a changing world, democracy, human rights, and diversity.

*Continued involvement of students in the CFR-HIA program in foreign affairs.* HIA organized several activities during the second half of 2012 to keep the 2012 class of students involved in foreign affairs issues after completing the summer program. In September 2012, HIA hosted a conference in New York, which included presentations from Michael Slackman, deputy foreign editor of the *New York Times,* entitled "Covering the World: A Journalist's Perspective on Foreign Affairs," and from Anika Binnendijk, a member of the Policy Planning Staff at the State Department and a CFR term member, entitled "Friend or Foe: Understanding How Security Forces Respond During Nonviolent Uprisings." Twenty-five alumni of the 2012 summer programs attended the conference, two of which were supported by the grant. In addition, CFR arranged for all of the American HIA students to receive a one-year subscription to *Foreign Affairs.*

The CFR-sponsored student participants in the 2012 HIA summer programs will be invited to the upcoming conference on diversity in international affairs hosted at CFR's Washington, DC, office in coordination with ICAP and GAP on April 26–27, 2013. The students will receive travel stipends if needed. Members of ICAP will be encouraged to serve as mentors to CFR-HIA program participants and to Franklin Williams interns, and the skills-based breakout sessions during the conference focused on networking and developing mentors will be led by senior staff.

*B. Franklin Williams Internship*

The Expanded Diversity Initiative made it possible for CFR to expand its longstanding Franklin Williams Internship program to include additional minority students. The internship, which seeks to give minority students in their junior year or above the exposure, knowledge, and skills needed to work in the foreign policy field, traditionally brought two interns to CFR each year. The Robina grant made it possible for CFR to select three additional Franklin Williams interns over the course of each year, with one intern joining CFR for the fall, spring, and summer semesters.

During the first year of the Expanded Diversity Initiative, CFR succeeded in recruiting the planned three additional Franklin William interns during the fall and spring semesters alone. (Appendix D provides the biographies of all five Franklin Williams interns, three of which were funded by the Expanded Diversity Initiative.) CFR had this success because CFR's Human Resources department aggressively marketed the internship on CFR's award-winning website, CFR.org, with historically black colleges and universities, through a variety of listservs that target minority students, and through social media channels, including on Dr. Lindsay's CFR blog, *The Water's Edge*, and his Twitter feed. The students chosen as interns went through a rigorous selection process that consisted of a review of each candidate's academic standing along with interviews conducted by two or more members of CFR's senior staff. Interns were placed in departments across CFR, including the Center for Geoeconomic Studies; Global Communications and Media Relations; the Civil Society, Markets, and Democracy Initiative; the Meetings Program; and CFR's website, CFR.org. As part of their internship, Franklin Williams interns participated in skills-based seminars through CFR's Intern Professional Development Program. Seminars included sessions on networking, business etiquette, interviewing techniques, guidance on how to write a cover letter, library skills and research techniques, grant writing, and how travel can enhance your professional life.

What most successful recruiting tool?

Did CFR turn away qualified candidates

In addition to direct, hands-on exposure to different career paths in international relations, the two interns who completed their assignments in fall 2012 left with a better understanding of how a think tank works as well as how to work within a mid-size organization. Individual professional development goals were also achieved. These goals ranged from gaining comfort in running successful events, making professional business calls, understanding what goes into a press event, and how social media is used in the international sphere.

CFR's Human Resources department began recruiting for Franklin Williams summer interns in February 2013. In addition to the marketing efforts outlined above, CFR shared the position announcement with all students that CFR staff met during the career fairs attended this year; a large percentage of whom come from underrepresented groups and who attend schools outside the New York and Washington, DC, areas.

*C. International Career Advancement Program's Alumni Association and Global Access Pipeline*

The Expanded Diversity Initiative has made it possible for CFR to partner with ICAPAA and GAP to organize an annual, two-day joint conference on diversity in international affairs. The conference will be held for the first time on April 26–27, 2013. ICAPAA is the alumni association of the International Career Advancement Program, which seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. As such, ICAPAA constitutes the most diverse and robust network of people of underrepresented groups working across every sector in international affairs. Its participants are identified as "rising stars" early on in their careers, and many of them now hold senior foreign policy positions. GAP seeks to enhance the quality and diversity of U.S. participation in international affairs by encouraging collaboration among internationally-oriented programs for the underrepresented, from the pre-collegiate level through mid-career professional development programs, and linking these to diversity efforts with leading research and policy institutions. CFR enlisted the support of both ICAPAA and GAP because their missions mirror the goals of CFR's diversity initiative: to increase the representation and preparedness of minority groups in the international arena.

The April 2013 conference will bring together diverse professionals and students for two days of seminars and networking on foreign policy, skill-building, and professional development. The sessions are designed to enhance participants' access to, and preparedness for, international careers. The goal is to connect more students and professionals from diverse backgrounds to career opportunities in international affairs. With the understanding that the path toward increased diversity in international affairs must start with early exposure and extend through the creation of international leadership opportunities, the conference looks to engage a mix of students and mid-career professionals ranging from high school to graduate school.

The CFR-ICAPAA-GAP joint planning committee is finalizing the agenda for the conference. The basic structure of the conference will include a keynote speaker, plenary sessions, skill-building workshops, foreign policy focused break-out sessions, career advisory opportunities, and a networking reception. In coordination with CFR's Meetings Program, the committee is in the process of identifying speakers and panelists, as well as extending invitations.

*D. Career Fairs*

In the first year of the Expanded Diversity Initiative, CFR staff will have participated in six career fairs targeting underrepresented students during the first year of the grant. Three are "off-site" and three are in the New York and Washington, DC, regions.

Senior staff from CFR's Human Resources (HR) department traveled to two off-site career fairs in fall 2012, and they will attend a third off-site career fair in late February. At these career fairs, HR actively recruited for candidates for the Franklin Williams internships as well as for the CFR-HIA partnership. More than 500 students participated in each fair. Reading materials for both programs were available to all students who visited the CFR career fair booth.

The first career fair CFR attended was the Atlanta University Consortium Center (AUCC) Career Fair held in September 2012. The AUCC Career Fair brings together students from Clark Atlanta University, Morehouse College, and Spelman College, all historically black colleges. More than 100 students expressed interest in CFR at the fair and submitted resumes for HR to keep on file. While at the career fair, senior staff from CFR's HR team also met with several department chairs and professors from these historically black colleges to further promote internship and job opportunities at CFR. The department chairs and professors will be ongoing contacts for CFR moving forward.

The second career fair that CFR attended was the Liberal Arts Career and Internship Fair at the University of Texas at Austin in October 2012. The University has a strong Latino student population, with a student body that is 20 percent Latino and 5 percent African American. CFR staff met with more than 230 students at the fair, all of whom submitted resumes for HR's files. More than half of the students who visited CFR's booth were minority students, with a large percentage of those being Hispanic. During the recruitment trip, CFR staff met separately with the Liberal Arts College Career Services Center to promote internship and career opportunities.

CFR staff will attend a third career fair in late February at the University of California, Los Angeles (UCLA). UCLA has a significant number of Hispanic students in its student body.

In addition to traveling to the career fairs in Atlanta and Texas, CFR participated in a local career fair in September at Howard University, a historically black university located in Washington, DC, to promote the Franklin Williams internship. HR received more than twenty-five resumes from students at this career fair. HR staff will participate in two New York-based career fairs in March 2013. One of the career fairs is at Columbia University, and the other is at Hofstra University. Both universities are listed in the *Guide to the Top 25 Colleges for Hispanics.*

Following the career fairs, HR staff has contacted and will continue to contact minority students they met to encourage them to apply for the Franklin Williams internship and for other CFR job openings. Minority students from Howard University were encouraged to apply for the spring 2013 Franklin Williams internship, and students from the Atlanta and Texas career fairs were encouraged to apply for the summer 2013 program during their summer break.

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

The Expanded Diversity Initiative achieved all of its program goals in year one. CFR broadened its outreach to members of underrepresented groups, enabled ten minority students to participate in the 2013 HIA summer program, and brought new interns to its New York and Washington, DC, offices. Increasing the presence of minorities in the U.S. foreign policy community is obviously a long-term proposition that will require the efforts of many organizations. CFR is pleased that its Expanded Diversity Initiative has attracted such great interest and served to catalyze the efforts of other groups.

The first year of the initiative produced two main lessons. First, CFR staff and members are greatly interested in supporting and advancing the initiative's goals. The quality and seniority of the foreign policy experts who participated (without compensation) as panelists and attended the reception were impressive. Second, CFR's decision to build the workshop as much around exposing the HIA participants to different foreign policy careers and career paths as around exposing them to substantive issues was the right one. The HIA participants came to the workshop generally well informed about world affairs but knowing very little about the tremendous diversity in foreign policy careers or the possible avenues for pursuing them. Having a panel devoted specifically to career choices, with panelists who described their own career trajectories, greatly deepened the understanding that the HIA participants had about the potential for foreign policy careers.

← Did students comment on this or is this CFR's observation?

CFR and HIA have been pleased at the level of interest in CFR, the HIA Fellowship, and the broader field of foreign policy and international education on the part of minority students, faculty, and career service offices as part of recruitment trips and outreach efforts over the last year. Participation in career fairs has proven to be a valuable springboard to raise awareness of CFR's work; as well as to build a strong candidate pool from underrepresented groups for future internship and career opportunities. One promising relationship that developed from CFR's participation in an off-site career fair is with the Archer Fellowship Program at University of Texas (UT) at Austin. The program selects thirty-six highly qualified UT system students to be Archer fellows and spend a semester interning in Washington, DC. CFR HR staff briefed Archer program staff on CFR internship opportunities, specifically the Franklin Williams internship program, and CFR's commitment to diversity. UT Austin has a twenty percent Latino population. Archer program staff are now in touch directly with our HR internship coordinators with recommendations for underrepresented minority students. We are optimistic that this will be a good pipeline for internship candidates for CFR's Franklin Williams interns over the long term.

The undertaking of expanding HIA's outreach to a more diverse applicant pool has proven immensely valuable. The result of these expanded outreach efforts can be seen in a substantial increase in the number of applications submitted for the 2013 Fellowship. HIA received 39 percent more applications than it did in 2012. Of 552 applications submitted, HIA received 293 applications from the schools where HIA staff hosted information sessions or those that were targeted in the online advertising campaigns. The expanded outreach made possible by the Robina-funded initiative has made a significant impact.

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

CFR and its partners have worked aggressively over the past year to reach minority students, raise awareness of CFR and its commitment to diversity, and promote international opportunities available to minority students. To reach the widest audience, the initiative promoted the program through a combination of direct, in-person outreach, tailored social media, and by leveraging existing relationships.

To promote the Franklin Williams internship, CFR aggressively marketed the internship on its award-winning website, CFR.org, with historically black colleges and universities, through a variety of listservs that target minority students, as well as through social media channels, including on Dr. Lindsay's CFR blog, *The Water's Edge*, and his Twitter feed. Senior staff from CFR's HR team participated in person in six career fairs targeting underrepresented students in Atlanta, Austin, Los Angeles, Washington, DC, and New York to promote the internship program along with job opportunities at CFR. Meetings with department chairs and professors from historically black colleges were arranged to further deepen contacts and raise awareness of both CFR's work and the internship. As mentioned, one promising relationship that developed from CFR's participation in an off-site career fair is with the Archer Fellowship Program at UT at Austin. HR also reached out to all minority students CFR staff met with at the various career fairs with the Franklin Williams position announcement to encourage them to apply for the internship.

Humanity in Action promoted the HIA summer fellowship to roughly 2,000 contacts including campus fellowships offices, student groups, and academic departments that attract minority students. In-person information sessions were organized at twenty-five universities around the country in order to promote both the program as well as international opportunities to minority students. To complement these in-person information sessions and to reach an even wider audience, HIA staff developed targeted online advertising. HIA used Facebook to create three different online campaigns to promote the HIA program at historically black colleges, schools with diverse student populations, and among Latino students attending a number of different universities across the nation. These campaigns reached more than eighty different American colleges and universities, including Howard, Morehouse, Xavier, Fisk, Spelman, Tennessee State University, University of Alabama, Tuskegee University, and South Carolina State University.

CFR and its partners, ICAPAA and GAP, will extend invitations for the upcoming conference on diversity in international affairs through its various networks to mid-career professionals and students ranging from high school to graduate school from diverse backgrounds. CFR anticipates recording the two-day workshop and posting the video and other conference materials on a dedicated page on CFR.org in order to further disseminate conference findings.

CFR plans to promote the work of the Expanded Diversity Initiative to CFR members and the broader public. News stories summarizing the CFR–ICAPAA–GAP and the CFR–HIA workshops are planned for publication in CFR's members newsletter, *The Chronicle*. It is distributed monthly to CFR's roughly 4,700 members. CFR also plans to feature reports on both events on its award-winning website, CFR.org.

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

At the completion of year one, the Expanded Diversity Initiative in Foreign Policy had a projected balance of $88,838. The line-item difference in year one owes to three factors.

First, our partner, Humanity in Action, was able to deliver an ambitious outreach campaign, including new and innovative strategies, which resulted in lower expenditures than initially budgeted. Outreach expenditures were lower due the use of social media tools, including Facebook, which promoted both the summer fellowship and international opportunities for minority students while requiring no capital outlays.

Second, CFR kept travel expenses for both core staff and for the HIA students lower than budgeted. This happened particularly because HIA requested that student participants share hotel rooms at the two-day workshop and because HR staff secured air fare at discounted rates because the career fairs were identified well ahead of time.

Third, the year one financial balance reflects an inevitable time lag in the completion of program activities that have begun this first year. While the annual target of five Franklin Williams interns have been secured in just two semesters, three of these interns began their spring internships only last month to coincide with the start of the new semester. Additionally, the costs associated with the upcoming CFR-GAP-ICAP conference scheduled for April 26-27, 2013, will be realized in year two of the program.

The projected balance will be used first to expand CFR's support for the upcoming CFR-GAP-ICAP conference and second to support year two activities. In order to ensure that a wide range of diverse students and professionals have access to the conference and the opportunities offered, CFR's additional contribution will eliminate the need to charge fees for employers attending the

job fair and for any of the conference participants. Funds will also enable travel support to the conference for the 2012 CFR-HIA student participants along with a pool for those with hardships who would otherwise be unable to travel to Washington, DC, to attend.

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

The Robina Foundation-funded Expanded Diversity Initiative complement's CFR's other, longstanding efforts to encourage members of underrepresented groups to participate in the foreign policy debate and consider careers in foreign policy.

CFR's Franklin Williams Internship, which supports salaries for two of the five annual interns, is funded through an endowment that was created in 1990 in honor of the late Ambassador Franklin H. Williams.

CFR's partnership with Global Kids, an organization that seeks to transform urban youth into successful students, and global and community leaders, includes support for a three-week summer institute for high school students at CFR's headquarters and a monthly roundtable on foreign policy topics. CFR's work with Global Kids is funded through membership dues and internal CFR funds.

CFR is a partner with the Colin Powell Center for Policy Studies at the City College of New York, which was established in 1997 to prepare new generations of publicly engaged leaders from populations previously underrepresented in public service and policymaking. CFR hosts small student groups for customized briefings throughout the year. Students are also invited to attend select CFR meetings. The partnership's expenses are funded through membership dues and internal CFR funds.

In addition to these three efforts, CFR's Academic Initiative and its Religion and Foreign Policy Initiative have both made conscious efforts to reach organizations that advance opportunities for minority groups. The Academic Initiative has a grant from the Ford Foundation, the Religion and Foreign Policy Initiative is partially supported by a gift from an individual donor, and both programs are supported by internal CFR funds. The Academic Initiative's Higher Education Working Group, which convenes college and university presidents twice a year, including those from historically black colleges and community colleges, is partially funded by the Forum for Higher Education. CFR's larger Academic Initiative is funded by membership dues and an outside grant from an individual donor.

# COUNCIL ON FOREIGN RELATIONS

**Expanded Diversity Initiative in Foreign Policy**
Financial Statement
Robina Foundation
March 22, 2012-February 28, 2013

| | |
|---|---|
| Year one award | $377,034 |
| Projected balance as of February 28, 2013 | $88,838 |

| | Year One Budget | Projected Actual Expenses (3.1.12-2.28.13) | Variance |
|---|---|---|---|
| **Humanity in Action's Summer Program** | $150,000 | $146,250 | $3,750 |
| **Two-Day Workshop at CFR** | $61,710 | $40,939 | $20,771 |
| **Expanded Franklin Williams Internship Program** | $30,700 | $14,014 | $16,686 |
| **Partnership with the International Career Advancement Association and the Global Access Pipeline** | $23,450 | $0 | $23,450 |
| **CFR Participation in Career Fairs** | $18,825 | $6,232 | $12,593 |
| **Program Management** | $53,605 | $53,605 | $0 |
| **Indirect Costs (excluding minority participation in summer internship program)** | $38,744 | $27,156 | $11,588 |
| **Total** | **$377,034** | **$288,196** | **$88,838** |

COUNCIL *on* FOREIGN RELATIONS

**Appendix A: CFR-HIA Workshop Agenda and Panelist Biographies**

# Europe's Challenges and Opportunities

*Tuesday, May 29, 2012*
*Council on Foreign Relations, Washington, DC*

**8:30 – 9:00 a.m. Breakfast Reception**
**9:00 – 9:05 a.m. Welcoming Remarks**
**James M. Lindsay**, *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

**9:05 – 10:00 a.m. Session One: *European Security and Politics***
**Spencer Boyer**, *Visiting Senior Fellow, Center for Transatlantic Relations, Paul H. Nitze School of Advanced International Studies*
**Heather Conley**, *Senior Fellow and Director, Europe Program, Center for Strategic and International Studies*
Presider: **Frank Klotz**, *Senior Fellow for Strategic Studies and Arms Control, Council on Foreign Relations*

**10:00 – 10:15 a.m. Break**
**10:15 – 11:15 a.m. Session Two: *The Economic Crisis and Europe***
**Sebastian Mallaby**, *Director of the Maurice R. Greenberg Center for Geoeconomic Studies and Paul A. Volcker Senior Fellow for International Economics, Council on Foreign Relations*
Presider: **James M. Lindsay,** *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

**11:15 a.m. – 12:20 p.m. Session Three: *The Peoples of Europe***
**Nida Gelazis**, *Senior Associate, European Studies, Woodrow Wilson International Center for Scholars*
**Clarence Lusane**, *Professor and Program Director, Comparative and Regional Studies Program, School of International Service, American University*

**Harris Mylonas,** *Assistant Professor of Political Science and International Affairs, George Washington University*
Presider: **Victoria Taylor,** *International Affairs Fellow, Council on Foreign Relations*

**12:20 – 1:00 p.m.** **Lunch Buffet**
**1:00 – 2:00 p.m.** **Session Four: *Keynote Address***
**Kristen Silverberg**, *President, United Against a Nuclear Iran*
Presider: **James M. Lindsay,** *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

**2:00 – 2:15 p.m.** **Break**
**2:15 – 3:15 p.m.** **Session Five: *The European Orbit***

**Priscilla Clapp,** *Senior Advisor, Asia Society*
**Jendayi Frazer**, *Adjunct Senior Fellow for Africa Studies, Council on Foreign Relations*
Presider: **Hans Binnendijk,** *Vice President for Research, National Defense University*

**3:15 – 3:30 p.m.** **Break**
**3:30 – 5:00 p.m.** **Session Six: *Foreign Policy Careers***
**Kimberly McClure**, *Foreign Service Officer, U.S. Department of State*
**Mark Vlasic,** *Senior Fellow and Adjunct Professor of Law, Georgetown University*
**Carmencita Whonder,** *Policy Director, Brownstein Hyatt Farber Schreck, LLP*
Presider: **Kate Collins,** *Assistant Director, Studies, Council on Foreign Relations*

**5:00 – 6:00 p.m.** **Break**
**6:00 – 7:30 p.m.** **Dinner and Networking Reception with Informal Remarks**
**Peter Fischer,** *Economic Minister, German Embassy in Washington, DC*
Presider: **James M. Lindsay,** *Senior Vice President, Director of Studies, and Maurice R. Greenberg Chair, Council on Foreign Relations*

*Wednesday, May 30, 2012*
**9:00 – 10:30 a.m.** **Briefings with the staff of the secretary of the Air Force and tour of the Pentagon**

**11:30 a.m. – 12:30 p.m. Briefings with the Bureau of European and Eurasian Affairs, Department of State**

# Speaker and Presider Biographies

**Hans Binnendijk**
Hans Binnendijk is currently the vice president for research of the National Defense University (NDU) and the Theodore Roosevelt chair in national security policy. He is also director of the Institute for National Strategic Studies (INSS), and the founding director of the Center for Technology and National Security Policy at NDU.

He previously served on the National Security Council as special assistant to the president and senior director for defense policy and arms control (1999-2001). From 1994 to 1999, Dr. Binnendijk was director of the Institute for National Strategic Studies at the National Defense University. Prior to that, he was principal deputy director and acting director of the State Department's policy planning staff (1993-1994). He also served as deputy staff director and legislative director of the Senate Foreign Relations Committee (1980-1985). He has received numerous awards for his government service, including two Distinguished Public Service Awards and a Superior Service Award.

In academia, Dr. Binnendijk was director of the Institute for the Study of Diplomacy at Georgetown University, where he was also the Marshall B. Coyne research professor at the Edmund A. Walsh School of Foreign Service (1991-1993). He was deputy director and director of studies at London's International Institute for Strategic Studies and editor of *Survival* from 1988-1991. He is author or co-author of more than one hundred articles, editorials and reports. His most recent book is *Seeing the Elephant: The U.S. Role in Global Security* (Potomac Books: 2006).

Dr. Binnendijk serves on the board of overseers of the Fletcher School of Law and Diplomacy, on the Studies Committee of the Council on Foreign Relations, and as vice chairman of the board of Humanity in Action. He previously served on the U.S. committee of the International Institute for Strategic Studies and the CSIS International Research Council. He has received the Cross of the Order of Merit from the Federal Republic of Germany.

Dr. Binnendijk is a 1968 graduate of the University of Pennsylvania. He received his MALD and his PhD in international relations from the Fletcher School of Law and Diplomacy at Tufts University.

**Spencer P. Boyer**
Spencer P. Boyer is a visiting senior fellow at the Center for Transatlantic Relations at the Paul H. Nitze School of Advanced International Studies (SAIS) at the Johns Hopkins University. From August 2009 to December 2011, he served in the Obama administration as a deputy assistant secretary of state in the Bureau of European and Eurasian Affairs. Mr. Boyer's work in the bureau focused on western Europe, public diplomacy, and public affairs. Prior to joining the State Department, Mr. Boyer was the director of international law and diplomacy in the national security and international policy department of the Center for American Progress, a Washington-based think tank.

Mr. Boyer is a graduate of Wesleyan University and received his JD from New York University School of Law, where he specialized in public international law and the work of international organizations. While at NYU, he also obtained a master's degree in French studies, with a concentration in French politics, history, and economy. Mr. Boyer began his professional career as an associate with the international law firm of Jones, Day, Reavis & Pogue in Washington, DC. Subsequently, he worked in The Hague as a law clerk to the president of the international criminal tribunal for the former Yugoslavia, in Zurich as a staff attorney at the Claims Resolution Tribunal for Dormant Accounts in Switzerland, and in Paris as counsel at the International Court of Arbitration. He has also served as the executive director and war powers initiative director at the Constitution Project, based at Georgetown University's Public Policy Institute.

Mr. Boyer has been a guest analyst with numerous international, national, and local news outlets, including CNN, BBC, MSNBC, FOX, ABC, and Voice of America, and is widely published on foreign affairs matters. He is co-editor of *Power and Superpower: Global Leadership and Exceptionalism in the 21st Century* (The Century Foundation Press, 2007). Among other professional distinctions, Mr. Boyer served on the Independent Task Force on U.S. Nuclear Weapons Policy at the Council on Foreign Relations and was a Wasserstein public interest fellow at Harvard Law School.

Mr. Boyer is a member of the bars of the District of Columbia, New York, and New Jersey, and a member of the Council on Foreign Relations.

**Priscilla A. Clapp**

Priscilla A. Clapp is a retired minister-counselor in the U.S. Foreign Service. She currently engages in foreign policy analysis and programs with several institutions and is a senior advisor to the Asia Society.

During her thirty-year career with the U.S. government, Ms. Clapp served as chief of mission and permanent charge d'affaires at the U.S. embassy in Burma (1999-2002), deputy chief of mission in the U.S. embassy in South Africa (1993-96), principal deputy assistant secretary of state for refugee programs (1989-1993), deputy political counselor in the U.S. embassy in Moscow (1986-88), and chief of political-military affairs in the U.S. embassy in Japan (1981-85). She also worked on the State Department's policy planning staff, in its East Asian, Political Military, and International Organizations bureaus, and with the U.S. Arms Control and Disarmament Agency. She speaks Russian, Japanese, French, and some Burmese.

Prior to government service, Ms. Clapp spent ten years in foreign policy and arms control research, with the MIT Center for International Studies and as a research associate at the Brookings Institution. She is a member of the Council on Foreign Relations and the International Institute for Strategic Studies.

Ms. Clapp's books include: with Morton Halperin, *Bureaucratic Politics and Foreign Policy* (Brookings, 2006), with I.M.Destler et al., *Managing an Alliance: the Politics of U.S.-Japanese Relations* (Brookings, 1976), and with Morton Halperin, *U.S.-Japanese Relations in the 1970's* (Harvard, 1974). She is the author of numerous publications on Burma and U.S. Burma policy with the U.S. Institute of Peace, the Brookings Institution, the East-West Center, Australia National University, the Asia Society, and others. Her most recent publications include:

"Prospects for Rapprochement Between the United States and Myanmar," in *Contemporary Southeast Asia*, December 2010, and, with Suzanne DiMaggio, "Advancing Myanmar's Transition: A Way Forward for U.S. Policy," Asia Society Policy Brief, February 13, 2012.

**Heather A. Conley**

Heather A. Conley is senior fellow and director of the Europe program at the Center for Strategic and International Studies (CSIS). Prior to joining CSIS, Ms. Conley was a senior adviser to the Center for European Policy Analysis.

From 2005 to 2008, Ms. Conley was the executive director of the office of the chairman of the board at the American National Red Cross. From 2001 to 2005, she served as deputy assistant secretary of state in the Bureau for European and Eurasian Affairs with responsibilities for U.S. bilateral relations with the fifteen countries of northern and central Europe. From 1994 to 2001, she was a senior associate with an international consulting firm led by former U.S. deputy secretary of state Richard L. Armitage.

Ms. Conley began her career in the Bureau of Political-Military Affairs at the U.S. Department of State where she served as the State Department liaison for the U.S. Department of Defense's Global Humanitarian Assistance Program (HAP). Following this assignment, she was selected to serve as special assistant to the coordinator of U.S. assistance to the newly independent states of the former Soviet Union.

Ms. Conley received her BA in international studies from West Virginia Wesleyan College and her MA in international relations from the Johns Hopkins University School of Advanced International Studies (SAIS).

**Jendayi Frazer**

Jendayi Frazer is adjunct senior fellow for Africa studies at the Council on Foreign Relations (CFR). Ambassador Frazer is also distinguished public service professor at Carnegie Mellon University, with joint appointments in the department of social and decision sciences and in the H. John Heinz College's School of Public Policy and Management. Her current research focuses on strengthening regional security cooperation and economic and political integration in Africa. She is the director of Carnegie Mellon's Center for International Policy and Innovation (CIPI), which focuses on utilizing technology and applying innovative solutions to core issues of development and governance in Africa. The author of and contributor to a number of articles, journals, and books, she is the co-editor of *Preventing Electoral Violence in Africa* (2011), which grows out of her work with CIPI.

Dr. Frazer served as the U.S. assistant secretary of state for African affairs from 2005 to 2009. She was special assistant to the president and senior director for African affairs at the National Security Council from 2001 until her swearing-in as the first woman U.S. ambassador to South Africa in 2004. She previously served in government from 1998 to 1999 as a CFR International Affairs Fellow, first at the Pentagon as a political-military planner with the Joint Chiefs of Staff, 13

working on West Africa during Nigeria's transition to civilian rule, and then as director for African affairs at the National Security Council, working on central and east Africa. Ambassador Frazer was also an assistant professor of public policy at the Harvard Kennedy School and assistant professor at the University of Denver's Graduate School of International Studies.
She has been awarded the Distinguished Service Medal, the highest award bestowed by the secretary of state in recognition of her public service. In 2010, she was given the distinction of Dame Grand Commander in the Humane Order of African Redemption by Liberian president Ellen Johnson Sirleaf. She was also honored with the 2008 Distinguished Leadership Award from the African Presidential Archives & Research Center at Boston University.

Ambassador Frazer received her BA in political science and African and Afro-American studies, MA in international policy studies and international development education, and PhD in political science, all from Stanford University.

**Nida Gelazis**

Nida Gelazis is senior associate of the European studies program at the Woodrow Wilson International Center for Scholars, in Washington, DC. At the Wilson Center since 2003, she has worked to create a setting for dialogue between policymakers, academics, and other public actors on some of the most pressing policy questions in Europe today, with particular emphasis on the legal, social, and economic consequences of European Union (EU) expansion; the aftermath and legacies of the Balkan conflicts; European energy cooperation, and the emerging questions of minority rights and migration in a changing European context. She directed the work of the working group on the western Balkans, which aimed at building cooperative relationships between European and American policy professionals on the European integration of the western Balkans.

Previously, she was managing editor of the *East European Constitutional Review* at the University of Chicago Law School and at the Constitutional and Legislative Policy Institute in Budapest, as well as a research associate for the east European program at the Robert Schuman Centre for Advanced Studies, at the European University Institute in Florence.

Nida holds a BA from the University of Chicago and an LLM degree from the European University Institute, where her research focused on the impact of EU conditionality on human rights and minority rights in accession states. She has published a number of articles and book chapters on democratic state-building, constitutionalism, judicial reform, EU enlargement, international migration and minority rights, and co-edited the book *Cities after the Fall of Communism: Reshaping Cultural Landscapes and European Identity*.

**Frank Klotz**

Frank Klotz is senior fellow for strategic studies and arms control at the Council on Foreign Relations (CFR). Lieutenant General Klotz (USAF, Ret.) is the former commander of Air Force Global Strike Command. In that position, he established and then led a brand new 23,000-person organization that merged responsibility for all U.S. nuclear-capable bombers and land-based missiles under a single chain-of-command.

Earlier in his military career, General Klotz served as the defense attaché at U.S. Embassy Moscow during a particularly eventful period in U.S.-Russian relations. As the senior American military officer based in Russia, he advised the ambassador and senior U.S. officials on a wide range of bilateral defense issues, including financial support for securing weapons of mass destruction and cooperation in Arctic search and rescue.

Later, as the director for nuclear policy and arms control on the National Security Council staff, he represented the White House in the talks that led to the signing of the 2002 Moscow Treaty to reduce strategic nuclear weapons. He subsequently coordinated the executive branch's negotiations with the Senate Foreign Relations Committee to ratify the Moscow Treaty, resulting in a 95-0 vote in favor by the full Senate.

From 2005 to 2007, General Klotz was the vice commander of Air Force Space Command, a 39,400-person organization with responsibility for developing, acquiring, and operating a global network of launch, satellite control, and missile warning facilities. He was awarded the prestigious General Thomas D. White trophy by the Air Force Association for the most outstanding contribution to progress in aerospace in 2006.

General Klotz has spoken extensively on defense and space topics to audiences throughout the United States, as well as abroad. He is the author of *Space, Commerce and National Security* (Council on Foreign Relations Press, 1998) and *America on the Ice: Antarctic Policy Issues* (National Defense University Press, 1990).

A distinguished graduate of the U.S. Air Force Academy, General Klotz attended Oxford University as a Rhodes Scholar, where he earned an MPhil in international relations and a DPhil in politics. He is also a graduate of the National War College in Washington, DC.

**James M. Lindsay**

James M. Lindsay is senior vice president, director of studies, and Maurice R. Greenberg chair at the Council on Foreign Relations (CFR) where he oversees the work of the more than six dozen fellows in the David Rockefeller Studies Program. He is a leading authority on the American foreign policymaking process and the domestic politics of American foreign policy.

Dr. Lindsay previously served as vice president, director of studies, and Maurice R. Greenberg chair at CFR from 2003-2006. Before returning to CFR in 2009, he was the inaugural director of the Robert S. Strauss Center for International Security and Law at The University of Texas at Austin, where he held the Tom Slick chair for international affairs at the Lyndon B. Johnson School of Public Affairs. Before joining CFR the first time, he served as deputy director and senior fellow in the foreign policy studies program at the Brookings Institution. From 1987 until 1999, he was a professor of political science at the University of Iowa. In 1996-1997 he was director for multilateral issues and global affairs on the staff of the National Security Council.

Dr. Lindsay has written widely on various aspects of American foreign policy and international relations. His book with Ivo H. Daalder, *America Unbound: The Bush Revolution in Foreign Policy* (Brookings Institution Press, 2003), was awarded the 2003 Lionel Gelber Prize, named a finalist for the Arthur S. Ross Book Award, and selected as a top book of 2003 by *The Economist*. His other books include *Agenda for the Nation* (with Henry J. Aaron and Pietro S. Nivola, Brookings

Institution Press, 2003), which was named an "Outstanding Academic Book of 2004" by Choice Magazine; and *Congress and the Politics of U.S. Foreign Policy* (Johns Hopkins University Press, 1994). He has also contributed articles to the op-ed pages of many major newspapers, including the *New York Times*, *Washington Post*, and *Los Angeles Times*. He writes the blog, "The Water's Edge," which discusses the politics of American foreign policy and the domestic underpinnings of American global power.

Dr. Lindsay holds an AB in economics and political science from the University of Michigan and an MA, MPhil, and PhD from Yale University.

**Dr. Clarence Lusane**

Dr. Clarence Lusane is a full professor of political science and international relations, and the program director of the comparative and regional studies program in the School of International Service at American University. He is also an author, activist, scholar, lecturer, and journalist. For more than thirty years, he has written about and been active in national and international human rights, anti-racism politics, U.S. foreign policy, and social issues such as education, crime, and drug policy.

Dr. Lusane spent two and one-half years living in London conducting research on racism and human rights in Europe, and working with European governments, institutions such as the European Union, the Council of Europe, and many non-governmental organizations. He is the former co-chair of the civil society committee for the U.S.-Brazil Joint Action Plan to Eliminate Racial Discrimination, a bilateral agreement involving governments and civil society. He has been an official election observer most recently in the Democratic Republic of the Congo.
Dr. Lusane has lectured and presented scholarly papers at a wide range of colleges and universities and has also lectured on U.S. race relations in over fifty nations. He taught previously at Columbia University.

Dr. Lusane's most recent book is *The Black History of the White House*. The book has been nominated for numerous awards and he has given two presentations on the book at the White House. Among his other books are *Colin Powell and Condoleezza Rice: Foreign Policy, Race, and the New American Century* (2006), and *Hitler's Black Victims: The Experiences of Afro-Germans, Africans, Afro-Europeans and African Americans During the Nazi Era* (2002).

Dr. Lusane has been a political consultant to the Congressional Black Caucus Foundation and to a number of elected officials and nonprofit organizations. He currently provides briefings on U.S. federalism to State Department international visitors and is also a senior policy advisor to TransAfrica.

Dr. Lusane is currently conducting research on the intersection of jazz and international relations; post-Castro race relations in Cuba; and the impact of President Barack Obama's election on the global discourse on race.

**Sebastian Mallaby**

Sebastian Mallaby is director of the Maurice R. Greenberg Center for Geoeconomic Studies (CGS) and Paul A. Volcker senior fellow for international economics at the Council on Foreign

Relations (CFR). An experienced journalist and public speaker, Mr. Mallaby is also a contributing editor for the *Financial Times* and served previously as a columnist and editorial board member at the *Washington Post*. His interests cover a wide variety of domestic and international issues, including financial markets, the implications of the rise of newly emerging powers, and the intersection of economics and international relations. In addition to his monthly column for the *Financial Times*, his recent writing has been published in the *New York Times*, the *Wall Street Journal*, and the *Atlantic Monthly*.

Mr. Mallaby's latest book *More Money Than God: Hedge Funds and the Making of a New Elite* was released in June 2010. *New York Times* columnist David Brooks has called it "superb." *Washington Post* columnist Steve Pearlstein has called it "the definitive history of the hedge fund history, a compelling narrative full of larger-than-life characters and dramatic tales of their financial triumphs and reversals." *More Money Than God* was the recipient of the 2011 Loeb Prize, a finalist in the *Financial Times*/Goldman Sachs prize, and a *New York Times* bestseller. Mr. Mallaby's previous books are *The World's Banker* (2004), a portrait of the World Bank under James Wolfensohn, which was named as an "Editor's Choice" by the *New York Times*; and *After Apartheid* (1992), which was named by the *New York Times* as a "Notable Book." An essay in the *Financial Times* said of *The World's Banker*, "Mallaby's book may well be the most hilarious depiction of a big organization and its controversial boss since Michael Lewis's, *Liar's Poker*."

Before joining the *Post* in 1999, Mr. Mallaby spent thirteen years with the *Economist*. While at the *Economist*, he worked in London, where he wrote about foreign policy and international finance; in Africa, where he covered Nelson Mandela's release and the collapse of apartheid; and in Japan, where he covered the breakdown of the country's political and economic consensus. Between 1997 and 1999, Mr. Mallaby was the *Economist*'s Washington bureau chief and wrote the magazine's weekly Lexington column on American politics and foreign policy. His *Foreign Affairs* essay on failed states in 2002 was cited by commentators in the *New York Times*, *Financial Times*, and *Time Magazine*. He is a two-time Pulitzer Prize finalist: once for editorials on Darfur and once for a series on economic inequality.

Mr. Mallaby was educated at Oxford. He graduated in 1986 with a First Class degree in modern history.

**Kimberly McClure**

Kimberly McClure is a nine-year foreign service officer with the U.S. Department of State and currently works on the "100,000 Strong" initiative, an Obama administration initiative launched in 2010 that seeks to increase significantly the number of American students studying in China While traveling frequently to China in her current role, Ms. McClure has spent most of her career working on South Asia policy in India, Afghanistan, Pakistan, and Washington. Following two-year assignments to Mumbai, India, and Kabul, Afghanistan, she worked as special assistant to Ambassador Richard Holbrooke, the U.S. special representative for Afghanistan and Pakistan; completed an International Affairs Fellowship with the Council on Foreign Relations; and completed assignments in the U.S. State Department's Bureau of Human Resources and Operations Center. As an international affairs fellow, Ms. McClure worked with Global Kids to launch a program for underserved youth in Washington, DC that introduces them to global issues, international careers, and study abroad. She has also served as an observer on the Council on Foreign Relation's Education Task Force. She also serves as co-chair of the Global Access

Pipeline, a consortium of over thirty-five organizations working to increase diversity in the field of international affairs.

Ms. McClure holds a BA in international relations from Stanford University and a master's degree in public policy from Harvard University's Kennedy School of Government. She has lived in Brazil, Egypt, India, and Afghanistan, and speaks Portuguese, Spanish, and Dari. **Harris Mylonas** Harris Mylonas is a political scientist interested in the processes of nation- and state-building, immigrant and refugee incorporation policies, the politicization of cultural differences, and political development. Dr. Mylonas joined the George Washington University faculty in fall 2009 as an assistant professor of political science and international affairs. He teaches courses on nationalism, European integration, nation-building in the Balkans, and qualitative research methods. For the 2008-2009 and 2011-2012 academic years, he was an academy scholar at the Harvard Academy for International and Area Studies.

Dr. Mylonas's forthcoming book, *The Politics of Nation-Building: Making Co-Nationals, Refugees, and Minorities* (Cambridge University Press), identifies the conditions in which the ruling political elites of a state target non-core groups with assimilationist policies instead of granting them minority rights or excluding them from the state. He is currently working on a second book project—tentatively entitled *The Politics of Ethnic Return Migration*—which focuses on state policies developed either to attract or to incorporate people returning to their country of origin, allegiance, or citizenship. Dr. Mylonas's recent publications include an article on third-party nation-building in occupied territories in *Ethnopolitics* (with Keith Darden), an article on Greece in the *European Journal of Political Research*, a chapter on nation-building in western Macedonia in the edited volume *Rethinking Violence: State and Non-State Actors in Conflict* (BCSIA International Security Series, MIT Press), an article on electoral competition in sub-Saharan Africa elections in *Comparative Political Studies* (with Nasos Roussias), and a chapter on Greek repatriation policies in *Immigrants and Minorities: Discourse and Policies* (Vivliorama/KEMO, with Elpida Vogli). He has also written opinion pieces on international affairs which have appeared on CNN.com and in the *Los Angeles Times,* the *Guardian, Foreign Policy,* and *Newsweek Japan*, among others.

Dr. Mylonas received his PhD from Yale University in 2008.

**Kristen Silverberg**

Kristen Silverberg is the former U.S. ambassador to the European Union. From 2005 to 2008, she served as assistant secretary of state for international organization affairs. She previously held a number of positions in the White House, including deputy assistant to the president and advisor to the chief of staff. In 2003, she served as a senior advisor to Ambassador L. Paul Bremer in Baghdad, Iraq.

Ambassador Silverberg formerly practiced law at Williams and Connolly, LLP in Washington, DC. She was a law clerk to Justice Clarence Thomas of the U.S. Supreme Court and Judge David Sentelle of the U.S. Court of Appeals. She graduated from Harvard College and the University of Texas School of Law. She serves on the board of directors of Vorbeck Materials and the board of trustees of the American College of Greece.

Ambassador Silverberg currently serves as the president of United Against Nuclear Iran and as a senior resident fellow at the German Marshall Fund. She was selected by the World Economic

Forum as a Young Global Leader of 2009. She received the Secretary of Defense Award for Outstanding Public Service and an award from the University of Texas as an Outstanding Young Alum.

**Victoria Taylor**

Victoria Taylor is an international affairs fellow in residence at the Council on Foreign Relations (CFR) in Washington, DC. She is a career foreign service officer at the U.S. Department of State. Ms. Taylor joins CFR from the Department of State's Office of Southern European Affairs. As the Turkey desk and southern European economic affairs officer, she managed a wide range of bilateral policy issues with Turkey and has worked to promote U.S. economic interests in Turkey, Greece, and Cyprus. From 2008 to 2009, Ms. Taylor worked in the Office of Iranian Affairs, where she managed the nonproliferation and Iranian foreign policy portfolio. Since joining the State Department in 2003, she has served as an economic officer in the U.S. embassy in Tunis, Tunisia (2006-2008); as the political and economic officer in the U.S. consulate in Lahore, Pakistan (2006); and as a vice consul at the U.S. embassy in Islamabad, Pakistan (2004-2005). Ms. Taylor holds a BA in international relations and diplomatic history from the University of Pennsylvania and an MSc from the London School of Economics and Political Science in development studies. She speaks French, Mandarin, and Urdu.

**Mark V. Vlasic**

Mark V. Vlasic has served as a soldier, a lawyer, a professor, and a diplomat, and has worked for the White House, the Pentagon, the World Bank, the United Nations, and a large international law firm. He is currently a senior fellow and adjunct professor of law at Georgetown University and a principal at Madison Law & Strategy Group PLLC, where he heads the firm's international practice. He also serves as a senior advisor to Madison Strategies LLP. Prior to his return to academia and private practice, Mr. Vlasic was a public sector specialist at the World Bank Group, where he served as head of operations of the Stolen Asset Recovery (StAR) Initiative. A member of StAR's management team, He was responsible for country engagements on four continents, furthered bilateral relations with major financial centers, foreign governments, and civil society organizations, and worked on cases involving Sani Abacha of Nigeria and Jean-Claude Duvalier of Haiti, among others. Before joining the World Bank, Mr. Vlasic was selected and appointed by the president to serve as a White House fellow. As part of his nonpartisan fellowship, he served as a special assistant to the secretary of defense (focused on foreign policy issues and bilateral relations) and helped advise the president's special envoy to Sudan. In recognition of his contributions to the department, he was awarded the Secretary of Defense Medal for Exceptional Public Service by Secretary Robert M. Gates, the highest non-career award in the office of the secretary of defense. Prior to his government service, Mr. Vlasic practiced law in the litigation, public policy, banking, and international trade practice groups at Gibson, Dunn & Crutcher LLP, and served as a prosecution attorney at the United Nations International Criminal Tribunal for the former Yugoslavia in The Hague. An adjunct professor of law at Georgetown University Law Center and senior fellow at Georgetown's Institute for Law, Science & Global Security, Mr. Vlasic has provided advice to the U.S. National Intelligence Council and the Central Intelligence Agency, and has lectured at numerous academic institutions on both sides of the Atlantic. He also serves on the board of directors of the White House Fellows Association & Foundation, the NCAC Fulbright Association, and the Humanity in Action Foundation.

**Carmencita N. Whonder**

Carmencita N. Whonder is a policy director in the Washington, DC office of Brownstein Hyatt Farber Schreck, LLP where she is a member of the government relations department. She provides strategic public policy advice to clients primarily in the financial services and housing sectors before the U.S. Congress and executive branch agencies. Prior to joining Brownstein, Ms. Whonder served as the staff director for the Senate subcommittee on housing, transportation, and community development and as the principal adviser on the Senate Banking, Housing and Urban Affairs Committee to United States Senator Charles E. Schumer (D-NY). During the 109th Congress she held the position of minority staff director for the Senate subcommittee on economic policy. For four years, she was responsible for issues including banking, financial institutions, securities and commodities markets, economic and monetary policy, the Committee on Foreign Investment in the United States, insurance, consumer protection, housing and community development, and trade.

Ms. Whonder previously worked as a leadership education counselor for Gates Millennium Scholars Program, a $1 billion education initiative of the Gates Foundation administered by the United Negro College Fund. Prior to that, she worked in Geneva, Switzerland at the World Intellectual Property Organization, a United Nations specialized agency, focusing on Internet and domain name disputes and trade and investment in least developed countries. Additionally, she previously worked for the U.S. ambassador to the UN Commission on the Status of Women at the Center for Policy Alternatives, assisting her to develop two transatlantic summits: the first summit on the role of women in the political and policy arenas in Belfast, Northern Ireland and the second summit on the role of women in the economy at Downing Street in London, England.

Ms. Whonder holds a bachelor's degree from Howard University, a master's degree from the Johns Hopkins University School of Advanced International Studies (SAIS), and a certificate from the Universidad de Pontificia de Salamanca in Salamanca, Spain. She is a term member of the Council on Foreign Relations, an Aspen Institute Socrates Society scholar, a member of the Young Leaders Circle and an associate with the Milken Institute. Currently, she is a member of the board of directors of the DC Jazz Festival, an advisory committee member of the Reading Connection, and a member of the leadership committee of Manna, Inc.

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**Appendix B: Biographies of Robina-Supported HIA participants**

**Emmanuella Asabor**, a rising senior at Harvard University, was born in London, lived in Lagos, Nigeria for a few years, and now calls New York City home. A degree candidate in History and Science and a Mellon Mays Undergraduate Fellow, her academic interests span global health and medicine, international diplomacy, and economic development. Ms. Asabor has spent her extended breaks working for the Global Fund to Fight AIDS, Tuberculosis and Malaria in Geneva, Switzerland (2011), serving as the financial sustainability intern at the Nyakibale Childhood Malnutrition Clinic in Rukungiri, Uganda (2011), conducting research on the molecular genetics of the malaria parasite at the Harvard School of Public Health (2010), and teaching high school chemistry and biology as an undergraduate Teach For America intern (2012). Outside of work and the classroom, she is actively involved with youth and education initiatives at the Phillips Brooks House Association, maternal health advocacy at Health Leads, and the social action committee of the Association of Black Harvard Women. Emmanuella recently joined the US team of Sweetly Designs, a fair trade jewelry social enterprise.

**Elegance Bratton** spent five years as a United States Marine Corps Combat Production Specialist. During his service, Mr. Bratton worked as a photographer and filmmaker in Korea and Thailand. While there, he was astounded by the meaning of poverty in the third world. Of particular interest was the space that Kitoi (trans-women) were afforded in all strata of Thai society. While in garrison, Mr. Bratton also worked as a freelance music journalist and event photographer. Mr. Bratton was honorably discharged in November 2010 and immediately began studying at Columbia University's School of General Studies. Currently a sophomore double major in in African American Studies and Anthropology, Mr Bratton has maintained his interest in issues surrounding gender, race, and poverty. Currently, Mr. Bratton is in production of his first film, "Pier Kids: The Documentary Film", which tells the story of gay and transgendered youth of color who navigate Christopher Street and its piers. Principal photography for the film, and his undergraduate education, are set to be completed by January 2014.

**Raymundo (Alex) Cárdenas** graduated from Cornell University in 2010 with a degree in Political Science. His academic focus was immigration policy and history, and he also studied abroad for a year in Berlin (2009). Alex has a special interest in immigrant detention centers and has worked with different organizations on topics related to ethnic media and politics. After his graduation from Cornell, Alex spent a year in Washington, DC, working at White & Case LLP,

where he was a Legal Assistant in the International Arbitration practice group. Alex is currently finishing a public affairs fellowship in San Francisco, CA, with the Coro Fellows Program.

**Alissa Escarce** graduated from Princeton University in 2011, where she majored in History and minored in Latin American Studies. Through her coursework and repeated trips to Mexico, she developed a strong interest in immigration, minority rights, education, and social and economic justice in the United States and Latin America. Midway through college, she took a leave of absence to spend six months in Mexico, interning first with a Mayan women's theater collective and community education center, and then with Centro de los Derechos del Migrante (CDM), a transnational migrant workers' rights law center. She returned to Mexico to conduct archival research for her senior thesis, which examined the origins of the Mexican government's development programs in indigenous communities. Following graduation, Alissa resumed her work with CDM as Princeton University's Labouisse Fellow, supporting popular education campaigns and conducting research on the effects of the U.S. guest worker program out of CDM's new office in the indigenous Mixtec region. She plans to enter the Teacher Education Program at UCLA in the fall of 2012.

**Andrea Cristina (Cristi) Ruiz** recently graduated from the George Washington University with a dual degree in Economics and International Affairs, with a concentration in International Economic Development and Latin America. Her inspiration came from her experience as founder of Global Youth Initiative, an organization dedicated to increasing the quality of education through literacy and youth-to-youth engagement. Global Youth Initiative has started 12 libraries in Costa Rica, Ecuador, and Panama. Her organization has received funding from Ashoka's Youth Venture and Nestle Very Best in Youth, and it was featured at the Clinton Global Initiative University Conference. She was further motivated by the Benjamin Franklin Transatlantic Fellowship Initiative, a fellowship that brings together students from the US, Europe, and Central Asia to discuss issues facing their countries and to foster youth civic diplomacy and activism. Andrea Ruiz also participated in programs with People to People International, including the Global Youth Forum and a study trip to Japan. Ms. Ruiz has since spent her spare time with her organization as well as interning at several institutions that work in International Development, such as the Ashoka, The Organization of American States, the Institute for International Economic Policy, and the Ecuadorean government. Ms. Ruiz has researched political movements and their effects on the indigenous population, women, and other ethnic minorities. Her thesis focused on income wage differences of indigenous populations in Ecuador and was featured in the George Washington Universities Research day Symposium. She likes to run half marathons and is very close to earning her black belt in Shoto-Kan Karate through the Japanese Karate Association.

**Allen Sanchez** graduated from Yale University with a degree in American Studies and a concentration in "The International United States." Throughout college, Mr. Sanchez directed a mentoring program for inner city youth, coached a youth water polo team, and started a campaign to reform investment ethics at Yale. During his summers, he worked as a labor union organizer in the hotel and hospitality industry in Los Angeles, CA, and as a community organizer in the warehousing and logistics industry in the Inland Empire in Southern California. After university, he took his experiences abroad, where he currently works as a secondary school social studies and history teacher at an international school in Seoul, South Korea. He is currently a volleyball coach, student government adviser, and an adviser to several on-campus North Korean human rights clubs. He is also active with Seoul-based North Korean human rights organizations and is

currently working on a plan to streamline the process for foreigners living in South Korea to get more involved with local human rights issues.

**Kashay N. Sanders** graduated from Dartmouth College with a major in Women's & Gender Studies and a double minor in Anthropology and Japanese. She spent her college career heavily invested in issues of youth empowerment, diversity, and gender equality. During this time, she chaired committees such as Diversity & Community Affairs and served as an intern for Dartmouth's Center for Women & Gender. Off campus, Ms. Sanders held internships at the New York Women's Foundation in New York, NY, the Cornerstone Foundation in San Ignacio, Belize, and Feminist Majority Foundation in Washington, DC. Currently, she works for the IDEX Fellowship in Social Enterprise in Hyderabad, India. This year, the program placed fellows in low-income schools to help improve the quality of education. As an IDEX fellow, Ms. Sanders put her passions for youth, gender empowerment, and education to work by focusing on three core areas: curriculum development and classroom innovation, teacher support, and career-knowledge/forward-thinking. In August, she will return to India to work with Voice4Girls, a girls' empowerment NGO. Their flagship program is a four-week life skills and English-immersion summer camp for girls who live in low-income, slum communities.

**Brandon Tensley** graduated from Furman University in 2012 with degrees in German Studies and Political Science. While a student at Furman, Brandon had the opportunity to travel to Germany and Sweden in 2009 and to Austria, the Czech Republic, Germany, and Poland in 2011. He was active in a spectrum of activities on campus, including serving as the president of the Model United Nations, a mentor with the Legacies Peer Mentoring Program for Multicultural Students, and founding and directing Men of Distinction, a service program for at-risk middle-school males in the local community. Brandon spent his summers doing constitutional law research at his university and serving as a legal intern at Kilpatrick Townsend & Stockton LLP in Atlanta, GA. Brandon has been selected as a Fulbright Scholar and will spend the 2012-2013 academic year doing research and serving as an English teaching assistant in Germany. Afterward, he hopes to pursue a career in comparative politics and international relations.

**Calvin Walds** is a double major in Political Science and Ethnic Studies with a minor in History at Albion College, in Albion, MI. Born and raised in Detroit, MI, Mr. Walds has most recently completed his senior thesis using the nonfiction essays of James Baldwin and Ralph Ellison to explore how stereotypes of African-Americans in 20th American literature masked the "Negro's humanity." While a student at Albion, he has held leadership positions within the Black Student Alliance and Ethnic Studies Scholars. He has served as a mentor and tutor to minority and non-traditional students since his sophomore year, and recently co-founded a book club for a local high school. He presented research concerning the intersection between race and politics at the 2009-2011 GLCA undergraduate conferences. He has interned with Congressman John Conyers Jr. (2011) and with the National Black Justice Coalition while he was a "New Leader" with the Center for Progressive Leadership in Washington, D.C. (2010). He studied the sociopolitical dimensions of South Africa's transition to democracy in Durban and completed an independent research project on the racial diversification of South Africa's media industry (2011). As part of this project, he interned and wrote for Durban-based Genuine Magazine.

**Hana Worku** is an alumna of the University of Minnesota-Twin Cities. She graduated in 2011 with a self-designed degree entitled 'Race and Activism.' Throughout her university career, Ms. Worku has sought to integrate community work with her academic studies—bridging theory and

practice. This work has now carried her into the field of community organizing and her current position as a Research and Organizing Associate at the Organizing Apprenticeship Project- a statewide racial justice organization. She also started a grassroots group in Minneapolis called the Youth Education Justice Initiative, which uses popular education as a tool for engaging young people and neighbors around key social justice issues.

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**Appendix C: Humanity in Action Information Sessions for the 2013 Fellowship**

| School | Presenter | Affiliation | Date of Session |
|---|---|---|---|
| Arizona State University | Ryan Gayman | HIA Senior Fellow | December 7, 2012 |
| Brown University | Saskia Brechenmacher | HIA Senior Fellow | December 7, 2012 |
| Bryn Mawr College | Diana Tung | HIA Senior Fellow | December 10, 2012 |
| Columbia University | Janine White, Amber Henry, Danielle Goonan | HIA Senior Fellows | December 12, 2012 |
| Emory University | Dr. Judith Goldstein | HIA Executive Director | November 15, 2012 |
| George Washington University | Andrea Ruiz | HIA Senior Fellow | December 6, 2012 |
| Harvard University | Molly Bryson, Nadia Farjood | HIA Senior Fellows | December 13, 2012 |
| Haverford College | Diana Tung | HIA Senior Fellow | December 10, 2012 |
| Macalaster College | Terin Meyer | HIA Senior Fellow/American Planning Board member | December 11, 2012 |
| Morehouse College | Dr. Judith Goldstein | HIA Executive Director | November 15, 2012 |
| Rutgers University | Janine White, Amber Henry, Danielle Goonan | HIA Senior Fellows | December 11, 2012 |
| Smith College | Sarah Loomis | HIA Senior Fellow | December 5, 2012 |
| St. Olaf College | Terin Meyer | HIA Senior Fellow/American Planning Board member | December 10, 2012 |
| Stanford University | Priya Fielding-Singh | HIA Senior Fellow | December 6, 2012 |
| The New School | Phil Ugelow, Pamela Rykowski | HIA Deputy Executive Director, HIA Communications Director | December 4, 2012 |
| University of Michigan | Amre Metwally | HIA Senior Fellow | December 6, 2012 |

| | | | |
|---|---|---|---|
| University of Pennsylvania | Pamela Rykowski | HIA Communications Director | October 25, 2012 |
| University of Pittsburgh | Ryan Gayman, Dr. Judith Goldstein | HIA Senior Fellow, HIA Executive Director | November 29, 2012 |
| University of Virginia | Gagan Gupta | HIA Senior Fellow | November 28, 2012 |
| University of Southern California | Amy Jensen | HIA Senior Fellow | December 12, 2012 |
| Wellesley College | Elizabeth Breese | HIA Senior Fellow | December 5, 2012 |
| Woodrow Wilson International Center for Scholars | Luciana Debenedetti | HIA Senior Fellow | December 5, 2012 |
| Yale University | Aseem Mehta, Dr. Judith Goldstein | HIA Senior Fellow, HIA Executive Director | November 5, 2012 |
| Yale University – African American Cultural House | Amy Larsen | HIA Senior Fellow | December 10, 2012 |

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**Appendix D: Biographies of CFR Franklin Williams Interns**

**Melissa Beale** was a Franklin Williams intern working in the Global Communications and Media Relations department in CFR's Washington office during the fall 2012 semester. She holds an Associate Degree in English Literature and Law from Barbados Community College, a BA in English Literature from Florida International University and completed her Masters in International Service from the American University in December 2012. Ms. Beale had also interned at the Council on Hemispheric Affairs and the Organization of American States.

**Maya Dawit** is a current Franklin Williams intern working in the CFR.org department in CFR's Washington office. She is currently pursuing her BA in Journalism at the University of Maryland, College Park. Ms. Dawit interned with Comcast Studios and DonorSearch, and served as an on-campus interview assistant for the University of Maryland's Career Center.

**Jacqueline (Jackie) Morea** is a current Franklin Williams intern working with the Civil Societies, Markets and Democracy Initiative in CFR's New York office. She is a pursuing a BA in International Relations and Middle Eastern Studies at the Johns Hopkins University. Ms. Morea was chosen by the US Department of State to be an Arabic Critical Language Scholar in Salalah, Oman. She has worked as a research assistant for the Comparative Studies Program in the Arnold A. Saltzman Institute for War and Peace Studies at Columbia University's School of International and Public Affairs.

**Juan Ramirez** was a Franklin Williams intern working with the New York Meetings department in CFR's New York office during the fall 2012 semester. He is currently a student at Columbia University where he is pursuing a BA in Political Science/International Relations. Before beginning his internship at CFR, Mr. Ramirez interned at the World Trade Center, Orlando, where he initiated a program sending biweekly news briefs to over one hundred WTCO members in English, and then translated those letters into Spanish to better reach the Spanish-speaking community. He was an organizer for Organizing for America, a national grassroots effort to reelect President Obama.

**Farrah Ricketts** is a current Franklin Williams intern working with an International Economics scholar and research associate within CFRs Studies Program in the New York office. She is a student at Columbia University, where she is pursuing a BA in Political Science. Ms. Ricketts plans to attend law school upon graduating. Prior to CFR, she interned in the legal personnel department of Wilmer, Cutler, Pickering, Hale and Dorr LLP. She has held a number of internships before that, including at the American Civil Liberties Union, where she researched national security projects.

**Council on Foreign Relations**
**Diversity Profile for the Robina Foundation**
February 2013

The Council on Foreign Relations (CFR) strives for diversity among its nearly 4,700 members, on its staff, on its Board of Directors, and in its programming for students, educators and religious groups. CFR defines diversity broadly, including racial, ethnic, gender, political, religious, sexual orientation, geographical, and professional considerations. CFR classifies minorities using the guidelines established by the Equal Employment Opportunity Commission: Black or African American; Hispanic or Latino; Native Hawaiian or other Pacific Islander; Asian; American Indian or Alaska Native. CFR has undertaken many diversity initiatives in its ninety year history, and it is currently advancing several strategic partnerships that foster diversity in the foreign policy field.

Since CFR reported to Robina on its diversity mission two years ago, CFR has succeeded in increasing the diversity of its membership, its staff, its Board of Directors, and its David Rockefeller Studies Program. In terms of CFR's membership, the percentage of minority term members has increased in the last two years (31 percent, up from 26 percent) and the percentage of women as part of CFR's overall membership has increased as well (27 percent, up from 26 percent). More minorities and women at the professional staff level are working at CFR today as compared to two years ago. The percentage of professional staff positions held by African-Americans, Hispanics, and Asians has increased (23 percent, up from 20 percent), as has the percentage of professional staff positions held by women (57 percent, up from 54 percent). CFR now has more women and minorities as part of its Board of Directors. Minority membership now stands at 25 percent (up from 17 percent), and female membership stands at 33 percent (up from 31 percent). Finally, the number of women among the full-time fellows increased by one.

**Membership**
CFR continues to focus on diversifying its life and term member programs by actively encouraging accomplished women and minorities to apply for membership. (Term members are distinguished young men and women selected when they are between the ages of thirty and thirty-six for five-year membership terms.) CFR's nearly 4,100 life members and 600 term members include government officials, renowned scholars, business leaders, acclaimed journalists, prominent lawyers, and distinguished nonprofit professionals. The overall membership is divided almost equally among members living in New York, Washington, DC, and across the country and abroad, and it represents a diverse group unmatched in accomplishments in the fields of international affairs. Today, women constitute 27 percent of CFR's overall membership and African Americans, Asians, and Hispanics constitute 15 percent. Among CFR's term members, 40 percent are women and 31 percent are minorities. CFR maintains its commitment to engaging this group of young leaders in a sustained conversation on U.S. foreign policy as they are an important part of the pool from which it draws life members.

Since 2011, the percentage of minorities among term members has risen to 31 percent (up from 26 percent). The percentage of women as part of CFR's overall membership has increased by one percentage point (27 percent, up from 26 percent).

**Staff**

CFR is an equal opportunity employer and actively seeks candidates from diverse backgrounds. It is CFR's policy not to discriminate against any applicant or employee on the basis of age, race, creed, color, national origin, sexual orientation, military status, sex, disability, genetic predisposition or carrier status, or marital status. This policy applies to all employment and personnel practices including recruitment, hiring, promotion, transfer, benefits administration, training, compensation, and termination.

Currently, 57 percent of CFR's staff are women and 27 percent are minorities. Thirty-seven of the 163 professional staff members are African-American, Asian, or Hispanic and ninety-three of the 163 are women. (CFR defines professional staff as mid-level through senior management positions, ranging from assistant directors through vice presidents.) Forty of 121 support staff members are African-American, Asian, or Hispanic and seventy-one of 121 are women. (CFR defines support staff as positions below the level of mid-management, including research associates and program associates.) CFR's senior management consists of seven women and four men.

Since 2011, the percentage of women on CFR's staff has increased by one point (57 percent, up from 56 percent). The percentage of minorities and women among the professional staff has risen as well. African-Americans, Hispanics, and Asians now hold 23 percent (up from 20 percent) of professional staff positions at CFR; women account for 57 percent (up from 54 percent).

**Board of Directors**

A major reason for expanding the Board of Directors in 2006 was to increase diversity in CFR's leadership, and CFR continues to work to achieve a better balance. Twelve of the thirty-six Board members are women. Nine of the thirty-six Board members are minorities.

Since 2011, the percentage of women and minorities on CFR's Board has increased. Women account for 33 percent of Board membership (up from 31 percent), and minorities account for 25 percent (up from 17 percent).

**David Rockefeller Studies Program**

The core members of the David Rockefeller Studies Program, CFR's think tank, are the thirty-five full-time fellows. Their efforts are complemented by eighteen adjunct fellows who typically hold full-time positions elsewhere and provide project-specific services to CFR. CFR actively recruits fellows from underrepresented populations. The pool of all candidates qualified to be fellows is small and the number of qualified candidates from underrepresented populations is smaller still. This makes successfully hiring minorities a tremendous challenge, and it is the reason that CFR launched the Expanded Diversity Initiative.

| Fellows | Minority | Women | Total |
|---|---|---|---|
| Full- time | 2 | 9 | 35 |
| Adjunct | 2 | 4 | 18 |
| Total | 4 | 13 | 53 |

The number of full-time or part-time fellows who are minorities has held steady since 2011. (CFR's 2011 report to the Robina Foundation inadvertently counted two minority adjunct fellows as both full-time and adjunct fellows.) The number of women serving as full-time fellows rose by one, to nine.

**Fellowship Affairs**

CFR runs eight active fellowship programs. These programs enable promising young and mid-career government officials, private sector employees, and academics to spend up to a year working either in government or outside of it on a project of their choice. Individuals selected by a fellowship program who work on their project at CFR are considered visiting fellows. Individuals selected for a fellowship that they spend in government or at another think tank are considered by CFR to be fellows not-in-residence. CFR aggressively recruits among underrepresented groups for fellowship applicants. As in the case of the core staff of the Studies Program, the pool of applicants that meet the criteria of a specific fellowship program can be quite small; many of the fellowship program, per the wishes of the donor or sponsor, support work in specific fields (e.g., nuclear security, Japan). Moreover, in the case of the military and intelligence fellowships the sponsoring organization, not CFR, determines who will be nominated for the award.

| Fellows | Minority | Women | Total |
|---|---|---|---|
| Visiting | 0 | 3 | 12 |
| Not-in-residence | 0 | 3 | 13 |
| Total | 0 | 6 | 25 |

No minorities (down from four in 2011) and only six women (down from ten in 2011) held visiting or non-resident visiting fellow positions at the start of 2013. This change largely reflects the vagaries of the applicant pool in any given year. CFR continues to make it a priority to identify and recruit minorities and women to apply for its fellowships, and the Expanded Diversity Initiative has enabled CFR to broaden and deepen its contacts in minority communities. CFR has also expanded membership on its fellowship selection committees to include more members of underrepresented groups.

**Franklin Williams Internship**

The CFR Internship Program offers outstanding opportunities for college and graduate students focusing on international relations who are considering a career in foreign policy or a related field to spend a semester at CFR. Competition is fierce, with thousands of applicants for a small number of internships available in New York and Washington, DC, each year.

CFR's commitment to promoting a diverse workforce extends to its internship program. Beyond this commitment, CFR offers the Franklin Williams internship, designed to provide opportunities for underrepresented populations in New York and Washington, DC, to participate in the internship program. CFR established the internship in 1990 in honor of the late Ambassador Franklin H. Williams, a distinguished foreign policy expert and former CFR director who helped to form several organizations that advance opportunities for American minority groups, including the Association of Black American Ambassadors.

Minority college and graduate students who are studying international relations or a related field are strongly encouraged to apply, and the internship has been filled primarily by African-American and

Hispanic students. With the support of the Robina Foundation, CFR has been able to increase the annual number of Franklin Williams interns from two to five. All CFR interns have the opportunity to attend CFR's Meetings Program events and to participate in CFR's Intern Professional Development Program, which seeks to further develop the knowledge and career skills of interns as a foundation for possible future work in the foreign policy arena.

**Outreach Program**
CFR has a formal Outreach Program that seeks to connect with and serve as a resource for academics, including both educators and students; religious and congregational leaders and scholars; and state and locally elected officials and their staffs. These groups represent a wide cross section of the population and reflect the shifting demographics of the United States.

**Global Kids**
For more than a decade, CFR has partnered with Global Kids, a high-school and after-school program for at-risk urban youth. The mission of the organization is to ensure that urban youth have the knowledge, skills, experiences, and values they need to succeed in school, participate effectively in the democratic process, and achieve leadership in their communities and on the global stage. CFR sponsors a range of programs with and for Global Kids each year. This includes hosting a three-week summer institute for high school students at CFR's New York headquarters, which includes presentations by CFR fellows on foreign policy topics and a session on career planning. CFR also organizes and hosts a monthly roundtable on foreign policy topics for Global Kids. During these sessions, CFR staff gives historical background and current policy perspectives on pressing international topics and engages the students in discussion. Once a year, CFR also hosts the Global Kids fund-raising gala. The *New York Times* and the *Huffington Post* both published pieces highlighting CFR's ongoing collaboration with Global Kids in 2010.

**Global Access Pipeline (GAP) Project**
CFR is actively involved in a consortium, the Global Access Pipeline (GAP) project. The mission of GAP is to enhance the quality and diversity of U.S. participation in international affairs by encouraging collaboration among internationally-oriented programs for the underrepresented, from the pre-collegiate level through mid-career professional development programs, and linking these to diversity efforts with leading research and policy institutions, such as CFR. Along with the alumni association of the International Career Advancement Program, CFR and GAP have partnered to organize an annual, two-day joint conference on diversity in international affairs with the support of the Robina Foundation. The conference will be held for the first time on April 26-27, 2013, at CFR's Washington, DC, office.

**International Career Advancement Association (ICAA)/ International Career Advancement Program's Alumni Association (ICAPAA)**
ICAPAA is the alumni association of the International Career Advancement Program, which seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. CFR has partnered with the ICAPAA and the Global Access Pipeline to organize an annual, two-day joint conference on diversity in international affairs. With the understanding that the path toward increased diversity in international affairs must start with early exposure and extend through the creation of international leadership opportunities, the CFR–ICAPAA–GAP conference looks to engage a mix of students and mid-career professionals

ranging from high school to graduate school. Additionally, CFR nominated one of its mid-career professionals, Roma Kaundal, to apply for the 2012 program; and was pleased that she was selected. Ms. Kaundal is part of the planning committee that is bridging CFR with ICAPAA.

**Humanity in Action (HIA)**
CFR works with Humanity in Action to support minority participation in its summer fellowship programs and hosts a two-day workshop at the CFR office in Washington, DC, each summer for all of the American participants in that summer's HIA program. With the support of the Robina Foundation, CFR's workshop includes all the HIA students in recognition of the fact that promoting minority involvement in foreign policy requires both building networks within minority communities and integrating those networks into the broader foreign policy community.

**Think Tank Consortium on Diversity**
Established in 2005, the Think Tank Consortium on Diversity consists of eighteen major think tanks undertaking a sustained and multifaceted campaign to enhance diversity throughout the think tank world. Consortium members, including CFR, recognize that think tanks need a more diverse perspective on critical public policy issues to enhance the quality and richness of their work. Areas of focus on the part of the consortium include research on and analysis of barriers to employment faced by entry-level minority candidates.

**Colin Powell Center for Policy Studies at the City College of New York**
CFR works with the Colin Powell Center for Policy Studies at the City College of New York to host small student groups for customized briefings by CFR scholars and staff throughout the year. Established in 1997, the Center's mission is to prepare new generations of publicly engaged leaders from populations previously underrepresented in public service and policy circles. Additionally, students from the Powell Center are invited to attend select CFR meetings over the course of the program year.

**Outreach to Historically Black Colleges and Ethnically Diverse Institutions**
Since CFR's Academic Initiative was founded in 2005, a special effort has been made to reach out to historically black colleges, community colleges, and organizations that advance opportunities for minority groups. With the support of the Robina Foundation, CFR staff participated in six career fairs targeting underrepresented students. Career fairs included the Atlanta University Consortium Center—which brings together students from Clark Atlanta University, Morehouse College, and Spelman College—and the Liberal Arts Career and Internship Fair at the University of Texas at Austin (whose student body is 20 percent Latino and 5 percent African American). Meetings with department chairs and professors from historically black colleges were arranged to further deepen contacts and raise awareness of both CFR's work and the Franklin Williams internship. Another example is CFR's Higher Education Working Group, which convenes college and university presidents at the New York headquarters twice a year to explore the role of higher education institutions in meeting the challenges posed by major global issues. Invitees have included the presidents of Tuskegee University, Spelman College, Morehouse College, Fisk University, and select colleges within the City University of New York system. As part of its educational outreach activities to students, CFR offers foreign policy briefings to college classes in New York and Washington, DC. Past participants have included Howard University's Charles B. Rangel International Affairs Program and the United Negro College Fund Institute for International Public Policy Fellows Program.

**Academic Initiative**

In order to maintain closer contacts with the education community, CFR recently held two inaugural educators workshops, at the secondary and post-secondary level. The purpose of the workshops was to introduce CFR resources for the classroom and discuss with educators the needs of their students. In both cases, efforts were made to include schools for less-privileged students.

**Religious Diversity**

The Religion and Foreign Policy Initiative provides a nonpartisan forum to deepen the understanding of issues at the nexus of religion and U.S. foreign policy. CFR connects with, and serves as a resource for, religious and congregational leaders, scholars, and thinkers whose voices are increasingly important to the national foreign policy debate. The annual Religion and Foreign Policy Summer Workshop brings together an ethnically and spiritually diverse group including representatives of sects of the Christian, Jewish, Muslim, Zoroastrian, Buddhist, and Hindi traditions.

**Robina Foundation Board Meeting**
**Meeting Minutes**
**November 13, 2012**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on November 13, 2012, via conference call.

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

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

Mary Lou White was present and served as recorder.

**Welcome and Call to Order**
Crosby, Chair, called the meeting to order and welcomed Board Members.

**Minutes of July 31 – August 1, 2012 Annual Meeting**

A motion made and seconded to approve the Minutes of July 31 – August 1, 2012 annual meeting was approved unanimously.

**Executive Director's Report**
Hunt called Board Members' attention to several items in the Executive Director's Report in the Board Book.

**Discussion of Robina's Future Grantmaking**
Board Members reviewed "big, bold ideas" for the Foundation's future submitted by Robina Grantees and Board Members. Although it was determined that the request for bold ideas did not generate new directions for the Foundation, the Board discussed the ideas submitted and identified a few ideas that might merit further discussion, including:

Abbott Northwestern Hospital: While ANWH's submission did not include specific ideas, Board Members appreciated the business model outlined and may in the future ask for more detail.

Council on Foreign Relations: Of the ideas put forth by CFR, Board Members expressed interest in understanding how CFR could become more involved with global health, in particular, how CFR would work with or relate to work of other foundations currently involved with global health issues. Global warming also is of interest to Board Members. When the Board meets with CFR in February, the Board will want to discuss those two items to get a sense of what CFR is doing or could do in those fields, as well as the evaluation of CFR's partnership with Humanity in Action to expand diversity among foreign policy professionals.

University of Minnesota Law School: Board Members asked Blatz and Hunt to work with Dean Wippman to learn the University's response to the following questions about the University's proposal for the "Binger Center for New Immigrants":

- Is there a bigger vision to impact immigration policy behind the vision articulated for the pilot phase of the Binger Center?
- Does the University have the manpower to pull off the center as described?
- Should we hire an outside expert to help us understand the value of creation of the Binger Center, not only for students who would participate, but also for the broader field?

Yale: Of the six proposals submitted, Board Members expressed interest in continuation of support for the Robina Human Rights Initiative at Yale Law School and Yale's ideas for changes at Yale School of Management to "Redefine Global."

Board Members decided to dedicate time at the February Board Meeting for a thorough internal Board discussion of the future direction of the Foundation.

**University of Minnesota Law School**

Sentencing Law Program Enhancements

Following discussion of the four options proposed by the University of Minnesota to enhance the sentencing law work of the Robina Institute for Criminal Law and Criminal Justice, Blatz and Hunt agreed to talk with Dean Wippman about the U's priorities among the four alternatives and the possibility of engaging an expert to help the Board assess the status of the sentencing initiatives and the opportunities for enhancement.

**Abbott Northwestern Hospital**

Following discussion of Abbott Northwestern Hospital's proposal for the use of funds remaining from the Robina Foundation's grant to support the Care Guide Initiative

> Upon motion made and seconded, the Board unanimously approved the expenditure of approximately $2 million in funds remaining from the Care Guide Initiative to support the establishment of the *Center for Promoting the Inclusion of Laypeople on Care Teams (CoPILoT)* as described in Abbott Northwestern Hospital's proposal included in the Board Book.

**Treasurer's and Legal Report**

Crosby reviewed Mike Sullivan's Quarterly Financial Report dated September 30, 2012, noting in particular that thanks to Ed Spencer who advocated conservative financial management, the Foundation's assets have not been adversely affected by changes in the market. Notwithstanding Sullivan's view that the Foundation should hold U.S. bonds rather than the corporate bonds currently in the Foundation's portfolio, the Foundation's returns have been 2% - 2.5%. At Board Members' request, Crosby will obtain more detailed information on the Foundation's Flag Venture Partnerships to understand the substance of the partnerships and their realistic value.

Crosby reported that a stipulation concerning the IRS refund should be signed on or about November 15, 2012, so that payment of funds owed to the Foundation should take place 30 to 60 days after the date the stipulation is signed. Notwithstanding the high fees paid by the Foundation in connection with settlement of the Binger Estate, challenging the fees is not advised due to the time and effort involved.

**Other Business**

Board Members discussed plans for the December visit to Yale and 2013 meeting dates.

**Adjournment**

There being no other business, the meeting was adjourned.

**Respectfully Submitted,**

_____

**Susan Berresford, Secretary** **Date**

# ROBINA FOUNDATION
# BOARD OF DIRECTORS MEETING
# February 26, 2013

## EXECUTIVE DIRECTOR'S REPORT

In addition to work preparing material for the February Board Meeting, my time since the November Board Meeting has been spent following-up with Robina Grantees.

**University of Minnesota Law School:**

*Sentencing Law and Policy Program Enhancements:*

I discussed with Dean Wippman the Board's interest in learning his priorities among the four possible program enhancements presented at the November Board Meeting. **Tab 8** contains a letter from Dean Wippman describing the U's priorities. After discussions with Tom Crosby and Kathleen Blatz, I arranged for University of North Carolina President Thomas Ross, Judge Diana Murphy and Yale Law Professor Tracey Meares to provide us with their assessment of the value of the enhancements. You will find their reviews at Tab 8.

*Binger Center for New Americans:*

To follow up on the Board's discussion at the November meeting, Kathleen and I asked Dean Wippman to provide additional detail concerning the broader vision for the Binger Center and its potential impact. (We have provided Dean Wippman's response, along with the U's October 29, 2012 proposal for the *Binger Center*. This material should be added to the Blue Folder provided for the November Board Meeting.)

**Council on Foreign Relations:**

Following the Board Meeting, I discussed the Board's review of CFR material with Jim Lindsay and followed up with the email found at Attachment 1. I also worked with Jim to structure CFR's presentation / discussion with the Board at the February meeting.

**Abbott Northwestern Hospital / Allina**

At the invitation of ANWH I attended the "National Summit on Advanced Illness" hosted by C-TAC (Coalition to Transform Advanced Care) on January 29 and 30 in Washington DC. Approximately 500 participants came together "to design a roadmap to create large scale, sustainable change by leveraging informed, high impact, and effective solutions" for the care of people with advanced illness." The summit agenda included three sessions related to Allina's *Life Course* initiative funded by the Foundation: Bill Hanley from Twin Cities Public Television, which is partnering with *Life Course,* was a panelist on the subject of "Empowering the Public to Make Informed Decisions and Plans"; Eric Anderson from Allina was a panelist regarding "Identifying and Replicating Best Practices in Clinical and Community Models"; and Sandy Schellinger from Allina moderated a session

called "Working Together: Innovations in Inter-Professional Training." I will report on the summit at the meeting.

**Yale Law School**

On the day following the events to celebrate Robina's funding of the Binger Center for New Theatre, Susan, Peter and I met with Dean Post, James Silk, Kate Norton and a number of students who participate in YLS human rights programming funded by the Foundation. As always, the students were inspiring and remarkable, not only for their experience and current projects, but also for their passion for human rights work. YLS provided us with a file of material detailing the number of students and scholars impacted by the Robina Human Rights Fellowship Initiative, including information on clinical field missions supported for the first time in 2012. The file also provides information on YLS Student Borrowing and two articles by James Silk. All Board Members should have received this material from Kate Norton.

**Yale**

Following the meeting at Yale Law School, I met with Patty Pederson to talk further about Robina's work with Yale University and the Board discussion concerning future grantmaking scheduled for the February Board Meeting.

# 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) |
| 12/31/12 | 100,293,064 | 57,086,876 | 29,243,762 (1) |

(1) Includes commitments of $7,309,758 (over 2 years) to Abbott's *Life Course* project; $8,258,730 (over 4 years) to CFR's *IIGG Phase II*, and $897,214 for CFR's *Expanded 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 | 331,081 |
| USbank Investment | 74,687,548 | 74,324,421 | 76,039,563 |
| Estate of Jim Binger | 12,291,604 | 10,990,296 | 11,476,675 |
| IRS Refund | 12,445,745 | 12,445,745 | 12,445,745 |
| **Total** | **$99,963,670** | **98,199,014** | **100,293,064** |

→ **(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 December 31, 2012)

| **Cash and Short Term**[1] | | **Market** |
|---|---|---|
| James H. Binger Revocable Trust [redacted] | | $ 3,224,782.04 |
| James H. Binger Revocable Trust - Income Account [redacted] | | 7,215,789.04 |
| Estate of James H. Binger - Income Account [redacted] | | 437,474.48 |
| **Total Cash and Short Term:** | | **$ 10,878,045.56** |

| **Tartan I LP (as of 9/30/2012)** | **Total Market** | **% Owned** | **JHB Trust** | |
|---|---|---|---|---|
| Tartan I LP - Scotch I | 88,246.81 | 43.4% | 38,299.12 | |
| Tartan I LP - ScotchGard | 87,361.69 | 33.3% | 29,091.44 | |
| Tartan I LP - Post It | 74,051.37 | 19.8% | 14,662.17 | |
| Total: | **249,659.87** | | **82,052.73** | **$ 82,052.73** (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: $ 11,476,675.29**

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: A Minnesota estate tax refund of $1,805,564.27 was received on 1/3/13
Note: Robert Pennell devise of $584,575.34 on 1/22/09
[1]Cash and Short Term Values as of 12.31.12

↳ where noted?

# Robina Foundation

## Annual Financial Report

*Prepared by Michael F. Sullivan, Ph.D.*
*Indigo Consulting*

December 31st, 2012

# Robina Foundation

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# Robina Foundation

## Executive Summary

### 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.

### Executive Financial Summary

| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| Cash | $30,740,303 | $11,516,251 | $11,729,873 | $15,810,296 |
| US Gov't Bonds | $0 | $0 | $0 | $0 |
| Market Portfolio | $78,439,882 | $76,276,673 | $74,298,395 | $72,312,218 |
| Corp. Bonds | $18,897,774 | $18,680,513 | $16,848,770 | $14,574,867 |
| Equities | $36,373,047 | $34,876,312 | $36,136,432 | $36,413,824 |
| Other | $23,169,061 | $22,719,848 | $21,313,193 | $21,323,527 |
| IRS Refund | $12,445,745 | $12,445,745 | $12,445,745 | $12,445,745 |
| Grand Total | **$121,625,930** | **$100,238,669** | **$98,474,013** | **$100,568,259** |

# Robina Foundation

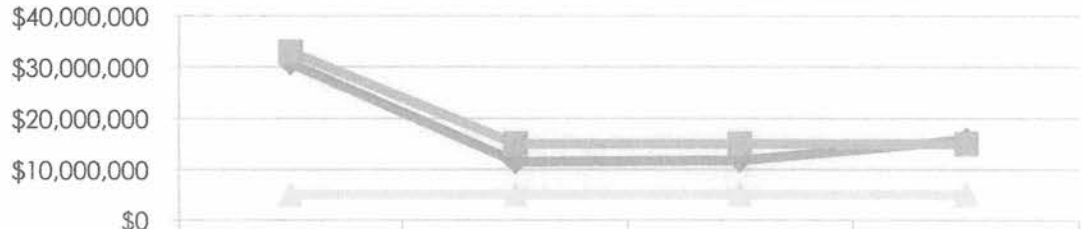
## Grants Paid: 2012

| | Qtr1 | Qtr2 | Qtr3 | Qtr4 | |
|---|---|---|---|---|---|
| Allina Health System/Abbott Northwestern | $2,356,696 | | | | $2,356,696 |
| Life Course/Late Life Supportive Care | $2,356,696 | | | | $2,356,696 |
| Council on Foreign Relations | $377,034 | $276,805 | $2,046,627 | | $2,700,466 |
| International Institutions and Global Governance (IIGG) Phase II | | | $2,046,627 | | $2,046,627 |
| Online Video Project | | $276,805 | | | $276,805 |
| Expanded Diversity Initiative in Foreign Policy | $377,034 | | | | $377,034 |
| University of Minnesota Law School | $1,097,190 | | $1,273,257 | | $2,370,447 |
| Public Interest Scholars | | | $379,800 | | $379,800 |
| Program on Law, Public Policy, and Society (LaPPS) | | | $893,457 | | $893,457 |
| Institute on Criminal Law and Justice | $847,190 | | | | $847,190 |
| Support Scholarships | $250,000 | | | | $250,000 |
| Yale University | | $19,000,000 | | | $19,000,000 |
| Yale School of Drama: Binger Center for New Theatre Endowment | | $18,000,000 | | | $18,000,000 |
| Yale Law School: Human Rights Fellowship Initiative Phase II | | $1,000,000 | | | $1,000,000 |
| The Center for Victims of Torture | | $1,000 | | | $1,000 |
| The Center for Victims of Torture | | $1,000 | | | $1,000 |
| **Grand Total** | **$3,830,920** | **$19,277,805** | **$3,319,884** | **$0** | **$26,428,609** |
| **Running Grand Total** | **$3,830,920** | **$23,108,725** | **$26,428,609** | **$26,428,609** | |

# Robina Foundation

## Sources of Assets

Figure 1: Total Cash




| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| | 2012 | | | |
| Actual | $30,740,303 | $11,516,251 | $11,729,873 | $15,810,296 |
| Interim | $33,000,000 | $15,000,000 | $15,000,000 | $15,000,000 |
| Strategic | $5,000,000 | $5,000,000 | $5,000,000 | $5,000,000 |

- 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

Figure 2: Total US Government Bonds

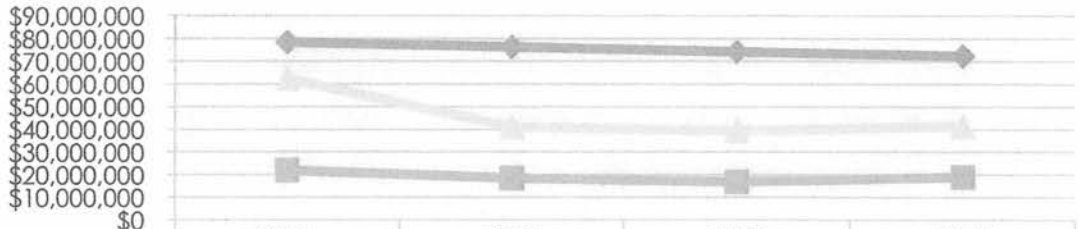



| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| | 2012 | | | |
| Actual | $0 | $0 | $0 | $0 |
| Interim | $54,200,000 | $54,200,000 | $54,200,000 | $54,200,000 |
| Strategic | $54,200,000 | $54,200,000 | $54,200,000 | $54,200,000 |

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

# Robina Foundation

Figure 3: Total Market Portfolio




| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| | 2012 | | | |
| Actual | $78,439,882 | $76,276,673 | $74,298,395 | $72,312,218 |
| Interim | $21,980,185 | $18,592,924 | $16,828,268 | $18,922,514 |
| Strategic | $62,425,930 | $41,038,669 | $39,274,013 | $41,368,259 |

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

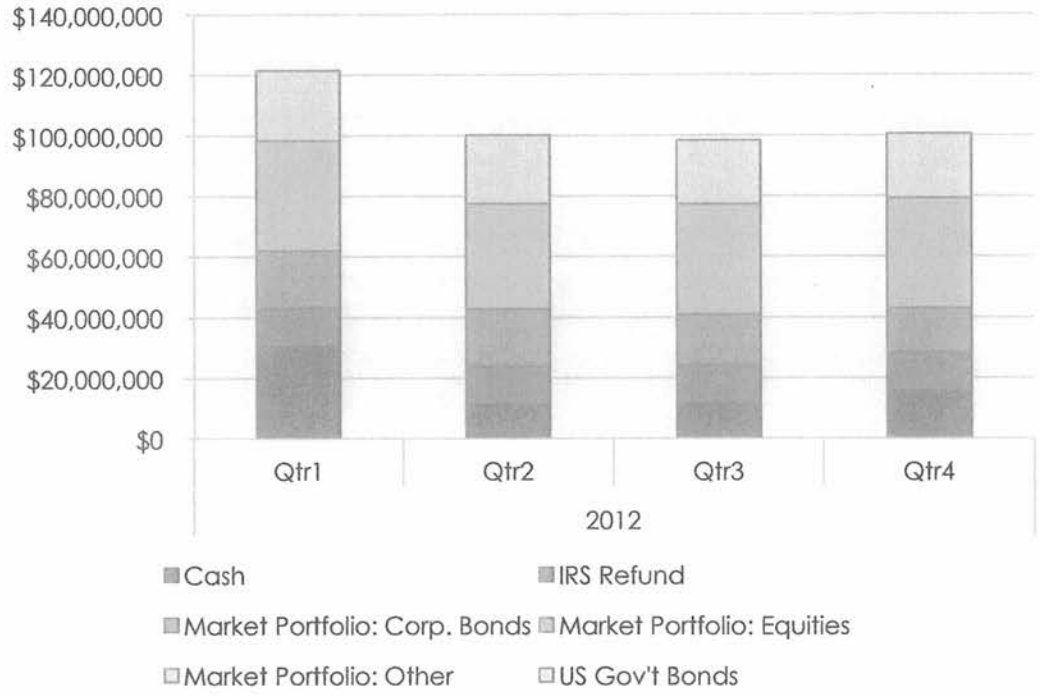
Figure 4: IRS Refund




| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| | 2012 | | | |
| Actual | $12,445,745 | $12,445,745 | $12,445,745 | $12,445,745 |
| Interim | $12,445,745 | $12,445,745 | $12,445,745 | $12,445,745 |
| Strategic | $0 | $0 | $0 | $0 |

# Robina Foundation

Figure 5: Total Sources



# Robina Foundation

## Sources of Capital

| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| JP Morgan | | | | |
| Cash | | | | |
| JHB Cash/MM | $15,145,986 | $100,042 | $21,368 | $194 |
| JHB Income Cash/MM | $449,594 | $449,596 | $448,808 | $437,475 |
| **Cash Total** | **$15,595,580** | **$549,638** | **$470,176** | **$437,669** |
| Recoverable Trust | | | | |
| JHB Recoverable Trust | $5,690,067 | $2,687,279 | $2,707,846 | $3,224,782 |
| JHB Income Account | $7,235,859 | $7,210,446 | $7,213,513 | $7,215,789 |
| Tartan I LP | $84,635 | $82,328 | $82,183 | $82,053 |
| **Recoverable Trust Total** | **$13,010,561** | **$9,980,053** | **$10,003,542** | **$10,522,624** |
| Other Securities | | | | |
| Venture Capital | $1,184,802 | $1,184,802 | $0 | $0 |
| All Other Securities | $849,112 | $577,112 | $516,577 | $516,577 |
| **Other Securities Total** | **$2,033,914** | **$1,761,914** | **$516,577** | **$516,577** |
| JP Morgan Total | $30,640,055 | $12,291,604 | $10,990,295 | $11,476,870 |
| US Bank | | | | |
| Cash | | | | |
| US Bank Cash/MM | $664,203 | $530,116 | $899,786 | $4,600,975 |
| **Cash Total** | **$664,203** | **$530,116** | **$899,786** | **$4,600,975** |
| Corp. Bonds | | | | |
| US Gov't Bonds | $0 | $0 | $0 | $0 |
| US Non-Gov't Bonds | | | | |
| BP Capital PLC | $750,743 | $750,127 | $752,388 | $745,745 |
| Corporate Issues | $14,602,314 | $14,427,921 | $12,490,755 | $9,958,909 |
| NuVeen High Income Bond FD CL I | $2,860,499 | $2,811,740 | $2,909,257 | $2,961,266 |
| Total Capital SA | $522,755 | $530,680 | $536,860 | $532,180 |
| US Non-Gov't Bonds Total | $18,736,311 | $18,520,469 | $16,689,260 | $14,198,100 |
| **Corp. Bonds Total** | **$18,736,311** | **$18,520,469** | **$16,689,260** | **$14,198,100** |
| Equities | | | | |
| Hedge | | | | |
| Common Sense Offshore LTD | $2,035,497 | $2,089,137 | $2,046,199 | $2,000,607 |
| Flag Private Equity LP | $1,195,695 | $1,195,695 | $1,195,695 | $969,713 |
| Flag Venture Partners III LP | $1,009,145 | $1,009,145 | $1,009,145 | $757,505 |
| Flag Venture Partners IV LP | $1,244,759 | $1,244,759 | $1,041,250 | $1,041,250 |
| Pfingsten Partners III LP | $1,174,952 | $1,174,952 | $1,174,952 | $1,142,990 |
| Pointer Offshore Ltd | $3,007,898 | $3,012,518 | $3,041,337 | $3,087,519 |
| Hedge Total | $9,667,946 | $9,726,206 | $9,508,578 | $8,999,584 |
| US and Non-US Equities | | | | |

# Robina Foundation

| | Qtr1 | Qtr2 | Qtr3 | Qtr4 |
|---|---|---|---|---|
| Stock Funds | $26,705,101 | $25,150,107 | $26,627,854 | $27,414,240 |
| US and Non-US Equities Total | $26,705,101 | $25,150,107 | $26,627,854 | $27,414,240 |
| **Equities Total** | **$36,373,047** | **$34,876,312** | **$36,136,432** | **$36,413,824** |
| Other Bonds, Real Estate, and Commodities | | | | |
| Non-US | | | | |
| Barclays Bank PLC | $509,370 | $504,420 | $0 | $0 |
| Ontario Province | $384,848 | $381,739 | $379,868 | $376,767 |
| T Rowe Price Intl Bond Fund | $1,946,853 | $1,925,156 | $2,004,056 | $1,992,221 |
| Non-US Total | $2,841,071 | $2,811,315 | $2,383,924 | $2,368,988 |
| Hedge | | | | |
| Gam Absolute Return Bond Fund | $3,263,992 | $3,220,334 | $3,290,315 | $3,341,285 |
| GCA Credit Opportunities Offshore | $3,982,227 | $4,021,968 | $4,112,038 | $4,203,863 |
| Marathon Credit Opportunity Fund Ltd | $2,932,559 | $2,988,483 | $3,047,828 | $3,153,484 |
| Hedge Total | $10,178,778 | $10,230,784 | $10,450,181 | $10,698,632 |
| Real Estate | | | | |
| IDR Core Equity Re Strategy 2010 | $6,102,963 | $6,102,966 | $6,278,622 | $6,369,684 |
| Real Estate Total | $6,102,963 | $6,102,966 | $6,278,622 | $6,369,684 |
| Commodities | | | | |
| Inv Balance Risk Comm Str Y | $948,677 | $860,743 | $952,905 | $871,735 |
| Oppenheimer Com Str Tr Fd Y | $865,486 | $754,842 | $533,311 | $517,625 |
| Commodities Total | $1,814,163 | $1,615,585 | $1,486,216 | $1,389,360 |
| **Other Bonds, Real Estate, and Commodities Total** | **$20,936,975** | **$20,760,651** | **$20,598,943** | **$20,826,664** |
| US Bank Total | $76,710,536 | $74,687,548 | $74,324,421 | $76,039,563 |
| US Bank Checking | $1,554,594 | $538,773 | $438,552 | $331,081 |
| IRS Refund | $12,445,745 | $12,445,745 | $12,445,745 | $12,445,745 |
| Bazal Property | $275,000 | $275,000 | $275,000 | $275,000 |
| **Grand Total** | **$121,625,930** | **$100,238,669** | **$98,474,013** | **$100,568,259** |

# Robina Foundation

## Asset Allocation Report: 12/31/2012

| | Actual ($) | Actual (%) | Interim ($) | Interim (%) | Strategic ($) | Strategic (%) |
|---|---|---|---|---|---|---|
| Cash | | | | | | |
| JHB Cash/MM | $194 | 0% | | | | |
| JHB Income Account | $7,215,789 | 7% | | | | |
| JHB Income Cash/MM | $437,475 | 0% | | | | |
| JHB Recoverable Trust | $3,224,782 | 3% | | | | |
| US Bank Cash/MM | $4,600,975 | 5% | | | | |
| US Bank Checking | $331,081 | 0% | | | | |
| Cash Total | $15,810,296 | 16% | $15,000,000 | 15% | $5,000,000 | 5% |
| US Govt Bonds | $0 | 0% | $54,200,000 | 54% | $54,200,000 | 54% |
| Market Portfolio | | | | | | |
| Corp. Bonds | $14,574,867 | 15% | | | | |
| Equities | $36,413,824 | 36% | | | | |
| Other | $21,323,527 | 21% | | | | |
| Market Portfolio Total | $72,312,218 | 72% | $18,922,514 | 19% | $41,368,259 | 41% |
| IRS Refund | $12,445,745 | 12% | $12,445,745 | 12% | $0 | 0% |
| Grand Total | $100,293,259 | 100% | $100,293,259 | 100% | $100,293,259 | 100% |

# Robina Foundation

## Asset Allocation Report - Robina Perspective: 12/31/2012

| | Actual ($) | Actual (%) | Interim ($) | Interim (%) | Strategic ($) | Strategic (%) |
|---|---|---|---|---|---|---|
| Cash | | | | | | |
| IRS Refund | $12,445,745 | 12% | | | | |
| JP Morgan | $437,669 | 0% | | | | |
| US Bank Cash/MM | $4,600,975 | 5% | | | | |
| US Bank Checking | $331,081 | 0% | | | | |
| Cash Total | $17,815,470 | 18% | $15,000,000 | 15% | $5,000,000 | 5% |
| Fixed Income | | | | | | |
| US Gov't Bonds | $0 | 0% | | | | |
| Corp. Bonds | $14,574,867 | 15% | | | | |
| Non-US | $1,992,221 | 2% | | | | |
| JHB Recoverable Trust | $10,522,624 | 10% | | | | |
| Hedge Funds | $10,698,632 | 11% | | | | |
| Fixed Income Total | $37,788,344 | 38% | $54,200,000 | 54% | $54,200,000 | 54% |
| Market Portfolio | | | | | | |
| JP Securities | $516,577 | 1% | | | | |
| US Bank Equity Funds | $27,414,240 | 27% | | | | |
| US Bank Hedge Equities | $8,999,584 | 9% | | | | |
| US Bank Real Estate | $6,369,684 | 6% | | | | |
| US Bank Commodities | $1,389,360 | 1% | | | | |
| Bazal Property | $275,000 | 0% | | | | |
| Market Portfolio Total | $44,964,445 | 45% | $31,368,259 | 31% | $41,368,259 | 41% |
| Grand Total | $100,568,259 | 100% | $100,568,259 | 100% | $100,568,259 | 100% |

| Grants Paid and Committed | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | | 2014 | 2015 | 2016 | Grand Total |
|---|---|---|---|---|---|---|---|---|---|---|---|
| | Actual | Actual | Actual | Actual | Actual | Budget | Actual YTD | Budget | Budget | Budget | |
| Alma Health System/Abbott Northwestern | $1,253,535 | $2,373,233 | $2,373,232 | | $2,356,696 | $4,245,492 | | $3,064,266 | | | $15,666,454 |
| Care Guides | $1,253,535 | $2,373,233 | $2,373,232 | | | | | | | | $6,000,000 |
| Life Course/Late Life Supportive Care | | | | | $2,356,696 | $4,245,492 | | $3,064,266 | | | $9,666,454 |
| Council on Foreign Relations | $2,000,000 | $2,000,000 | $2,000,000 | $2,434,750 | $2,700,466 | $2,431,163 | | $2,505,693 | $2,074,424 | $2,114,664 | $20,291,160 |
| Diversity Scan | | | | $15,000 | | | | | | | $15,000 |
| Expanded Diversity Initiative in Foreign Policy | | | | | $377,034 | $426,492 | | $470,722 | | | $1,274,248 |
| International Institutions and Global Governance (IIGG) Phase I | $2,000,000 | $2,000,000 | $2,000,000 | $2,000,000 | | | | | | | $8,000,000 |
| International Institutions and Global Governance (IIGG) Phase II | | | | | $2,046,627 | $2,034,671 | | $2,034,971 | $2,074,424 | $2,114,664 | $10,305,357 |
| Online Video Project | | | | $419,750 | $276,805 | | | | | | $696,555 |
| University of Minnesota Law School | $1,650,000 | $1,436,750 | $1,480,338 | $2,850,854 | $2,370,447 | $2,438,678 | | $2,810,255 | $2,885,488 | $2,893,639 | $20,566,449 |
| Faculty Retention and Other Initiatives | $250,000 | | | | | | | | | | $250,000 |
| Institute on Criminal Law and Justice | | | | | $847,190 | $1,494,134 | | $1,750,900 | $1,771,752 | $1,639,451 | $7,503,427 |
| Program on Law, Public Policy, and Society (LaPPS) | $1,400,000 | $1,436,750 | $1,480,338 | $2,850,854 | $893,457 | | | | | | $8,061,399 |
| Public Interest Scholars | | | | | $379,800 | $694,544 | | $809,355 | $813,736 | $804,188 | $3,501,623 |
| Support Scholarships | | | | | $250,000 | $250,000 | | $250,000 | $250,000 | $250,000 | $1,250,000 |
| Yale University | $1,750,000 | $1,750,000 | $2,350,000 | $1,950,000 | $19,000,000 | $1,000,000 | | $1,000,000 | | | $28,800,000 |
| Yale Law School: Human Rights Fellowship Initiative Phase I | $1,000,000 | $1,000,000 | $1,000,000 | $1,000,000 | | | | | | | $4,000,000 |
| Yale Law School: Human Rights Fellowship Initiative Phase II | | | | | $1,000,000 | $1,000,000 | | $1,000,000 | | | $3,000,000 |
| Yale School of Drama: Binger Center for New Theatre Endowment | | | | | $18,000,000 | | | | | | $18,000,000 |
| Yale School of Drama: Yale Center for New Theatre | $750,000 | $750,000 | $1,350,000 | $950,000 | | | | | | | $3,800,000 |
| The Center for Victims of Torture | $25,000 | | | | $1,000 | | | | | | $26,000 |
| The Center for Victims of Torture | $25,000 | | | | $1,000 | | | | | | $26,000 |
| ArtPlace Initiative | | | | $500,000 | | | | | | | $500,000 |
| Revitalizing Communities through Arts and Culture | | | | $500,000 | | | | | | | $500,000 |
| Aspen Institute | | $130,575 | | | | | | | | | $130,575 |
| Justice and Society Program | | $130,575 | | | | | | | | | $130,575 |
| **Grand Total** | **$6,678,535** | **$7,690,558** | **$8,203,570** | **$7,735,604** | **$26,428,609** | **$10,145,333** | | **$9,380,214** | **$4,909,912** | **$4,808,303** | **$85,980,638** |

| Financial Outlook | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |
|---|---|---|---|---|---|---|---|---|---|
| Beginning Year Net Assets | | | | | $120,827,000 | $100,568,259 | $95,693,220 | $90,874,456 | $90,071,375 |
| Plus Revenues | | | | | $6,569,686 | $5,682,107 | $4,985,617 | $4,543,723 | $4,944,918 |
| Less Expenses, 3% P.A. Growth | | | | | ($399,818) | ($411,813) | ($424,167) | ($436,892) | ($449,999) |
| Less Grants Paid | | | | | ($26,428,609) | ($10,145,333) | ($9,380,214) | ($4,909,912) | ($4,808,303) |
| Year End Net Assets | | | | $120,827,000 | $100,568,259 | $95,693,220 | $90,874,456 | $90,071,375 | $89,757,992 |

| Return Assumptions | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |
|---|---|---|---|---|---|---|---|---|---|
| Asset Allocation | | | | | | | | | |
| Market Portfolio | | | | | | 53% | 38% | 25% | 13% |
| Fixed Income | | | | | | 47% | 62% | 75% | 89% |
| Expected Return | | | | | | | | | |
| Market Portfolio | | | | | | 8.00% | 8.00% | 8.00% | 8.00% |
| Fixed Income | | | | | | 3.00% | 3.50% | 4.00% | 5.00% |
| Total Portfolio Expected Return | | | | | | 5.65% | 5.21% | 5.00% | 5.49% |

CBIZ

**CBIZ MHM, LLC**
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January 25, 2013

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

Board of Directors

During 2012 Robina Foundation received income distributions into its account at US Bank from TCV Fund VI. The amounts were received from an investment for which neither Ascent Private Capital Management - US Bank nor CBIZ have any record of. Tim Towle of US Bank has reviewed the investment portfolio and has discussed the results of his initial research in his attached email.

These income distributions from the unidentified investment have been included in the Foundation's investment income as reported on the preliminary financial statement. However we are not certain this is appropriate considering the uncertain status of the investment. We would suggest that a representative of the board contact a Binger estate representative to gain an understanding of the securities yet to be distributed and whether the TVC Fund IV investment will be transferred to the Robina Foundation at some point.

If you have questions regarding this matter please give me a call – 612-376-1230.

Thanks for your assistance

Malcolm McDermid
Mayer Hoffman McCann P.C.

## McDermid, Malcolm

**From:** TIMOTHY.TOWLE@usbank.com
**Sent:** Thursday, January 24, 2013 5:02 PM
**To:** Swanstrom, Lisa
**Cc:** Ledwein, Anne; McDermid, Malcolm; ngilberg@robinafoundation.org
**Subject:** Re: Robina Fdn. Investment Question
**Attachments:** JPM Closely held email.2011-11-1.pdf

Lisa,

Unfortunately I am not positive why these wires were sent to the Robinsa Foundation account, other that to say that I am aware that there are some assets being held by the estate still that will be coming to the Foundation as the estate determines appropriate. I know that the estate has our wire instructions and I assumed that these funds were part of a liquidation being done at the estate level.

As for why these assets are not included in our accounting, I am not aware that the estate had transferred the management, or oversight of this asset to US Bank or the Robina Foundation. At one point we were provided documentation and ownership material that transferred the ownership of several FLAG and Pfingsten Funds to the Foundation. At that time we had contacted those companies indicating that we were now reporting the asset and they should send distributions and other materials to us. I was not aware of the Technology Crossover Funds at that time and I do not know why JP Morgan did not provide transfer instructions for these funds.

We have generally not seen statements from JP Morgan with detailed assets. I have attached one email that was sent regarding a different subject but did include a page from a JP Morgan account statement that shows two Technology Crossover Venture Funds. I am assuming the the two wire that to which you are referring are coming from those funds.

If JP Morgan no longer considered these assets are part of the estate and thins that they have transferred them to the Foundation please let me know and I will determine what I need to do in order to have them included on our account statements.

Please let me know if you would like to discuss this further or if you have additional questions.

**Tim Towle**
Senior Wealth Planner
Ascent Private Capital Management of U.S. Bank
800 Nicollet Mall | BC-MN-H24A | Minneapolis | MN | 55402
☎ Direct: 612.303.4969 ▪ Cell: 612.718.7658 🖷 Fax: 612.303.3794
✉timothy.towle@ascent.usbank.com

Ascent
PRIVATE CAPITAL MANAGEMENT

http://ascent.usbank.com

From: "Swanstrom, Lisa" <lswanstrom@CBIZ.com>
To: "TIMOTHY.TOWLE@usbank.com" <TIMOTHY.TOWLE@usbank.com>

# PRELIMINARY

**ROBINA FOUNDATION**

**FINANCIAL STATEMENTS**

**December 31, 2012**

**(Compiled)**

# PRELIMINARY

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PRELIMINARY

## ACCOUNTANTS' COMPILATION REPORT

To the Board of Directors

**ROBINA FOUNDATION**

We have compiled the accompanying statements of financial condition - excise tax basis of Robina Foundation as of December 31, 2012 and 2011, and the related statements of activities - excise tax basis for the periods indicated and the accompanying supplementary information – excise tax basis as listed in the accompanying index, which is presented only for supplementary analysis purposes. We have not audited or reviewed the accompanying financial statements and supplementary information and, accordingly, do not express an opinion or provide any assurance about whether the financial statements and supplementary information are in accordance with the excise tax basis of accounting.

Management is responsible for the preparation and fair presentation of the financial statements and supplementary information in accordance with the excise tax basis of accounting and for designing, implementing, and maintaining internal control relevant to the preparation and fair presentation of the financial statements and supplementary information.

Our responsibility is to conduct the compilation in accordance with Statements on Standards for Accounting and Review Services issued by the American Institute of Certified Public Accountants. The objective of a compilation is to assist management in presenting financial information in the form of financial statements without undertaking to obtain or provide any assurance that there are no material modifications that should be made to the financial statements and supplementary information.

Management has elected to omit substantially all of the disclosures ordinarily included in financial statements prepared on the excise tax basis of accounting. If the omitted disclosures were included in the financial statements, they might influence the user's conclusion about the Foundation's financial position, results of operations and cash flows. Accordingly, these financial statements are not designed for those who are not informed about such matters. We are not independent with respect to Robina Foundation.

Minneapolis, Minnesota
January 24, 2013

PRELIMINARY

Rotina Foundation

STATEMENTS OF FINANCIAL CONDITION

(Excise Tax Basis)

December 31, 2012 and 2011

| | 2012 | 2011 |
|---|---|---|
| **ASSETS** | | |
| CURRENT ASSETS | | |
| US Bank checking account | $ 299,831 | $ 3,101,392 |
| Prepaid federal excise tax | 0 | 0 |
| TOTAL CURRENT ASSETS | 299,831 | 3,101,392 |
| INVESTMENTS | 74,006,717 | 79,111,979 |
| PROPERTY AND EQUIPMENT | | |
| Condo - 201 Clifton #2A, Minneapolis, MN | 246,500 | 0 |
| Furniture and fixtures | 14,880 | 14,880 |
| Less: accumulated depreciation | 9,783 | 8,249 |
| TOTAL PROPERTY AND EQUIPMENT | 251,597 | 6,631 |
| TOTAL ASSETS | $ 74,558,145 | $ 82,220,002 |

See Accountants' Compilation Report

PRELIMINARY

# Rohina Foundation
## STATEMENTS OF FINANCIAL CONDITION
## (Excise Tax Basis)
## December 31, 2012 and 2011

| | 2012 | 2011 |
|---|---|---|
| **LIABILITIES** | | |
| CURRENT LIABILITIES | | |
| Accounts payable | $ 0 | $ 0 |
| Accrued expenses | 0 | 0 |
| Grants payable | 0 | 0 |
| TOTAL CURRENT LIABILITIES | 0 | 0 |
| **NET ASSETS** | | |
| Foundation equity | 74,558,145 | 82,220,002 |
| TOTAL NET ASSETS | 74,558,145 | 82,220,002 |
| TOTAL LIABILITIES AND NET ASSETS | $ 74,558,145 | $ 82,220,002 |

See Accountants' Compilation Report

PRELIMINARY

# Roma Foundation
## STATEMENTS OF ACTIVITIES
## (Excise Tax Basis)
## Twelve Months Ended December 31, 2012 and 2011

| | Year-To-Date This Year | | Year-To-Date Last Year | |
|---|---|---|---|---|
| | Amount | % | Amount | % |
| REVENUES | | | | |
| Investment income: | | | | |
| Interest income | $ 635,359 | 0.9% | $ 756,186 | 1.0% |
| Dividend income | 851,453 | 1.2 | 595,531 | 0.8 |
| Capital gain distributions | 0 | 0.0 | 0 | 0.0 |
| Ordinary business income - partnerships | 0 | 0.0 | (2,026) | 0.0 |
| Other income - partnerships | 0 | 0.0 | 437 | 0.0 |
| Rental income - partnerships | 0 | 0.0 | 8 | 0.0 |
| Realized gains (losses) | (351,286) | (0.5) | (533,900) | (0.7) |
| Professional fees - partnerships | 0 | 0.0 | (47,667) | (0.1) |
| Charitable contributions - partnerships | 0 | 0.0 | (11) | 0.0 |
| Other deductions - partnerships | 0 | 0.0 | (15,739) | 0.0 |
| Interest expense - partnerships | 0 | 0.0 | (89) | 0.0 |
| Non-deductible expenses - partnerships | 0 | 0.0 | (13,557) | 0.0 |
| Investment fees | (228,617) | 0.3 | (291,320) | 0.4 |
| Total investment income | 906,909 | 1.2 | 447,853 | 0.6 |
| Contributions | 71,755,606 | 98.7 | 53,509,106 | 73.6 |
| Miscellaneous income | 39,697 | 0.1 | 0 | 0.0 |
| TOTAL REVENUES | 72,702,212 | 100.0 | 53,956,959 | 74.2 |
| EXPENSES | | | | |
| Grants paid | 26,428,609 | 36.4 | 7,735,604 | 10.6 |
| Administrative expenses | 401,355 | 0.6 | 400,927 | 0.6 |
| TOTAL EXPENSES | 26,829,964 | 36.9 | 8,136,531 | 11.2 |
| OPERATING INCOME (LOSS) | 45,872,248 | 63.1 | 45,820,428 | 63.0 |
| TAXES | | | | |
| Federal excise tax | 25,000 | 0.0 | 26,791 | 0.0 |
| Foreign taxes paid - partnerships | 0 | 0.0 | 282 | 0.0 |
| TOTAL TAXES | 25,000 | 0.0 | 27,073 | 0.0 |
| INCREASE (DECREASE) IN NET ASSETS | 45,847,248 | 63.1% | 45,793,355 | 63.0% |
| NET ASSETS, BEGINNING OF YEAR | 28,710,897 | | 36,426,647 | |
| TOTAL NET ASSETS | $ 74,558,145 | | $ 82,220,002 | |

See Accountants' Compilation Report

PRELIMINARY

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF INVESTMENTS
(Excise Tax Basis)
Twelve Months Ended December 31, 2012 and 2011

| | Year Ended 12/31/12 | | Year Ended 12/31/11 | |
|---|---|---|---|---|
| | Cost | Market Value | Cost | Market Value |
| Cash & cash equivalents: | | | | |
| First Amer Prim Oblig Fund Cl Y | $ - | $ - | $ 1,248,046 | $ 1,248,046 |
| US Bank Private Client Money Market Savings | 4,600,975 | 4,600,975 | 0 | 0 |
| J.P. Morgan account cash | 194 | 194 | 189 | 189 |
| TOTAL CASH & CASH EQUIVALENTS | 4,601,169 | 4,601,169 | 1,248,235 | 1,248,235 |
| Corporate issue bonds: | | | | |
| Morgan Stanley 5.625% 1/09/12 | 0 | 0 | 532,789 | 510,076 |
| Bear Stearns Co. Inc. 5.35% 2/01/12 | 0 | 0 | 451,030 | 431,471 |
| Bb T Corporation 3.85% 7/27/12 | 0 | 0 | 321,811 | 314,043 |
| Pepsiamericas Inc. 5.75% 7/31/12 | 0 | 0 | 134,478 | 128,766 |
| Procter Gamble Co. 1.375% 8/01/12 | 0 | 0 | 606,498 | 602,880 |
| Helwett Packard Co. 2.95% 8/15/12 | 0 | 0 | 516,530 | 504,610 |
| Northern Trust Co. 5.20% 11/09/12 | 0 | 0 | 281,692 | 271,526 |
| Bottling Group LLC Sr Nt 4.625% 11/15/12 | 0 | 0 | 259,542 | 248,117 |
| Abbott Laboratories 5.15% 11/30/12 | 0 | 0 | 541,155 | 521,000 |
| Nucor Corp 5.00% 12/01/12 | 0 | 0 | 533,357 | 512,830 |
| Alabama Power Co. Ser 07 D 4.85% 12/15/12 | 0 | 0 | 379,424 | 363,853 |
| John Deere Co. Med. Term 4.95% 12/17/12 | 0 | 0 | 538,420 | 520,880 |
| Wells Fargo Co. 4.375% 1/31/13 | 383,296 | 376,114 | 383,296 | 387,563 |
| Bank Of NY Mello Bk. 4.50% 4/01/13 | 428,132 | 404,072 | 428,132 | 417,224 |
| Oracle Corp. 4.95% 4/15/13 | 405,041 | 379,811 | 405,041 | 396,019 |
| Emerson Electric 4.50% 5/01/13 | 374,195 | 354,750 | 374,196 | 366,033 |
| IBM Corp. 2.10% 5/06/13 | 399,544 | 402,496 | 399,544 | 408,252 |
| Colgate Palmolive Co. 4.20% 5/15/13 | 369,551 | 355,152 | 369,551 | 367,574 |
| Conoco Phillips 4.40% 5/15/13 | 0 | 0 | 417,760 | 414,075 |
| Dupont El Nemour 5.00% 7/15/13 | 536,880 | 512,400 | 536,880 | 531,160 |
| Berkshire Hathaway Fin. 4.625% 10/15/13 | 527,755 | 515,790 | 527,755 | 531,985 |
| Goldman Sachs 5.25% 10/15/13 | 531,260 | 517,505 | 531,260 | 510,165 |
| Disney Walt Co. 4.50% 12/15/13 | 427,684 | 415,532 | 427,684 | 430,552 |

PRELIMINARY

Robina Foundation
SUPPLEMENTARY INFORMATION
SCHEDULES OF INVESTMENTS
(Excise Tax Basis)
Twelve Months Ended December 31, 2012 and 2011

| | Year Ended 12/31/12 | | Year Ended 12/31/11 | |
|---|---|---|---|---|
| | Cost | Market Value | Cost | Market Value |
| Corporate issue bonds (continued): | | | | |
| Novartis Capital 4.125% 2/10/14 | **367,283** | **364,010** | 367,283 | 374,472 |
| Honeywell Int'l 3.875% 2/15/14 | **507,929** | **508,664** | 507,929 | 522,786 |
| Unilever Capital Corp. 3.65% 2/15/14 | **459,618** | **460,108** | 459,618 | 473,640 |
| Eli Lilly Co. 4.20% 3/06/14 | **424,132** | **417,312** | 424,132 | 428,588 |
| Coca Cola Co. 3.625% 3/15/14 | **513,285** | **518,785** | 513,285 | 532,260 |
| United Parcel Service 3.875% 4/01/14 | **420,596** | **416,820** | 420,596 | 426,792 |
| Glaxosmithkline 4.375% 4/15/14 | **392,658** | **388,311** | 392,658 | 400,425 |
| Bellsouth Corp. 5.20% 9/15/14 | **396,002** | **393,128** | 396,002 | 404,609 |
| Procter & Gamble 3.50% 2/15/15 | **360,199** | **371,613** | 360,199 | 376,894 |
| Merck & Co. Inc. 4.75% 3/01/15 | **122,963** | **125,359** | 122,963 | 128,408 |
| Procter & Gamble 3.15% 9/01/15 | **100,086** | **106,856** | 100,086 | 107,375 |
| Praxair Inc. 3.25% 9/15/15 | **349,636** | **373,621** | 349,636 | 374,405 |
| Barclays Bank Plc Zero Cpn 6/07/16 | **750,000** | **637,275** | 750,000 | 656,700 |
| Barclays Bank Plc Zero Cpn 7/15/16 | **750,000** | **643,425** | 750,000 | 665,400 |
| TOTAL CORPORATE ISSUE BONDS | **10,297,725** | **9,958,909** | 15,812,212 | 15,563,408 |
| Foreign issue bonds: | | | | |
| Barclays Bank Plc 5.45% 9/12/12 | **0** | **0** | 535,030 | 510,805 |
| Ontario Province 3.50% 7/15/13 | **225,125** | **218,670** | 225,126 | 223,762 |
| Ontario Province 4.10% 6/16/14 | **154,970** | **158,097** | 154,970 | 161,180 |
| Bp Capital Plc 3.875% 3/10/15 | **718,819** | **745,745** | 718,820 | 747,467 |
| Total Capital Sa 3.125% 10/02/15 | **499,240** | **532,180** | 499,240 | 529,510 |
| TOTAL FOREIGN ISSUE BONDS | **1,598,154** | **1,654,692** | 2,133,186 | 2,172,724 |
| Fixed income funds: | | | | |
| Inv Balance Risk comm Str Y | **971,000** | **871,735** | 971,000 | 859,052 |
| Nuveen High Income Bond Fd Cl I | **2,984,000** | **2,961,266** | 2,984,000 | 2,717,474 |
| Oppenheimer Com Str Tr Fd Y | **594,495** | **517,625** | 971,000 | 823,687 |
| T Rowe Price Int'l Bond Fund | **2,016,000** | **1,992,221** | 2,016,000 | 1,921,211 |
| TOTAL FIXED INCOME FUNDS | **6,565,495** | **6,342,847** | 6,942,000 | 6,321,424 |

PRELIMINARY

Robina Foundation

SUPPLEMENTARY INFORMATION

## SCHEDULES OF INVESTMENTS

## (Excise Tax Basis)

### Twelve Months Ended December 31, 2012 and 2011

| | Year Ended 12/31/12 | | Year Ended 12/31/11 | |
|---|---|---|---|---|
| | Cost | Market Value | Cost | Market Value |
| Stocks - equity funds: | | | | |
| Aberdeen Fds. Emrgn. Mkt. Inst'l | **1,347,000** | **1,452,960** | 1,347,000 | 1,164,383 |
| American Cent. Small Cap Valu Ins | **599,800** | **562,805** | 599,800 | 512,120 |
| I Shares Msci Eafe Index Fund | **10,774,754** | **10,314,404** | 10,774,754 | 8,984,742 |
| Midcap Spdr Trust Series I | **2,638,229** | **2,785,650** | 2,638,229 | 2,392,350 |
| Neuberger Berman Genesis Int'l Fund | **471,200** | **454,530** | 471,200 | 433,166 |
| Oppenheimer Developing Mkts. Fds. Cl Y | **1,347,000** | **1,334,033** | 1,347,000 | 1,107,997 |
| Spdr S&P 500 Etf Trust | **9,698,662** | **10,509,858** | 9,698,662 | 9,261,900 |
| TOTAL STOCKS | **26,876,645** | **27,414,240** | 26,876,645 | 23,856,658 |
| Other investments: | | | | |
| Common Sense Offshore Ltd. | **2,010,000** | **2,000,607** | 2,010,000 | 2,105,161 |
| Flag Private Equity LP | **837,157** | **969,713** | 1,255,106 | 1,195,695 |
| Flag Venture Partners III LP | **1,008,696** | **757,505** | 1,178,830 | 1,009,145 |
| Flag Venture Partners IV LP | **1,033,779** | **1,041,250** | 1,251,249 | 1,244,759 |
| Gam Absolute Return Bond Fd. Offshore | **3,110,000** | **3,341,285** | 3,110,000 | 3,056,933 |
| Gca Credit Opportunities Offshore Fd. Lfd. | **3,880,000** | **4,203,863** | 3,880,000 | 3,920,421 |
| IDR Core Equity Re Strategy 2010 LP | **5,750,192** | **6,369,684** | 5,927,918 | 5,964,561 |
| Marathon Credit Opportunity Fund Ltd. | **3,110,000** | **3,153,484** | 3,110,000 | 2,808,318 |
| Pfingsten Partners III LP | **327,705** | **1,142,990** | 1,376,598 | 1,174,952 |
| Pointer Offshore Ltd. | **3,000,000** | **3,087,519** | 3,000,000 | 2,926,191 |
| TOTAL OTHER INVESTMENTS | **24,067,529** | **26,067,900** | 26,099,701 | 25,406,136 |
| TOTAL OF ALL INVESTMENTS | **$ 74,006,717** | **$ 76,039,757** | $ 79,111,979 | $ 74,568,585 |

See Accountants' Compiliation Report

PRELIMINARY

Rotunda Foundation

SUPPLEMENTARY INFORMATION

## SCHEDULES OF ADMINISTRATIVE EXPENSES

## (Excise Tax Basis)

## Twelve Months Ended December 31. 2012 and 2011

| | Year-To-Date This Year | | Year-To-Date Last Year | |
|---|---|---|---|---|
| | Amount | % | Amount | % |
| **ADMINISTRATIVE EXPENSES:** | | | | |
| Accounting & audit fees | $ 19,424 | 0.0 | $ 10,280 | 0.0 |
| Bank charges | 0 | 0.0 | 18 | 0.0 |
| Contract services: | | | | |
| Penelope Hunt | 97,500 | 0.1 | 97,500 | 0.2 |
| Baker Management | 36,216 | 0.0 | 30,195 | 0.1 |
| Other consultants | 6,000 | 0.0 | 18,000 | 0.0 |
| Depreciation expense | 1,535 | 0.0 | 2,046 | 0.0 |
| Directors' fees | 150,000 | 0.2 | 145,833 | 0.3 |
| Insurance: | | | | |
| Directors' and officers' | 4,800 | 0.0 | 4,800 | 0.0 |
| Property | 506 | 0.0 | 506 | 0.0 |
| Investment management expense | 25,000 | 0.0 | 28,750 | 0.1 |
| Legal fees | 0 | 0.0 | 1,652 | 0.0 |
| Meeting expense | 34,364 | 0.0 | 37,385 | 0.1 |
| Membership dues | 695 | 0.0 | 695 | 0.0 |
| Miscellaneous expense | 3,025 | 0.0 | 2,817 | 0.0 |
| Office expense | 428 | 0.0 | 495 | 0.0 |
| Office supplies | 770 | 0.0 | 1,175 | 0.0 |
| Parking & mileage | 2,691 | 0.0 | 2,331 | 0.0 |
| Postage & delivery | 1,500 | 0.0 | 1,710 | 0.0 |
| Printing, web design & maintenance | 470 | 0.0 | 575 | 0.0 |
| Property taxes | 2,317 | 0.0 | 0 | 0.0 |
| Rent expense | 11,663 | 0.0 | 11,094 | 0.0 |
| Telephone & internet | 2,451 | 0.0 | 3,070 | 0.0 |
| TOTAL ADMINISTRATIVE EXPENSES | $ 401,355 | 0.6 | $ 400,927 | 0.7 |

See Accountants' Compilation Report

PRELIMINARY

Robina Foundation

SUPPLEMENTARY INFORMATION

## SCHEDULES OF ADMINISTRATIVE EXPENSES WITH BUDGETS

## (Excise Tax Basis)

Twelve Months Ended December 31, 2012

| | Year-To-Date This Year | | | Annual |
|---|---|---|---|---|
| | Actual | Budget | Variance | Budget |
| **ADMINISTRATIVE EXPENSES:** | | | | |
| Accounting & audit fees | $ 19,424 | $ 12,000 | $ (7,424) | $ 12,000 |
| Contract services: | | | | |
| Penelope Hunt | 97,500 | 90,000 | (7,500) | 90,000 |
| Baker Management | 36,216 | 30,240 | (5,976) | 30,240 |
| Other consultants | 6,000 | 15,000 | 9,000 | 15,000 |
| Depreciation expense | 1,535 | 0 | (1,535) | 0 |
| Directors' fees | 150,000 | 150,000 | 0 | 150,000 |
| Insurance: | | | | |
| Directors' and officers' | 4,800 | 4,800 | 0 | 4,800 |
| Property | 506 | 506 | 0 | 506 |
| Investment management expense | 25,000 | 25,000 | 0 | 25,000 |
| Legal fees | 0 | 2,500 | 2,500 | 2,500 |
| Meeting expense | 34,364 | 40,000 | 5,636 | 40,000 |
| Membership dues | 695 | 695 | 0 | 695 |
| Miscellaneous expense | 3,025 | 3,000 | (25) | 3,000 |
| Office expense | 428 | 1,250 | 822 | 1,250 |
| Office supplies | 770 | 1,500 | 730 | 1,500 |
| Parking & mileage | 2,691 | 2,500 | (191) | 2,500 |
| Postage & delivery | 1,500 | 2,000 | 500 | 2,000 |
| Printing, web design & maintenance | 470 | 750 | 280 | 750 |
| Professional development | 0 | 500 | 500 | 500 |
| Property taxes | 2,317 | 0 | (2,317) | 0 |
| Rent expense | 11,663 | 11,793 | 130 | 11,793 |
| Telephone & internet | 2,451 | 3,100 | 649 | 3,100 |
| TOTAL ADMINISTRATIVE EXPENSES | $ 401,355 | $ 397,134 | $ (4,221) | $ 397,134 |

See Accountants' Compilation Report

ROBINA F NDATION
2013 BUDGET

| OPERATING EXPENSES | | 2012 Budget | 2012 Actual | 2013 Budget |
|---|---|---|---|---|
| Administration: Contract Services | | | | |
| | Penny Hunt | $90,000 | 97,500.00 | $97,500 |
| | Baker Management (Nancy Gilberg) | 30,240 | 36,216.00 | 42,192 |
| | Outside Consultants | 15,000 | 6,000.00 | 15,000 |
| Accounting-Audit Fees | | 12,000 | 19,424.25 | 15,000 |
| Directors' Fees | | 150,000 | 150,000.00 | 150,000 |
| Insurance | | | | |
| | D&O | 4,800 | 4,800.00 | 4,800 |
| | Property | 506 | 505.50 | 506 |
| Legal-Prof Fees | | 2,500 | 0.00 | 2,500 |
| Meeting Expense | | 40,000 | 34,363.98 | 37,000 |
| Membership Dues | | 695 | 695.00 | 725 |
| Misc Expense | | 3,025 | 3,025.00 | 4,025 |
| Office | | | | |
| | Equipment and Furnishings | 750 | 0.00 | 750 |
| | Misc | 500 | 427.70 | 500 |
| | Supplies | 1,500 | 770.02 | 1,000 |
| Parking and Mileage | | 2,500 | 2,690.55 | 2,700 |
| Postage and Delivery | | 2,000 | 1,499.55 | 1,500 |
| Printing, Web Design and Maintenance | | 750 | 469.98 | 750 |
| Professional Development | | 500 | 0.00 | 500 |
| Rent | | 11,793 | 11,662.84 | 12,218 |
| Tax | | | | |
| | Excise | 30,000 | 25,000.00 | 15,000 |
| | Property (Bazal Condo) | 0 | 2,317.46 | 4,746 |
| Telephone/Internet | | 3,100 | 2,450.51 | 3,000 |
| **TOTAL OPERATING EXPENSES** | | **402,159** | **399,818.34** | **411,912** |
| | | | | |
| **TOTAL INVESTMENT MANAGEMENT FEES (see Budget Notes)** | | **269,383** | **253,616.89** | **295,000** |
| | | | | |
| **GRANTS** | | **7,735,604** | **26,428,609.00** | **10,145,333** |
| | | | | |
| **TOTAL EXPENDITURES** | | 8,407,146 | 27,082,044.23 | 10,852,245 |

# Robina Foundation
# Budget Notes
## 01/01/13 – 12/31/13

## Operating Expenses

**Administration – Consultants**

Penny Hunt – annual contract: $97,500 (increase effective 1/1/13).

Baker Management (contract employer for Nancy Gilberg) - $3,516/mo x 12 months.
(Increase due to working 1-1/2 days to 2 days)

External Consultants - $15,000: grant review, issue research, etc.

**Accounting/Audit Fees**

$15,000: CBIZ Accounting.

**Directors' Fees**

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

**Insurance**

Directors and Officers: Annual premium of $4,800.
Property: $506; Basic policy to cover office equipment/furnishings.

**Meeting Expense (Board and Staff)**

$37,000: Includes travel, accommodations and meals for board meetings, grantee visits, staff meetings with advisors/outside consultants.

**Membership Dues**

$725: Association of Small Foundations' annual membership dues.

**Miscellaneous**

$4,025: Certificate of Incorporation annual fee ($25), holiday gifts, compensation and bonus adjustments, etc.

**Office Expense**

Equipment and Furnishings: $750.
Misc: $500; Computer and technology consulting/maintenance/repair.
Supplies: $1,000.

**Parking and Mileage**

$2,700: Staff parking.

**Rent**

$12,218: $1,018.13/monthly lease.

**Taxes**

Excise Tax: $15,000; estimated at 1%; will be reviewed/revised by tax accountant during the year based on actual new contributions to the foundation and anticipated investment income.

Property Tax: $4,746.39; full year property tax for Bazal condo at 301 Clifton Ave., Minneapolis, MN ($2,317.46 for half-year in 2012).

**Telephone/Internet**

$3,000: Approximately $250/monthly.

## Total Investment Management Fees

USbank Fees: $270,000
Management Fee: $25,000 for Mike Sullivan

## Grants

$10,145,333: Grant payments scheduled for 2013. Additional grants may be made if approved by the Board.

# ROBINA FOUNDATION

**TO:** **Robina Board of Directors**

**FROM:** **Penny Hunt**

**RE:** **University of Minnesota Law School / Proposal for *Sentencing Law and Policy Program Enhancements***

During the Board's discussion with David Wippman, Kevin Reitz and Richard Frase at the August Board Meeting, Board Members expressed interest in learning the U's ideas for enhancements to the sentencing initiatives that could raise the bar and accelerate achievement of the goal of criminal justice reform. The University responded with a proposal for *Sentencing Law Program Enhancements*, which the Board discussed at the November Board Meeting.

In order to evaluate the four options described in the proposal, the Board asked Dean Wippman to prioritize the options. To assist the Board in its consideration of the proposal, we engaged three outside reviewers to assess the U's proposal.

The proposal, the U's prioritization of the options, and the assessments from outsider reviewers follow. I hope that this material and the discussion it will generate will enable the Board to make a decision concerning funding for all or some of the proposed enhancements.

# 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 indicates 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 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 |
| | | | | | | 0 |
| 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 |
|---|---|---|---|---|---|---|
| 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 |
| 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 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 | Year 1 FY 2014 | Year 2 FY 2015 | Year 3 FY 2016 | Year 4 FY 2017 | Year 5 FY 2018 | TOTAL |
|---|---|---|---|---|---|---|
| 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 |

| | | | | | | 0 |
|---|---|---|---|---|---|---|
| **TOTAL** | **215,425** | **221,888** | **228,544** | **235,401** | **242,463** | **1,143,721** |

**D. Building Partnerships with Parole Release States**

| **Year 1 (FY 2014)** | **Year 1 FY 2014** | **Year 2 FY 2015** | **Year 3 FY 2016** | **Year 4 FY 2017** | **Year 5 FY 2018** | **TOTAL** |
|---|---|---|---|---|---|---|
| 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** |

| | | | | | | |
|---|---|---|---|---|---|---|
| **TOTAL All PROJECTS** | **820,056** | **844,658** | **869,997** | **896,097** | **922,980** | **4,353,789** |

UNIVERSITY OF MINNESOTA

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January 10, 2013

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

Re: Sentencing Law and Policy Program Enhancements

Dear Penny:

You have asked how we might set funding priorities among the four near-term projects we described in our October 29th proposal for enhancements to the Robina Institute Sentencing Law Program. This letter outlines possible differences among the projects in terms of short-term and long-term impacts and suggests ways the Board might think about the four projects should it choose to provide a smaller grant than we have requested.

However, we would encourage the Board to think of the Sentencing Law Program not as a series of discrete projects, but as a single program. Each of the projects we have proposed is likely to have a major impact on U.S. sentencing law and policy and therefore on thousands of people. But the rate of progress on each project depends on many factors, some of which we can neither predict nor control. The SLP can best realize its full potential if it has the flexibility to shift resources and to redirect the time and energy of the program directors and staff as circumstances dictate. In short, we invite the Robina Foundation to invest further in a transformative program, rather than in the individual projects that the program will run.

With that in mind, our first priority would be to preserve in full the proposed line items providing teaching relief for Professors Frase and Reitz. Without reallocation of their time it will be very difficult even to maintain our pre-enhancement level of activity in the sentencing program area, let alone launch and sustain substantial new projects. Each of the four near-term projects involves cutting-edge research and policy development, which very few other scholars would be qualified to direct. Even with additional staff support, each of these projects will require substantial commitments of Frase and Reitz's time and energy.

As for our priorities among the projects, we consider all four to be roughly comparable as possible engines of important law and policy changes. Reform at this level is always at least partly political and therefore uncertain, so diversification of approach and the targeting of multiple jurisdictions is a good way to maximize the impact of the Institute's work. For each project of this kind, unexpected roadblocks may necessitate moving ahead more slowly than originally anticipated. Likewise, unexpected opportunities may warrant moving ahead rapidly.

For example, as the identities of key elected officials or commission chairs change, particular projects may become either much harder or much easier to achieve. Similarly, successes or failures of reform efforts in one state may have cascading effects in others. For example, the rapid court-ordered changes now occurring in California's policies of prison and community corrections—still very much in experimental stages—may yield high-visibility results that inspire other states to consider policy initiatives that are unthinkable today. If California succeeds in achieving massive prison reductions without substantial problems (such as a substantial rise in crime rates), other states may become far more ambitious in formulating de-incarceration agendas of their own. By launching all four projects simultaneously, we can proceed with each as expeditiously as circumstances permit.

Nevertheless, we recognize that the Robina Foundation may wish to prioritize among the four projects. We approach the question of prioritization in two ways: First, which projects are most likely to have an impact on state sentencing practices in the short or middle term? Second, which projects cannot move forward, even through preliminary stages, without additional staffing? (For those that can, we could trim the budget of fellows, consultants, researchers, and/or research assistants, though not without slowing work on those projects.) This yields the following ranking, from highest priority to lowest:

1. *Multi-State Parole and Probation Revocation Project.* This project is very likely to have a major impact in several states in the short term, and in a larger number of states in the medium term. The project also requires staff resources to move ahead. (We are in discussions with Ron Corbett, Massachusetts Commissioner of Probation, to begin planning work when he steps down as Commissioner in January 2013.)

2. *Sentencing Reform Repository Project.* This project is meant to assemble the raw materials for reform projects on a wide variety of fronts but, at its inception, does not aim toward any single initiative or set of proposals. In the long term, it may be the most important of all SLP undertakings, but its near-term deliverables will be the steps needed to bring the repository into existence. This project requires staff support, as outlined in the augmentation proposal, and cannot move forward without the requested resources. (We have entered discussions with Don Stemen to work on this project beginning next semester.)

3. *Multi-State Criminal History Project.* This project is likely to have a significant impact in many states in the short and medium term. Unlike the first two projects, this project can move ahead in its early stages without full investment in new staff. However, additional funding will eventually be needed for the project to reach fruition.

4. *Parole Release States Project.* The first phase of this project would focus on sentencing commission states with parole release boards that fix the length of most prison terms (roughly half of all commission states). We would use our existing relationships with the commissions and target an issue over which they potentially have great authority. At least a handful of state legislatures have already asked their sentencing commissions to examine better ways to coordinate judicial sentencing with the parole-release process, partly in recognition of the fact that parole boards have been major drivers of prison growth over the past 30 years. Given

continuing fiscal pressure on state legislatures, there is a good chance this will be a continuing trend. In the longer term, the project may expand to include efforts to forge connections and lines of communications with additional paroling states—those that have no sentencing commissions. If limited to its "first phase," exploratory work can proceed on this project without additional staffing at this time but full engagement in identified reform initiatives will not be possible without appropriate resources.

As always, we would be happy to provide any additional information that might be helpful to the Board as it considers our funding proposal.

Sincerely,

David Wippman
Dean and William S. Pattee Professor of Law

jn

# The University of North Carolina

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*Constituent Universities*
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East Carolina University

Elizabeth City State University

Fayetteville State University

North Carolina Agricultural and Technical State University

North Carolina Central University

North Carolina State University at Raleigh

University of North Carolina at Asheville

University of North Carolina at Chapel Hill

University of North Carolina at Charlotte

University of North Carolina at Greensboro

University of North Carolina at Pembroke

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University of North Carolina School of the Arts

Western Carolina University

Winston-Salem State University

*Constituent High School*
North Carolina School of Science and Mathematics

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February 11, 2013

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

Dear Ms. Hunt and Members of the Robina Foundation Board of Directors:

I am writing in response to your request that I review and comment upon the October 29, 2012, proposal for funding from the University of Minnesota Robina Institute for Criminal Law and Criminal Justice. I appreciate the opportunity to share my thoughts about the proposed work of the Sentencing Law Program at the Institute. As you may know, I have known several of the professors involved with the Institute for more than 15 years. The work in which they are engaged is very important and has made a significant difference in the development of more rational criminal sentencing and corrections policies. I applaud each of you and the Foundation for the vision and good judgment you demonstrated in creating the Institute and your investments in its work. There is nowhere else in the country of which I am aware where work is underway that is of the high quality as that found at the Institute.

To begin, it may be helpful for me to review my background and experiences in order to provide some context to the perspectives I bring to my review of the proposal. I currently serve as President of the 17-campus University of North Carolina, after serving previously as President of Davidson College and as executive director of the Z. Smith Reynolds Foundation, a private philanthropic organization dedicated to improving the lives of the people of North Carolina. Earlier in my career, I served in the North Carolina judiciary, first as a state Superior Court trial judge for 17 years and then as Director of the Administrative Office of the Courts.

While serving as a Superior Court judge I also chaired the North Carolina Sentencing and Policy Advisory Commission from the time of its creation in 1990 until 1999. During this time the Commission developed a criminal sentencing guideline system known as Structured Sentencing. The system used a computer simulation model to predict needed prison and community-based correctional resources and created guidelines for use in sentencing that

resulted in more certainty, consistency and fairness in punishments. Structured Sentencing was enacted in North Carolina in 1993 and became effective in 1994. It remains the law today with only minor changes having been made in the nearly twenty years since its passage. Structured Sentencing received significant national attention at the time it was enacted and implemented because at a time in history it was one of the only reforms designed to reduce incarceration and correctional expenditures. Most states were enacting policies that resulted in increasing the number of people going to prison and the length of sentences they received. Structured Sentencing in North Carolina has produced cost avoidance in correctional expenditures in the billions of dollars for the state.

Structured Sentencing eliminated parole in order to establish a more truthful sentencing system and established a system of post-release supervision to manage offenders upon release from incarceration. In my opinion, the post-release supervision system we developed was not as strong and/or effective as was needed. Improvements have been made to post-release since the original legislation was enacted, but more work is needed.

As a result of my work as Chair of the Sentencing Commission in North Carolina, I was invited to speak in numerous locations around the country and, over a period of approximately five years in the mid-1990s, spoke on the topic of sentencing guidelines and reform in over 30 states. I also worked with policy leaders in other states to assist them in their efforts to develop new sentencing systems for their states both alone and through the more coordinated efforts of the Vera Institute of Justice in New York.

I remained interested in and connected to the work of sentencing reform after I left the judiciary while I was working in philanthropy. I continued to work with a few states on sentencing policy during this portion of my career. Though I continue to have great interest in the field, I have been less active in it since moving into higher education in 2007.

With that background information, allow me to turn to the October 29, 2012 proposal on which I have been asked to comment. I have carefully reviewed the proposal and have attempted to do so through several different lenses. I have tried to separately evaluate the value of the four different parts of the proposal from the viewpoint of the value the work proposed might add to academic research in the field; whether the work is likely to effect the development of new policies and/or impact the implementation of existing policies; the political obstacles than might be expected and the probability that any new policies could be enacted; and the potential short and long term return on investment which might reasonably be expected. Considering all of these factors, I will attempt to share my thoughts about the appropriate priority order for the four areas of work proposed in the October 29, 2013 submission. Before I proceed, though, I must indicate that I agree with Dean Wippman that if the Institute were able to engage in all of the four areas of work simultaneously there is a resulting flexibility and leveraging effect that would likely enhance the overall outcomes and return on investment.

1. Multi-State Parole and Probation Revocation Project

As is pointed out in the proposal, a significant percentage of all admissions to prison in the United States are the result of probation or parole violations. Thus, incarcerations resulting from violations of conditions of probation or parole are a major cause of prison overcrowding and high correctional costs. Few states have policies that deal with these violations by using systems of structured guidelines or risk assessments. In most states, the decision to send a violator of probation or parole conditions to prison is much more likely to be completely in the discretion of the sentencing judge than is the original decision of whether or not to send an offender to prison. Efforts to impact existing policies in this area have the potential to make a very significant difference in reducing prison populations and the attendant costs. In my view, this is an area of very high potential impact and reward with fewer political barriers and more openness to reform than any other area of sentencing policy. Policy changes affecting the back end of the process rarely draw as much attention or political controversy as front end changes in sentence lengths or initial requirements for incarceration. Further, individuals initially placed on probation are usually non-violent offenders who can often be managed well in the community and policy changes affecting such offenders are less problematic that those affecting more violent offenders. Of the four areas of work proposed by the Robina Institute's Sentencing Law Program, I believe this project should be considered the one with the highest likelihood of short, medium and long term positive policy impact in the largest number of states and, thus, would be the project on which I would place the highest priority.

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2. Multi-State Criminal History Project

In my opinion, prior criminal history is one of the most significant and often-used factors in the sentencing decision of virtually every judge as well as in most sentencing systems currently in use. Certainly, most, if not all, sentencing guideline systems use prior criminal history as one of the core factors in the application of the sentencing structure. Yet, to my knowledge, there has been little, if any, rigorous research-based effort to determine the correlation between future risk of criminal activity and a history of previous criminal convictions generally or certain types of prior convictions specifically. We now have significant years of experience in several states with guideline systems which are built on the use of criminal history enhancements. The ability through advanced analytics to examine the mass amounts of available data could produce new information that might be successfully used to convince policy makers to adjust existing sentencing enhancements based on criminal history. Such policy modifications, even if slight, would likely result in significant reduction in incarceration and resulting cost savings because of the prominent role of criminal history enhancements in most guideline systems. There is a high degree of reward if this project is successful. The political barriers are somewhat higher than those in the project discussed above, but since any changes would presumably be well-grounded in data and somewhat hidden with the guideline structures, the potential for policy change is relatively high. Because of the possible return on investment and wide application of the research to be conducted, I would suggest that this project be given a high priority and would rank it just slightly

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behind the project focused on probation and parole revocations among the four proposed projects.

3. Sentencing Reform Repository

Though this project would not immediately and directly impact sentencing policy development, I believe it has great potential to positively affect policy development in many ways. Criminal sentencing, like all policy areas, is one where policy makers can learn a great deal from the experiences and best practices of those in other jurisdictions. The often highly politicized environment in which sentencing policy is considered often prevents those interested in reform from making progress. If information about and analysis of policies in other states were readily available it would likely help reformers respond with arguments based on real experiences and outcomes from other jurisdictions. But, because criminal justice and sentencing policies are so different from state to state and, thus, the task of assembling laws and policies from across all states is difficult and time consuming, there has not yet been a single place where policy makers can go to learn about different approaches and best practices across jurisdictions. Creating a repository as proposed here would provide information, data analysis, innovative approaches and a complete inventory of policies that would greatly benefit policy makers as well as criminal sentencing scholars, reform advocates and practitioners. The proposed repository would be in a position to take advantage of the existing expertise and knowledge of the key faculty of the Institute while also enhancing significantly the national reputation of the Robina Institute. This project is virtually without risk. The return on investment is less direct, but the value to the field is very significant and long lasting. I also believe the involvement of the Institute in a direct manner with the National Association of Sentencing Commission would have mutual benefit and enhance the work and exposure of the Institute. This is a very worthy project which I would also give quite high priority though when forced to do so, I rank it third among the four projects.

4. Building Partnerships with Parole Release States

Most every parole systems with which I am familiar would benefit significantly from policy modifications that reduce discretion and rely more heavily on date driven risk determination. Further, many states could use assistance in developing or clarifying policies regarding parole release decision-making used to reduce prison overcrowding. Clearly, these are areas of work that need attention and where there is great need for change in the way business is conducted. The project proposed by the Institute, if successful, likely would have great benefit to many states and people. However, in my experience, parole release policies and efforts to reform them draw very high levels of political interests and, as a result, accomplishing positive change in this area is likely to be quite difficult. Like probation and parole revocation polices, parole release policies, if effectively reformed, can produce significant reduction in costs and incarceration. But, accomplishing meaningful policy modification in this area is, in my view, much less likely that in either the probation and parole revocation or criminal history enhancements

areas. I view this project as high risk with less probability of significant impact. Thus, of the four projects, I would rank this one as lowest priority, though worthy of support if funds are available.

In summary, I believe all four of the projects proposed by the Sentencing Law Program would, if supported, yield great value to the field of criminal sentencing law and policy. I also believe the Robina Institute is in the best position of any institution of which I am aware to implement the projects in large part because of the highly regarded, experienced faculty at the Institute all of whom have worked extensively in the field and all of whom have strong records of accomplishment. As requested, I have attempted to offer my best thoughts and opinions about the relative value of each project and the priority I would place on each of them.

I appreciate the opportunity to review the October 29, 2012 proposal submitted by the Institute and I hope my views as expressed here are helpful to each of you as you consider this proposal. If you have questions about my thoughts and opinions, please do not hesitate to contact me. Thank you for your commitment to the improvement of justice in America.

Sincerely yours,

Thomas W. Ross

# MEMORANDUM

**TO:** Ms. Penny Hunt, Executive Director, Robina Foundation

**FROM:** Tracey L. Meares, Walton Hale Hamilton Professor, Yale Law School

**DATE:** February 17, 2013

**RE:** Review of Robina Institute Sentencing Law Program Enhancements

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## Introduction

The Robina Institute Sentencing Law Program at the University of Minnesota Law School ("RISLP") proposes a number of enhancements to its current programming. You have asked me to review their proposed program enhancements and provide you with my thoughts on the various strategies as well as my opinion regarding how to prioritize them. Of the several important projects, I think the most important is the Sentencing Reform Repository Project. This project will likely lead to the most substantial and wide-ranging reform, provided that RISLP is attentive to supporting the National Association of Sentencing Commissions ("NASC") infrastructure as well as building a database. The lowest priority project in my view is probably the Parole and Probation Revocation Project, but I hasten to add that my assessment of this project is not based on the importance of the issue, but, rather, the presence of many policy and foundation actors already on the scene. Without additional information regarding how RISLP is collaborating with these groups, it may be that its time and resources are better spent elsewhere where no one is working, such as the Parole Release Project.

## Review

RISLP describes four high priority projects followed a number of lower priority projects. I review the high priority projects in detail, commenting on each one. I then comment on the lower priority projects as a group.

The first project is the Multi-State Criminal History Project. Here RISLP proposes to encourage guidelines states to examine their use of criminal history by helping these states to better understand the formulas they use to sentence individuals based on this information. Given the Robina Institute's original goal of pursuing "[a] realistic hope of substantially improving American law, policy and practice," I must admit to being somewhat skeptical of this project. While it seemed to me to be interesting from a research standpoint in a basic science sense, I did not see an obvious connection between the data collection of sentencing formulas and criminal justice system reform. After rereading the proposal and focusing on an aspect of this projects – the relationship between criminal history and sentencing and prison population size and recidivism risk -- I began to become less skeptical, but one worry here is the need, I think, to tie what will

undoubtedly be fascinating research for someone's dissertation and real policy impact. Don Stemen, perhaps, is someone who can work to allay these fears. Again, I think the proposal would benefit from spelling out in more concrete terms the nature of the collaboration RISLP will have with relevant commissions or some other on-the-ground body in a position to translate this important research into policy that matters.

The second project is a Multi-State Parole and Probation Revocation Project. This is no doubt an important issue. As RISLP notes, up to 40% of prison admissions are due to revocations. The work described here is exploratory. RISLP seeks to "identify possible model systems" and help participant states develop model guidelines for revocation. I am aware that the National Council of State Governments, which is mentioned by RISLP of the proposal in its personnel, is already doing major work in this area. Dr. Tony Fabelo, with whom I serve on the United States Attorney General's Science Advisory Board, is the Director of Research for the Council of State Governments and has authored reports relevant to this area. The Council on State Governments is also currently working with at least Pew and with the Public Welfare Foundation on this issue None of this means that RISLP should not also be involved, and it clearly demonstrates the critical nature of the issue. I would be more confident of labeling this a high priority, however, if it were more clear in the proposal how RISLP planned to work with others on this landscape and better demonstrate where it can add value. Because the field here seems somewhat crowded, RISLP might be better served either (1) being more targeted, or (2) raising other projects to a higher priority level.

The third project RISLP points to is the Sentencing Reform Repository Project. This project seems deceptively unassuming. On its face it appears to be simply the creation of a giant database. However, this project is probably the most important project RISLP proposes. RISLP states that it "could work with NASC to develop mechanisms for the collection, storage, analysis, and exchange of sentencing guidelines law and policy information." A repository of this information does not currently exist, and NASC has neither the personnel nor capacity to develop such a repository on its own. More than that NASC has no capacity to incubate new commissions. Through this project and with RISLP guidance, NASC could do this work. I should state here that I am Governor Danel Malloy's designee to the Connecticut Sentencing Commission. In the year or so that I have served, I have learned a great deal about how these commissions work. I have also learned a great deal about how they fail, and, moreover, how easy it is to fail. There has been a number of state sentencing commissions that have begun work and have ultimately folded because there is no centralized institution to support them. Through this project RISLP could help NASC to play this role. In addition to the Repository, I think it would be fantastic if RISLP helped NASC to develop programming for newly incubated commissions – especially their executive directors. Perhaps RISLP could sponsor a regular conference or retreat and help the NASC to develop off the shelf documents that such administrators could use. To the extent that Robina at Minnesota seeks to make a substantial real-world impact, this is a project that could realize that goal. In preparation for this review, I have corresponded with Professors Reitz and Frase on the nature and depth of their collaboration with NASC since beginning writing this memo,

and it appears that there is a close connection between the two groups. I think that connection can and should be deepened and strengthened if possible.

The fourth project involves Building Partnerships with Parole Release States. The idea here would be to build an organization like the NASC for indeterminate sentencing states. This idea, too, has potential traction, although it does not have an available organization to leverage. This proposal is hard to review because it high on ideas and low on infrastructure. One idea would be to tackle this idea through one of the lower priority projects such as racial disparity or my own favorite, sentencing reform. This proposal while currently quite indeterminate may, in fact yield very high return on investment given the lack of investments by others into this topic.

Finally, a word or two regarding the lower priority projects. In my opinion, promoting sentencing reform, is one of the most important goals RISLP can achieve. In my view, the Repository project serves precisely this end. To the extent that RISLP did not view the Repository project in this way, or has not set it up to help incubate commissions and get them to walking on their own, that might be a way to think about that project. The executive director of the newly-formed Connecticut Sentencing Commission is clear that these resources for new commissions do not exist. RISLP could play this important role. Of course a consequence of doing this work would be to bring more attention to prison population management. We commonly look to national numbers of incarceration, but as my colleague and co-author, Jeff Fagan, has explained, this is a mistake. Fifty different states have 50 different levels of incarceration and incarceration rates. Some states have commissions and others do not. We need to stop discussing imprisonment at the national level and analyze it where it occurs. The other three projects described in this section can be useful to these two goals, but I consider the two I point out here to be the most important.

11E United States Courthouse
300 South Fourth Street
Minneapolis, MN 55415

February 15, 2013

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

Dear Penny,

The Robina Foundation's continuing interest in Sentencing Law and Policy will please many of the stakeholders in that area and will allow the University of Minnesota Law School to refine and enhance its own work to date. It has been my pleasure to review the four opportunities currently identified by Dean Wippman for potential future funding. I expect no compensation in return.

The law school's focus seems much clearer in this year's submission. That is no doubt due to building on last year's work. The proposal addresses opportunities for concrete results in fair sentencing of state defendants, not just abstract and general sentencing policies. It is focused on areas where meaningful data can be collected, analyzed, and employed for change. There is more of a practical realism about the current proposals including an openness to "unexpected" opportunities. While the four areas identified as high priorities all justify further work, they differ in their potential for immediate impact as opposed to long term change.

No doubt a multi state parole and probation project could have real value. Repeat offenders present the greatest danger to society. Better tracking, monitoring, and supervising of them is critical but expensive. I know from experience that state records are often sketchy and incomplete, but they are invaluable in identifying and tracking those most likely to reoffend and commit serious crimes. Serious or repeat violators should have their probation/parole revoked, but keeping track of violations requires sufficient probation officers and skilled monitoring. Revocation procedures are expensive as they also involve judicial hearings, but without them the conditions imposed on release are meaningless. The projected building of partnerships with parole release states would seem to be a natural second step in this area.

The criminal history project could have significant impact beyond the short and medium terms, thus greater than anticipated by the proposal. All sentencing systems of which I am familiar rest heavily on an offender's criminal history, its indicators of dangerousness and likelihood of future offenses. Criminal history is vital to realistic sentencing as well as to revocation of parole or probation of offenders who recidivate. Since there are great differences in terms of the type or severity of violations, detailed knowledge about an offender's past and relative dangerousness is critical to public safety and in fashioning fair and effective sentences. This includes information about sentencing factors associated with different offenses, such as violence, amount of the loss, etc. Guidelines frequently assign weight to various factors – which are the critical ones for future dangerousness and recidivism?

As a sentencing judge and former chair of the United States Sentencing Commission, I have had extensive experience with the value of a repository of sentence information including that imposed on probation or parole revocation. Study of the pertinent factors can help formulate new improved guidelines. In this way reality informs abstraction. Collection of such information and statistics is a very promising area of study for the states despite their multiplicity of systems. Analysis of such data allows realistic review of the effectiveness of sentencing provisions and recidivism. The Commission's vast collection of data has been of great help in drafting guidelines for offenses newly targeted by Congress, as well as for reevaluating existing guidelines. Hopefully the law school's project will encourage the collection of sentencing data within jurisdictions so that a state department or commission will be able to gain access to it for monitoring of effectiveness in terms of reducing recidivism or protecting the public from future violations.

The sentencing reform repository project appears to be a longer term goal to collect literature as well as data about reform efforts. It is less focused and offers little immediate input. Long range goals to reduce the size and expense of prison populations are commendable, but I must add that any suggestion that drug offenders as a class do not require long sentences seems unrealistic and overly optimistic since local drug trade is frequently carried out with lethal weapons and violence. That is no doubt truer in cases prosecuted in federal courts, but it is also a factor in day to day drug deals. Big money and territorial rights are involved.

The progress of the law school's Sentencing Law and Policy project is very encouraging. It appears focused, with achievable goals, and open to learning from a variety of sources. It is not clear from the submission, however, how the law school intends to choose between the four priority projects or where to put its emphasis. I assume the choice may well be determined by the response of the Robina Foundation or by other potential funders.

Sincerely,

Diana E. Murphy

DEM/mn

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February 22, 2013

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

Dear Penny,

I am enclosing our response to the external reviews of the Proposal for Sentencing Law & Policy Program Enhancements. I've also included copies of the brochure for the Second Annual Robina Conference scheduled for April 25, 2013.

In addition, I am enclosing a corrected acknowledgement letter for the Foundation's recent gift.

As always, we are deeply grateful for the Foundation's support.

All best regards,

David Wippman
Dean and William S. Pattee Professor of Law

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Enclosures

University of Minnesota Law School
Response to External Reviews of the Proposal for
Sentencing Law & Policy Program Enhancements
February 22, 2013

We are gratified by the overall favorable response of the three external reviews. All three reviewers agree that the proposed SLP undertakings are important. The main differences of opinion go to the priorities that should be set among the four projects, and the strategic thinking behind specific projects.

Differences of opinion on prioritization are to be expected, and even welcomed. (A table summarizing the reviewers' conclusions is attached.) No one can know, in the complex sphere of criminal justice politics, which initiatives will gain traction quickly and which will take time to mature, which will be wholly successful and which will have to fall back on second-best solutions. Much depends on trends in crime rates, budgetary pressures, and political sensibilities in the next 5 to 10 years. Given the uncertainties, we think it important to diversify SLP's efforts across multiple jurisdictions and different project types, adjusting our allocation of time and resources to maximize the impact of work in each area as circumstances dictate.

Many in the criminal justice field view the coming decades with optimism. For the first time in 40 years, the pendulum appears to be swinging away from the excesses of the late 20th century, most notably the nation's imprisonment binge. The precise shape of the reforms that can best exploit this shift in attitudes is impossible to predict with certainty.

We agree with Professor Meares that sentencing reform through work with state sentencing commissions should be at the top of the SLP's program priorities, and that a sensitivity to variations in the political and policy landscapes of individual U.S. states is essential to effective policy change. Professors Frase and Reitz have built their careers on precisely these observations. We disagree, however, with Professor Meares' views on the adequacy of the strategic pathways envisioned for specific projects—particularly the criminal history project and the sentence revocation project.

Criminal History Project. Professor Meares suggests that the criminal history project is likely to yield interesting research but few practical effects. We strongly disagree. Of all the proposed initiatives in the current funding request, the criminal history project has the *clearest* route to policy impact. If criminal history scoring systems in American sentencing guidelines were reworked to mute, even incrementally, the effects of prior record on sentences, there would be immediate and long-term effects on the size and composition of state prison populations. We also know that there is an appetite for a rethinking of criminal history in some U.S. jurisdictions. We have been told by several sentencing commissions that it is a high-priority policy area they would like to examine in collaboration with the Robina Institute. For these reasons, we concur with President Ross, who suggests this project be given "a high priority."

Multi-state Parole and Probation Revocation Project. With respect to the sentence revocations project, we are aware of the ongoing work of other organizations that Professor Meares mentions. So far, however, the measures promoted by those groups have been ad hoc and quite localized. In contrast, the SLP works toward systemwide and permanent changes in law. When an atmosphere of crisis spurs reform, it is important to respond in ways that will outlast the short-term sense of emergency. We believe we have a distinctive approach, and one that exploits our existing strengths. The SLP's main institutional advantage is its close relationship with NASC and the many individual sentencing commissions. Many commissions have told us that new thinking to address revocation practices is badly needed—and that they would welcome assistance from the Robina SLP program. Indeed, at the March 2012 meeting of sentencing commissions hosted by the Institute, when a straw poll was taken, this was the project that garnered the most interest. Again, we concur with President Ross, who gives this project "the highest priority."

Sentencing Reform Repository Project. All of the reviewers agree that the proposed repository will make a very valuable contribution, providing crucial support and information to sentencing commissions and other policy makers, practitioners, and scholars.

Parole Release Project. All three of the reviewers observe that SLP's efforts to forge relationships with indeterminate (parole-releasing) states would open a new horizon in the world of sentencing reform. There are presently no academic-policymaker collaborations of the kind we would like to build. The reviewers also agree that, if SLP were to be successful in this work, large benefits might be realized. Yet the undertaking would necessarily begin with an exploratory phase. We would be searching for a menu of issues of current interest to a number of states, and designing targeted projects around them. We propose to start with the sentencing commission states that use sentencing guidelines for judges, but also grant the lion's share of power over prison-term length to parole boards. For example, the Pennsylvania Sentencing Commission is now under statutory mandate to coordinate the "front-end" decisions of judges with "back-end" parole decision makers. Critical questions include how sentencing guidelines should interrelate with "parole guidelines," and how (or if) actuarial risk assessments should be used at either decision point. We know that state commissions outside Pennsylvania, including those in Missouri, Alabama, and Utah, are wrestling with similar issues. All four states expressed interest in moving forward with a Robina SLP project at the March 2012 meeting. This gives us a firm foothold at the outset. The parole release project would begin with highly focused work, but with ambitions to expand.

* * *

We are grateful for the attention each of these busy reviewers gave to our proposals, and we are glad to see that, for each of our four near-term projects, at least two of the three reviewers agreed on both the importance of the issues and the ability of the Robina SLP to have a strongly positive impact.

Attachment

| | Tom Ross | Diana Murphy | Tracey Meares |
|---|---|---|---|
| A. Criminal History | High degree of reward if this project is successful; priority only slightly below revocation [B]. | Could have a significant impact beyond short and medium terms. | Need to specify collaborations that will translate research into policy. |
| B. Revocation | This project has the highest potential positive policy impact and should get highest priority. | No doubt this could have real value. | Need to show how RISLP will work with others already in this field, or otherwise add value. |
| C. Repository | Great potential; would greatly benefit policy makers, scholars, reform advocates, and practitioners; ranks 3rd highest of the 4 projects. | A very promising area of study for the states; plan for collection of literature (as well as data) "is less focused". | Probably the most important RISLP project; could help NASC develop programming for new commissions and esp. directors. |
| D. Parole Release | Policy change would likely have great benefit but actual change will be difficult, so this one ranks #4. | A natural second step (following the revocation project). | Indeterminate/low on infrastructure; "may in fact yield very high return on investment" given lack of competition. |

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February 11, 2013

Thomas M. Crosby, Jr., Chair & Treasurer
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

RE: Robina Research Chairs

Dear Tom:

I write to update you on the status of the two Robina Research Chairs in Law, Public Policy, and Society. In our original June 2008 proposal, we had suggested that the Robina Foundation provide $3 million in endowment funding to support two new chairs (one in international law and human rights, held by John Borrows, and the other in law, science, and technology, for which the search is still in process). At that time, the Foundation indicated it preferred to provide funds that would be spent currently rather than put into an endowment, so the arrangement eventually agreed upon was that the Foundation would fund the full anticipated cost of the chairs for five years; during that period, the Law School would seek other donors to provide $1.5 million for each chair, amounts that (together with matching amounts from the University), would serve to endow the chairs.

Unfortunately, although we did find a match for a separate, Robina-funded clinical chair, we have not yet found donors willing to provide matching funds for the two research chairs. Accordingly, we would like to use the matching funds from the University to endow both chairs at a $1.5 million level each, while we continue to seek donors to build the endowments to their originally anticipated $3 million value. By way of comparison, a regular chair at the University now costs $2 million to endow; a professorship costs $1 million to endow. However, chair endowment levels range widely (quite a few Law School chairs were endowed in the past for as little as $250,000). The level of endowment does not affect our ability to recruit for a particular chair, though it does affect how much of the cost of a chaired faculty member's salary and benefits must be supported by the Law School's operating budget as opposed to the chair endowment.

Please let me know if this approach would be satisfactory to the Board. I would, of course, be happy to discuss this with you and other Board members if that would be helpful.

Sincerely,

David Wippman
Dean and William S. Pattee Professor of Law

From: Kevin Reitz <reitz027@umn.edu>
Subject: Your inquiry to Robina
Date: February 15, 2013 3:24:52 PM CST
To: Tracey Meares <tracey.meares@yale.edu>
Cc: Penny Hunt <pennhunt@gmail.com>

Dear Tracey,

Penny Hunt has asked us to email you to reply to your inquiry about the ties that currently exist between the National Association of Sentencing Commissions (NASC) and the Robina Institute. Please excuse the awkwardness of a direct communication from the Institute whose projects you are reviewing!

We agree that NASC can be very helpful to individual sentencing commissions around the country, including the one in Connecticut, and that this potential has not been fully realized. Acting on that belief, we have sought to build close ties between NASC and the Robina Institute sentencing program, and to find ways for NASC to help us do and implement our research while we help NASC better achieve its core function of promoting research and best practices. Specifically, we have done the following:

1) regularly attended and appeared on panels and plenary sessions at almost every NASC annual meeting (at the 2012 meeting we made a presentation on Robina's sentencing projects, and our wish to work closely with NASC and its members);

2) worked closely with Kelly Mitchell, Director of the Minnesota Sentencing Guidelines Commission and a member of the NASC Executive Committee;

3) used our NASC contacts to convene a meeting of sentencing commission representatives in March 2012, to ask their advice on Robina Institute projects that would be of greatest substantive interest to them, and in which they would have serious interest in participating;

4) agreed with the NASC Executive Committee that Robina and the Minnesota Commission will jointly host the 2013 NASC annual meeting (to plan for that meeting, we have had monthly phone conferences with the committee since last August); as part of that meeting, and to make it especially valuable, we have commissioned research papers from Cecelia Klingele, John Monahan, Julian Roberts (in addition to papers to be written by Richard Frase and Michael Tonry);

5) chosen, as one of our near-term projects, the creation of a national sentencing law and policy repository that will solicit materials from all NASC members and encourage those jurisdictions (and those without existing commissions) to contribute to and make use of the repository; and

6) identified three other near-term projects, described in the materials you have seen, that will involve working with NASC members and perhaps the organization itself to gain access to policy makers and existing data, encourage research, and communicate the results of that research; our agenda of four "front-burner" projects was greatly informed by NASC-member input at the March 2012 meeting mentioned above.

As you can see, NASC will play a key role in the work of Robina's Sentencing Law and Policy program area. We have already begun close collaboration with their board and several of their member commissions, and plan to strengthen and expand those collaborations.

We should note that we both have twenty-year histories with NASC, and have wanted for many years to strengthen the organization and help it broaden its activities. Kevin Reitz organized a pilot meeting of state sentencing commissions in 1993 (in conjunction with a law review symposium at the University of Colorado). The commissions formally incorporated under the NASC banner the following year. Both of us have attended nearly every meeting of the organization—dating back to the "first" meeting in 1993. Our affiliation with NASC has led to many pro bono projects with individual commissions over the years (e.g., a whirlwind of activity after the *Blakely*

decision in 1994), and has also supplied a grounding for our research and writing that is not available in published sources.

We hope these comments are helpful in formulating your evaluation. If you have any further questions, please let us know.

Best regards

Richard Frase

Kevin Reitz

University of Minnesota Law School
Response to External Reviews of the Proposal for
Sentencing Law & Policy Program Enhancements
February 22, 2013

We are gratified by the overall favorable response of the three external reviews. All three reviewers agree that the proposed SLP undertakings are important. The main differences of opinion go to the priorities that should be set among the four projects, and the strategic thinking behind specific projects.

Differences of opinion on prioritization are to be expected, and even welcomed. (A table summarizing the reviewers' conclusions is attached.) No one can know, in the complex sphere of criminal justice politics, which initiatives will gain traction quickly and which will take time to mature, which will be wholly successful and which will have to fall back on second-best solutions. Much depends on trends in crime rates, budgetary pressures, and political sensibilities in the next 5 to 10 years. Given the uncertainties, we think it important to diversify SLP's efforts across multiple jurisdictions and different project types, adjusting our allocation of time and resources to maximize the impact of work in each area as circumstances dictate.

Many in the criminal justice field view the coming decades with optimism. For the first time in 40 years, the pendulum appears to be swinging away from the excesses of the late 20th century, most notably the nation's imprisonment binge. The precise shape of the reforms that can best exploit this shift in attitudes is impossible to predict with certainty.

We agree with Professor Meares that sentencing reform through work with state sentencing commissions should be at the top of the SLP's program priorities, and that a sensitivity to variations in the political and policy landscapes of individual U.S. states is essential to effective policy change. Professors Frase and Reitz have built their careers on precisely these observations. We disagree, however, with Professor Meares' views on the adequacy of the strategic pathways envisioned for specific projects—particularly the criminal history project and the sentence revocation project.

Criminal History Project. Professor Meares suggests that the criminal history project is likely to yield interesting research but few practical effects. We strongly disagree. Of all the proposed initiatives in the current funding request, the criminal history project has the *clearest* route to policy impact. If criminal history scoring systems in American sentencing guidelines were reworked to mute, even incrementally, the effects of prior record on sentences, there would be immediate and long-term effects on the size and composition of state prison populations. We also know that there is an appetite for a rethinking of criminal history in some U.S. jurisdictions. We have been told by several sentencing commissions that it is a high-priority policy area they would like to examine in collaboration with the Robina Institute. For these reasons, we concur with President Ross, who suggests this project be given "a high priority."

Multi-state Parole and Probation Revocation Project. With respect to the sentence revocations project, we are aware of the ongoing work of other organizations that Professor Meares mentions. So far, however, the measures promoted by those groups have been ad hoc and quite localized. In contrast, the SLP works toward systemwide and permanent changes in law. When an atmosphere of crisis spurs reform, it is important to respond in ways that will outlast the short-term sense of emergency. We believe we have a distinctive approach, and one that exploits our existing strengths. The SLP's main institutional advantage is its close relationship with NASC and the many individual sentencing commissions. Many commissions have told us that new thinking to address revocation practices is badly needed—and that they would welcome assistance from the Robina SLP program. Indeed, at the March 2012 meeting of sentencing commissions hosted by the Institute, when a straw poll was taken, this was the project that garnered the most interest. Again, we concur with President Ross, who gives this project "the highest priority."

Sentencing Reform Repository Project. All of the reviewers agree that the proposed repository will make a very valuable contribution, providing crucial support and information to sentencing commissions and other policy makers, practitioners, and scholars.

Parole Release Project. All three of the reviewers observe that SLP's efforts to forge relationships with indeterminate (parole-releasing) states would open a new horizon in the world of sentencing reform. There are presently no academic-policymaker collaborations of the kind we would like to build. The reviewers also agree that, if SLP were to be successful in this work, large benefits might be realized. Yet the undertaking would necessarily begin with an exploratory phase. We would be searching for a menu of issues of current interest to a number of states, and designing targeted projects around them. We propose to start with the sentencing commission states that use sentencing guidelines for judges, but also grant the lion's share of power over prison-term length to parole boards. For example, the Pennsylvania Sentencing Commission is now under statutory mandate to coordinate the "front-end" decisions of judges with "back-end" parole decision makers. Critical questions include how sentencing guidelines should interrelate with "parole guidelines," and how (or if) actuarial risk assessments should be used at either decision point. We know that state commissions outside Pennsylvania, including those in Missouri, Alabama, and Utah, are wrestling with similar issues. All four states expressed interest in moving forward with a Robina SLP project at the March 2012 meeting. This gives us a firm foothold at the outset. The parole release project would begin with highly focused work, but with ambitions to expand.

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We are grateful for the attention each of these busy reviewers gave to our proposals, and we are glad to see that, for each of our four near-term projects, at least two of the three reviewers agreed on both the importance of the issues and the ability of the Robina SLP to have a strongly positive impact.

Attachment

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| A. Criminal History | High degree of reward if this project is successful; priority only slightly below revocation [B]. | Could have a significant impact beyond short and medium terms. | Need to specify collaborations that will translate research into policy. |
| B. Revocation | This project has the highest potential positive policy impact and should get highest priority. | No doubt this could have real value. | Need to show how RISLP will work with others already in this field, or otherwise add value. |
| C. Repository | Great potential; would greatly benefit policy makers, scholars, reform advocates, and practitioners; ranks 3rd highest of the 4 projects. | A very promising area of study for the states; plan for collection of literature (as well as data) "is less focused". | Probably the most important RISLP project; could help NASC develop programming for new commissions and esp. directors. |
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University of Minnesota Law School
Response to External Reviews of the Proposal for
Sentencing Law & Policy Program Enhancements
February 22, 2013

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# LifeCourse: Late Life Supportive Care (LLSC)

February 2013 Robina Foundation Board Annual Report

The LifeCourse team has moved from a theoretical to an operational model, hired and trained the clinical team, and are caring for 18 individuals. The clinical team is now in an active phase of team building and process improvement. Acceptance among our long-term care partners and referring providers has been generally very positive. With our University of Minnesota partners, we have laid out a roadmap for the first set of publications for the end of this year. Twin Cities public television (TPT) continues to record discussions in the professional community, and they have just launched the public website for LifeCourse. The LifeCourse team, accompanied by Penny Hunt, our long-term care partners and TPT, had a strong presence on the expert panels and breakout groups for the First National Summit on Advanced Illness Care held in Washington, DC earlier this month.

**1. & 2. Briefly outline your original goals and objectives as stated in your proposal & summarize your progress in meeting these goals and objectives and describe how your activities relate to achieving the ultimate goal/purpose of the program.**

The LifeCourse project team has met all of the original goals and objectives for 2012 as stated in the proposal. The three major goals and components under each are described in detail below.

**i. Design Refinement & Pre-Work (Jan – June 2012)**

**Engagement**

Establish LifeCourse project team

The LifeCourse team includes staff representing the four major areas of the project: research & evaluation, clinical operations, project management & technology, and design & process improvement. *The LifeCourse project organizational chart is Appendix A.*

Establish LifeCourse National Advisory Committee

The group convened twice in 2012. It met for the first time on July 10th and feedback from the advisors encouraged us to seek patients who are "sick enough" to be enrolled, involve the primary care provider in the pilot, create elevator speech for the model and nest quality improvement within a research framework. In November the group met to react to our detailed operational plan, research and evaluation plan, and coached us as we prepare to enroll pilot patients. They suggested that we keep the language simple and evaluate if the project should be a medical model with 24/7 availability.

Diane Meier

Establish Patient/Caregiver Advisory Council

The group convened five times in 2012. At each session, we focused the council's efforts around a particular question: What do mean by your "team" that cared for your loved one, and who leads it? What should we call the public face of late life supportive care? What does legacy mean to you? The council allowed care guides to interview them, in preparation for enrolled patients.

Input from the council was important to model development. At the same time, the members felt they could have contributed more. This year we have set an aggressive agenda for them to help us develop and evaluate components of the clinical program. For example, we started with a long discussion of the patient fund, and what 'fairness' means in administering it.

Attendance has held consistently at eight members per meeting, and most of the regularly attending members are interested in serving for another year. Additionally, three members have joined ongoing workgroups.

Establish Partnership with Twin Cities public television (tpt)

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

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

LISTENING SESSIONS & COMMUNITY PROFESSIONALS

Public engagement in Minnesota begins with listening carefully to Minnesotans. TPT has lead the LifeCourse team in planning, convening, conducting and recording more than a dozen of these small-group conversations. Twelve Listening Session have been completed and 497 clips are currently on the LifeCourse website. TPT has also convened five sessions with community professionals. These experts in legal/ethical, cultural, spiritual/religious, and psychological issues gathered to tell their story of how they support those living with serious illness. Clips can also be found on the website. www.tpt.org/LifeCourse

DOCUMENTARIES

From among the 400-500 Patient / care teams recruited for this study, TPT will recruit six of them as "pilot teams" willing to allow their discussions and interactions to be recorded for broadcast, and from whose experiences the documentaries will be created. Through these interactions, Minnesotans will be allowed to intimately experience and appreciate the hopes and fears of the patients, family members and care-givers involved.

**Expert observation of best practice**

We discovered early in the course of model design that there are pockets of good practice, such as hospice, but the system as a whole lacks continuity. Observation of best practice therefore was based on two elements: (1) understanding the experiences of competent caregivers, who have effectively learned to 'work the system' and (2) observing clinical experts practicing the communication techniques that rapidly build relationship.

Because true 'best practice' in this field has not been well demonstrated, we projected some ideal outcomes in the form of theatrical vignettes. These group exercises allowed team members to envision best practices that are yet to be realized.

**Model refinement**

The LifeCourse model as it was originally conceived was centered on the patient's story. We quickly learned that there are some individuals who feel they have no story to tell. It became apparent that the relationship between care guide and the participant was at the core of the model. This has revised how we think about pacing of the initial visits, and about how the story is eventually incorporated into the chart.

The idea for Late Life Supportive care arose out of a desire to bring three specific services to everyone--advance care planning, palliative care, and hospice. As we actualize real, ongoing relationships with LifeCourse patients, the opportunities to provide these services only arise when we first attend to the person's pressing issues. We believe now that the model can only be successful if we follow the patient's lead. The team is actively discovering the balance between leading and following; this will undoubtedly be one of the most formative areas for our research analysis.

**Final Selection and development of outcome**

In partnership with the University of Minnesota, we developed a measurement approach for patient and caregiver outcomes, care team outcomes, and system outcomes that balances the need for standardized peer-review outcomes data with the need for context-specific assessment of the LifeCourse effect. Below we outline the specific approach and included in the appendix are the full instruments (where applicable):

Research: Primary and Secondary Outcomes

PATIENT MEASURES

Quality of life – FACIT-PAL (Functional Assessment of Chronic Illness Therapy - Palliative Care; a standard best-in-class tool for assessing quality of life among those with advanced illness); Experience – LifeCourse tool (developed to reflect the specific guiding principles and aim statement driving the LifeCourse intervention). *See Appendix B for the patient instrument in full.*

CAREGIVER MEASURES

Quality of life (for primary & secondary caregivers) – PROMIS-29 (Patient-Reported Outcomes Measurement Information System; the National Institute of Health's aggregated quality of life tool); Experience (primary caregivers only) – LifeCourse tool (developed, again, to reflect the specific guiding principles and aim statement driving the LifeCourse intervention). *See Appendix C and D for the two caregiver instruments in full.*

CARE TEAM OUTCOME MEASURES

MBI (Maslach Burnout Inventory; best-in-class standard for assessing wellbeing and burnout), AWS (Areas of Worklife Survey; best-in-class standard for assessing drivers of wellbeing and burnout), TACT (Teamwork in Assertive Community Treatment Scale; newly developed tool from our University of Minnesota partners designed to assess teamwork in complex team settings – this will be modified to focus on LifeCourse). *See Appendix E and F for care team outcome instruments in full.*

SYSTEM MEASURES

We will use Allina's electronic health record data, as well as the Minimum Data Set (MDS) from Walker Methodist and Augustana Care Centers to obtain other system outcome data (including clinical outcomes, length of stay in hospice and other facilities, and cost of care).

Evaluation: Process Measures

We will employ standard data collection activities, including a daily process/activity report by the care team, as well as weekly self-reflections and weekly focus groups, to gather additional qualitative process data from the care team about the deployment of its work and the evolution of the intervention. *See Appendix G, H, and I for care team process instruments.*

**Supportive Care Planning**

Workflow development for SCCM (supportive care case manager)

Traditionally, standard best supportive care practices are provided by an interdisciplinary team with the nurse or social worker as the lead for managing the care. Originally it was proposed that a nurse or social worker would be the primary discipline for supportive care planning. Since late life supportive care takes place several years prior to death the intensity of end of life hospice care and the full complement of the interdisciplinary team may or may not be the right level and intensity of what is needed for individuals late in life.

Discernment of "what is the work of the team" for late life was discovered through several retreats by a cross disciplinary group of professionals and the patient advisory council members. Results showed that 50% of the support for individuals and their families did not require professionally trained staff. The LifeCourse team now includes a non-licensed care guide, nurse, social worker, chaplain, marriage and family therapist and pharmacist who

will coordinate and collaborate with the provider and broader care team to enhance and support the current medical plan.

The care guide is someone who demonstrates presence, compassion, empathy, resourcefulness, advocacy and professionalism. This individual is nonjudgmental, self-motivated, a team player, communicator, and change agent. Experience includes a minimum of two years post-secondary and some sort of life experience with end of life or advanced illness care.

Workflow development for LifeCourse interdisciplinary team (IDT)
Using the National Hospice and Palliative Care Organization as the standard, core competencies of the LifeCourse team members were developed. Core team competencies include clinical judgment, professionalism, systems thinking, cultural knowledge, facilitator of learning, communication and research. These competencies make up the team job descriptions and universal team responsibilities: assessment and planning, communication, coordination, collaboration, team dynamics and discipline specific roles.

The primary work of the team is to understand and honor an individual's story, strengths and assets through an initial and ongoing assessment, personal relationship, advance planning and shared decision making, coordination of care, family conferences, counseling, and discipline-specific interventions.

Professional team member selection is based upon experience and expertise in advanced illness, palliative and end of life care and core competencies.

### ii. Patient/Caregiver enrollment (July 2012 – Dec 2012)

IRB submission and communication
The pre-pilot study was approved by the Allina Institutional Review Board (IRB) in October 2012. The first individual was enrolled in the study at the end of October. The LifeCourse project team was able to adjust the full pilot IRB submission based on feedback from study participants and family members. The full pilot protocol was submitted early February 2013 with the goal to begin enrolling pilot patients in March 2013.

Identification of eligible patients
We met with groups of patient-facing professionals from our long term care partners, Abbott Northwestern, the Minneapolis Heart Institute (MHI), and the Virginia Piper Cancer Institute (VPCI). These individuals were primarily nurses and social workers. They were educated on inclusion and exclusion criteria. Workflows were set up to pursue eligible subjects that they identified.

The denominator consisted of long-term care residents, a smaller number of independent living residents, Abbott Northwestern inpatients, MHI outpatient clinic patients, and VPCI outpatient clinic patients. Each group of referring professionals was readily able to identify numerous potential subjects.

Individuals participating in the Abbott Northwestern heart failure palliative care study were not enrolled into LifeCourse unless they had completed their three-month palliative care study follow up.

Enrollment of eligible patients

1. 72 individuals were considered for LifeCourse.
2. 44 were not eligible. 7 were actively declining and appropriate for hospice. 4 had Allina Advanced Care Teams involved. In 4, the families declined participation. 7 of the patients did not have an Allina primary provider. One did not give research consent on their Allina enrollment form. 2 did not have an appropriate diagnosis. 5 lived out of the service are, and 10 patients declined.
3. Of the 6 patients identified from VPCI, one had early disease, 4 had a non-Allina provider, and 2 declined to participate.
4. Of the 25 individuals approached, 18 (72%), consented to participate.
5. Of these 18, 5 have dementia, 11 have heart failure, and 2 have cancer.
6. One patient has died, one has left the study because of acquiring a non-Allina provider, and one disenrolled at her request.

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### iii. Implementation of Late Life Supportive Care Process (July 2012 – Dec 2012)

#### Education and Training

The LifeCourse team members were recruited and hired in order to participate in a one month comprehensive training prior to the fall 2012 pre-pilot. All team members intentionally participated in a collective training to achieve a common understanding of core competencies, promote team member cohesion and strengthen relationships. This helped to break down silos of discipline specific interactions. Each day of training, the learning was intentionally scheduled to immerse participants in the clinical model, starting with an advanced illness story, advanced illness knowledge and content, experiential learning e.g., role play, case studies, and movies. Every day was concluded with a daily debrief and self-care exercise.

Educational topics included adaptive practices, team dynamics, narrative interviewing, palliative care domains and advanced illness care, advance planning, engagement coaching, suffering and resilience training, research, planning, coordination and collaboration. Ongoing education and training is planned to get a deeper understanding of specific advanced illness topics.

Daily evaluations during the month provided feedback for real time adjustments to content as well the approach to learning. Specific feedback included a need for use of common language across content material, integration the themes of LifeCourse model and arrange content to sequentially build. Although appropriate and relevant to LifeCourse, pre-packaged "canned" learning content was not always a natural fit and should be adjusted for future learning.

The initial training was unique in that the whole team was able to participate at a group for a consecrated period of time. Ongoing education and training for new team members will need to be individually based as they are hired.

**Initial assessment, subsequent visits, goal setting and planning**

Initial and subsequent visits
Establishing and fostering a relationship over time is one of the primary intentions of LifeCourse team members. The care guide provides most of the face to face time and the team members with professional training interacting with individual's when the needs are beyond the skills and expertise of the care guide. Initial and subsequent visits are intended to better understand an individual's story and what is important to live well.

Patient Story Review
As the individual and family are "known," a Patient Story Review (PSR) is convened typically at times of change in condition, prognosis, goals, care transition or care setting. The PSR allows team members to better understand a collective perspective of an individual and family, identify and validate goals and wishes in addition to current or future team member activities. As a group, team members collectively determine who or what is done with an individual and family based upon the ongoing team member's relationship with an individual's situation as well as personal and professional expertise.

Planning and Ongoing follow-up
A LifeCourse plan is established to enhance and support existing individual and care team plans. Follow up interactions are at a minimum once a month or more frequently based upon individual needs, goals and wishes.

**Tools and Documentation**

Discussion guide
Over a period of several months the assessment and planning workgroup and LifeCourse care team members a discussion guide was developed to facilitate a narrative interviewing process. The purpose of this guide is to serve as a tool that supports team members to allow for the unfolding of an individual's story over time. The format and questions support the ongoing development of a relationship permitting care team members to listen, guide, honor, respect, comfort and support an individual and their family. This discussion guide will go through several versions over the next year to assist new team members in taking a consistent approach to the narrative interview process.

Story
Understanding an individual's story as it is told by them is one of the foundational aspects of the LifeCourse model. A short story is centrally located in the medical record and provides the three or four most important things an individual and family would like others to know about them. A long story builds and is captured to allow for knowing the whole person as illness progresses and life evolves. An individual's story will become fuller over time showing all aspects of palliative care domains.

Many challenges exist in collecting an individual's story. Capturing of the story will require innovation beyond existing medical record capabilities. The current medical record allows for an episodic view of physical self with limits to knowing the whole person. The challenge of entering a person's story is knowing how much and what type of detail should be included and who owns the story. Patient experience and advice from the patient advisory council will inform this process.

Progress notes

Individual team member have discipline specific progress notes and text to capture interactions with an individual and family.

Planning

The planning tools--goals manager and planning manager--were created to document and collect data of an individual's goals and the present or future activities of the LifeCourse team. Both of these tools will need to evolve and improve as they currently provide episodic snapshots of the evolution of goals.

**Data collection and process improvement**

On a daily and weekly basis, qualitative and quantitative data is collected via weekly focus groups, daily tracking sheets and audio journaling. Information is analyzed and synthesized into themes supporting process improvement and ongoing team development.

**Team dynamics**

The LifeCourse team exists to provide a collective perspective of an individual and family and what it means to live well. The team has developed a high level of relational interaction amongst themselves. Team members are challenged to move from a traditional interdisciplinary model of silo-based interactions to a high functioning, self-managed team. This transition has been especially difficult for the professionally trained team members, since the majority of patient care has been focused in long term care facilities where individuals have an existing care team.

Increased understanding of roles, responsibilities, personal and professional assets will facilitate a cross understanding of team members. Co-visiting and shadowing along with weekly team dynamic debriefs will assist team members to move to cross-understanding and integrated team functioning.

**Coordination and collaboration**

Coordination and collaboration in the fall 2012 pre-pilot phase started in August with a community wide collaborative with over 60 internal and external Allina stakeholders. The purpose of the meeting was to discern principles of collaboration and coordination across care settings. These principles were used for the remainder of the year as we partnered with our long term partners and Allina care coordination departments. Efforts have been

focused on workflows, processes and relational coordination actives with LifeCourse and the broader care team.

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

The initial list of possible patients that we received from our long-term care partners included many patients who were dying and would benefit from hospice care. Our education to the nursing home staff about inclusion and exclusion criteria had focused too heavily on prognosis rather than on burden of disease. We subsequently reversed our language around the inclusion and exclusion criteria, essentially opening enrollment to individuals with serious illness of the specified diagnoses, and did not emphasize prognosis. This produced a referral group of much more appropriate individuals.

Enrollment of patients with cancer is low. No individuals have been accepted for enrollment from the oncology clinic. One of these individuals lives outside the referral area. Several have non-Allina providers. For the two who declined, we are concerned that the message about the study was not positively received. We are working directly with the oncology staff to address this.

The team has struggled with its cohesion and identity more than we anticipated. Because most of our initial enrollees are in long-term care, there is less direct patient contact for the clinically trained members of the care team. These members are grieving the loss of their former work life, filled with patient contact, and are rebuilding a new identity as advisors to the care guides. Additional time has been devoted to building the team into a highly functional, self-managing entity.

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

We will share initial results from our design process, as well as our pre-pilot experience, at the Seventeenth Annual Minnesota Health Services Research Conference on March 5th, 2013. *See Appendix J for the overall conference schedule.*

In addition, we have established four learning collaboratives in partnership with the University of Minnesota. These collaboratives are designed to offer a forum for team members to learn from each other, to delve further into specific aspects of our work, with the aim of writing abstracts for presentation and articles for publication. All LifeCourse team members are invited to participate in these collaboratives. Expectations for 2013 for these collaboratives include:

- Process Collaborative : 3 peer review manuscripts (Design process, inclusion of patient voices, components of intervention; Research & evaluation overview; Utilization of QI data in intervention development), 1 abstract

- Team & Training Collaborative: 1 peer review manuscript (Training & development of the LifeCourse team), 2 abstracts
- Active Ingredients Collaborative: 2 peer review manuscripts (in partnership with the Process Collaborative: Design process, inclusion of patient voices, components of intervention; Story and its evolution), 2 abstracts
- Outcomes Collaborative : 1 peer review manuscript (Selection of instrument & baseline data adjustments), 1 abstract

*Additional information about the Learning Collaboratives is included in Appendix K.*

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

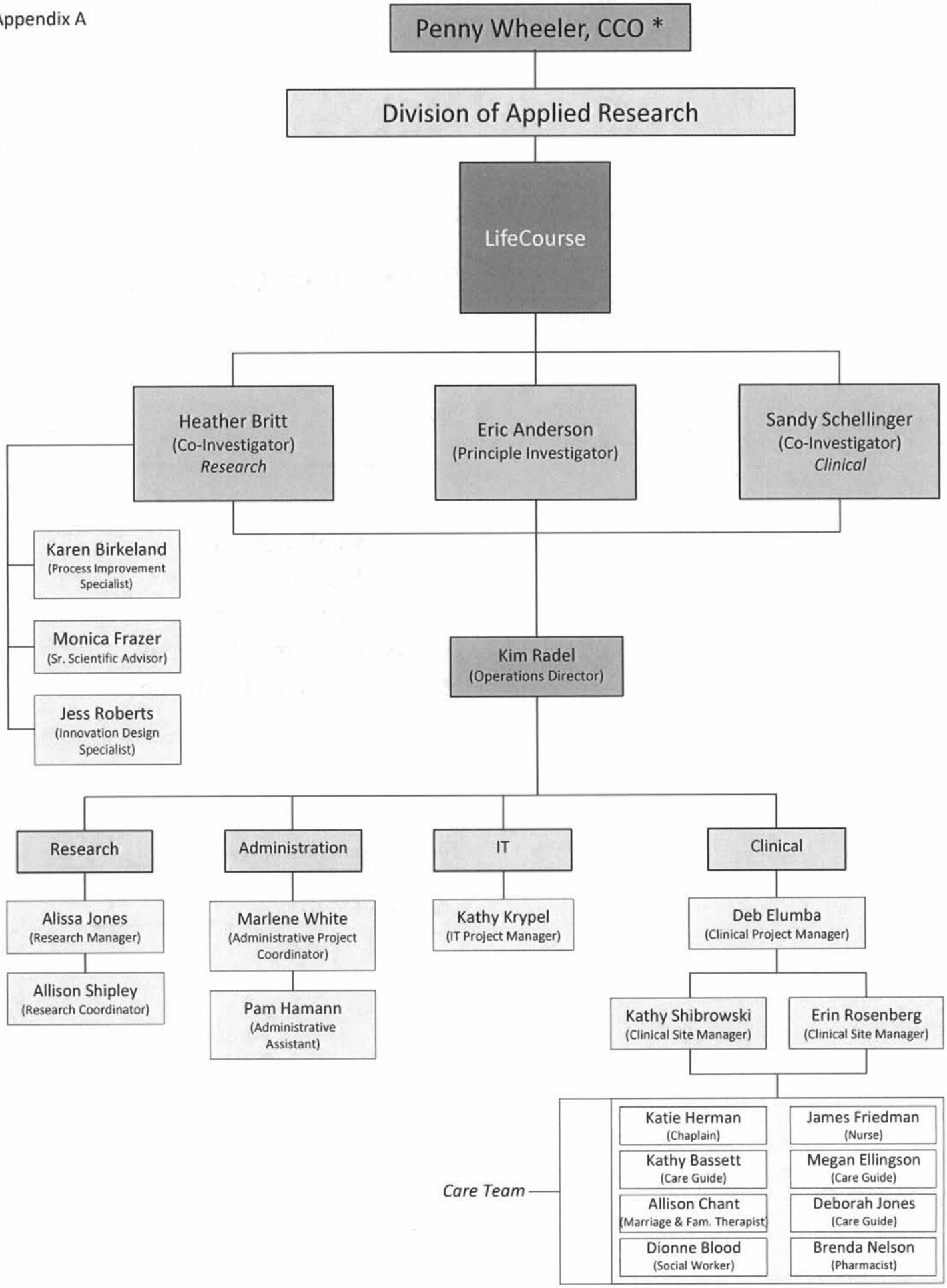
*The original budget can be found in Appendix L.* The total budget for 2012 was $2,356,696. The project was $200,000 over budget in salary costs but came in under budget in education and purchased services costs.

| **Account** | **2012 Expenses** | **2012 Budget** |
|---|---|---|
| Salaries | 962,328 | 764,125 |
| Benefits | 264,640 | 300,331 |
| Supplies | 12,739 | 54,500 |
| Equipment/Facilities | 21,691 | 0 |
| Printing/Postage | 4,818 | 6,000 |
| Purchased Services (including C-TAC contribution, partner parking fees, IRB fees) | 36,343 | 346,500 |
| Consulting/Contractual Agreements (total ytd expenditures $767,096) | | 719,990 |
| Partners – tpt, U of M, Augustana, Walker Methodist | 601,468 | |
| Caregivers – patient reps at meetings | 2,364 | |
| Consulting | 118,350 | |
| Training | 21,280 | |
| National Advisory Committee | 23,634 | |
| Education | 7,375 | 138,000 |
| Travel | 20,225 | 0 |
| Food | 11,456 | 12,250 |
| Misc | 13,426 | 15,000 |
| **TOTAL** | **$2,122,137** | **$2,356,696** |

Respectfully submitted,

Eric Anderson, MD, Principal Investigator

Appendix A


Penny Wheeler, CCO *
Division of Applied Research
LifeCourse
Heather Britt
(Co-Investigator)
Research
Eric Anderson
(Principle Investigator)
Sandy Schellinger
(Co-Investigator)
Clinical
Karen Birkeland
(Process Improvement Specialist)
Monica Frazer
(Sr. Scientific Advisor)
Jess Roberts
(Innovation Design Specialist)
Kim Radel
(Operations Director)
Research
Administration
IT
Clinical
Alissa Jones
(Research Manager)
Allison Shipley
(Research Coordinator)
Marlene White
(Administrative Project Coordinator)
Pam Hamann
(Administrative Assistant)
Kathy Krypel
(IT Project Manager)
Deb Elumba
(Clinical Project Manager)
Kathy Shibrowski
(Clinical Site Manager)
Erin Rosenberg
(Clinical Site Manager)
Care Team
Katie Herman
(Chaplain)
James Friedman
(Nurse)
Kathy Bassett
(Care Guide)
Megan Ellingson
(Care Guide)
Allison Chant
(Marriage & Fam. Therapist)
Deborah Jones
(Care Guide)
Dionne Blood
(Social Worker)
Brenda Nelson
(Pharmacist)

# LifeCourse

## Patient Data Collection

Date completed_____

- Your Quality of Life
- Your Experience
- Your Demographics
- Your Key Family & Friends
- Your Contact Information

Time to Complete Survey_____

Staff member ID_____

## Your Quality of Life

Below is a list of statements that other people with your illness have said are important. Please circle one number per line to indicate your response as it applies to the **past 7 days**.

| | **PHYSICAL WELL-BEING** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|---|
| 1 | I have a lack of energy. | 0 | 1 | 2 | 3 | 4 |
| 2 | I have nausea. | 0 | 1 | 2 | 3 | 4 |
| 3 | Because of my physical condition, I have trouble meeting the needs of my family.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 4 | I have pain. | 0 | 1 | 2 | 3 | 4 |
| 5 | I am bothered by side effects of treatment. | 0 | 1 | 2 | 3 | 4 |
| 6 | I feel ill. | 0 | 1 | 2 | 3 | 4 |
| 7 | I am forced to spend time in bed. | 0 | 1 | 2 | 3 | 4 |

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Please circle one number per line to indicate your response as it applies to the **past 7 days**.

| | SOCIAL/FAMILY WELL-BEING | Not at all | A little bit | Some what | Quite a bit | Very much |
|---|---|---|---|---|---|---|
| 8 | I feel close to my friends.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 9 | I get emotional support from my family.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 10 | I get support from my friends.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 11 | My family has accepted my illness.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 12 | I am satisfied with family communication about my illness.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 13 | I feel close to my partner (or the person who is my main support).<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 14 | *Regardless of your current level of sexual activity, please answer the following question. If you prefer not to answer it, please mark this box* ☐ *and go to the next section.* | | | | | |
| 15 | I am satisfied with my sex life. | 0 | 1 | 2 | 3 | 4 |

| | EMOTIONAL WELL-BEING | Not at all | A little bit | Some what | Quite a bit | Very much |
|---|---|---|---|---|---|---|
| 16 | I feel sad. | 0 | 1 | 2 | 3 | 4 |
| 17 | I am satisfied with how I am coping with my illness. | 0 | 1 | 2 | 3 | 4 |
| 18 | I am losing hope in the fight against my illness. | 0 | 1 | 2 | 3 | 4 |
| 19 | I feel nervous. | 0 | 1 | 2 | 3 | 4 |
| 20 | I worry about dying. | 0 | 1 | 2 | 3 | 4 |
| 21 | I worry that my condition will get worse. | 0 | 1 | 2 | 3 | 4 |

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Please circle one number per line to indicate your response as it applies to the **past 7 days**.

| | **FUNCTIONAL WELL-BEING** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|---|
| 22 | I am able to work (include work at home).<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 23 | My work (include work at home) is fulfilling.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 24 | I am able to enjoy life. | 0 | 1 | 2 | 3 | 4 |
| 25 | I have accepted my illness. | 0 | 1 | 2 | 3 | 4 |
| 26 | I am sleeping well. | 0 | 1 | 2 | 3 | 4 |
| 27 | I am enjoying the things I usually do for fun. | 0 | 1 | 2 | 3 | 4 |
| 28 | I am content with the quality of my life right now. | 0 | 1 | 2 | 3 | 4 |

| | **ADDITIONAL CONCERNS** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|---|
| 29 | I maintain contact with my friends.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 30 | I have family members who will take on my responsibilities.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 31 | I feel that my family appreciates me.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 32 | I feel like a burden to my family.<br>10☐ Not Applicable | 0 | 1 | 2 | 3 | 4 |
| 33 | I have been short of breath. | 0 | 1 | 2 | 3 | 4 |

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Please circle one number per line to indicate your response as it applies to the **past 7 days**.

| | | Not at all | A little bit | Some what | Quite a bit | Very much |
|---|---|---|---|---|---|---|
| 34 | I am constipated. | 0 | 1 | 2 | 3 | 4 |
| 35 | I am losing weight. | 0 | 1 | 2 | 3 | 4 |
| 36 | I have been vomiting. | 0 | 1 | 2 | 3 | 4 |
| 37 | I have swelling in parts of my body. | 0 | 1 | 2 | 3 | 4 |
| 38 | My mouth and throat are dry. | 0 | 1 | 2 | 3 | 4 |
| 39 | I feel independent. | 0 | 1 | 2 | 3 | 4 |
| 40 | I feel useful. | 0 | 1 | 2 | 3 | 4 |
| 41 | I make each day count. | 0 | 1 | 2 | 3 | 4 |
| 42 | I have peace of mind. | 0 | 1 | 2 | 3 | 4 |
| 43 | I feel hopeful. | 0 | 1 | 2 | 3 | 4 |
| 44 | I am able to make decisions. | 0 | 1 | 2 | 3 | 4 |
| 45 | My thinking is clear. | 0 | 1 | 2 | 3 | 4 |
| 46 | I have been able to reconcile (make peace) with other people. | 0 | 1 | 2 | 3 | 4 |
| 47 | I am able to openly discuss my concerns with the people closest to me. | 0 | 1 | 2 | 3 | 4 |

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## Your Experience

Please respond to the following statements based upon **your care experience** during the **past month**. Past month means the **last 30 days** from the day you complete this survey. The **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

1. I had to repeat myself when telling the care team about my **medical condition**.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

2. I had to repeat myself when telling the care team about what was **important** to me.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

3. I had to repeat myself when telling the care team about my **life**.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

4. The care team relied upon my ideas to manage my care.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

5. The care team knew my personal circumstances or situation.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

6. I had unanswered questions about how my illness affected my **health**.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

7. I had unanswered questions about how my illness affected my **everyday life**.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

8. I received easy to understand information from the care team in response to my questions.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

9. I received conflicting advice from members of my care team.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

10. The care team helped me understand what was important to me.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

11. The care team helped me understand all of my options when I had a choice about my care.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

12. The care team helped me make a choice about my care when I had one.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

13. The care team respected me.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

14. The care team kept my wishes at the center of my care.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

15. The care team helped me determine which providers I needed to see.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

16. I got appointments with my care team as soon as I needed.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

17. The care team helped me determine which additional services or resources I needed.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

18. I was able to connect with additional services or resources as soon as I needed them.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

19. The care team made sure the additional services or resources met my needs.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

20. The care team spent the right amount of time with me.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

21. I was able to get in touch with someone on my care team when needed.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Please respond to the following questions based upon a **major transition** that occurred during the **past month.** A major transition is a big change in your life, such as moving to a different location, a hospitalization or illness, not being able to drive, or not being able to do your own grocery shopping.

**During the past month:**

22. Did you experience one or more major transitions?
    - 0 ☐ No. If No, please skip to Question #26.
    - 1 ☐ Yes
    - 8 ☐ Don't know

Remember, a **major transition** is a big change in your life, such as moving to a different location, a hospitalization or illness, not being able to drive, or not being able to do your own grocery shopping.

**During the past month, I felt:**

23. The care team helped me realize that a transition was going to happen.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

24. I was confident about the steps I needed to take to handle the transition.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

25. I was comfortable with how the transition happened.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

The next few questions refer to your **plan of care**. Your plan of care describes what is important to you, your goals, your needs, and your health. The plan of care is used by you and your care team to guide the care you receive.

26. My plan of care includes what is important to me.
    - 1 ☐ Strongly Disagree
    - 2 ☐ Disagree
    - 3 ☐ Agree
    - 4 ☐ Strongly Agree
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

27. I have a good understanding of my plan of care.
    - 1 ☐ Strongly Disagree
    - 2 ☐ Disagree
    - 3 ☐ Agree
    - 4 ☐ Strongly Agree
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

28. I know what I need to do as part of my plan of care.
    - 1 ☐ Strongly Disagree
    - 2 ☐ Disagree
    - 3 ☐ Agree
    - 4 ☐ Strongly Agree
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Over the **past month**, think about the **problem or physical symptom** that has bothered you the most. Some examples are pain, nausea, a lack of energy, confusion, depression, anxiety, and shortness of breath.

29. My problem or physical symptom was well controlled.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

30. The care team did everything they could to help me with my problem or physical symptom.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

These last questions ask you about your **overall feelings** around the care you have received from the care team over the **past month**.

31. I was frustrated by the care I received.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

**During the past month:**

32. I trusted my care team.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

33. Using any number from 0 to 10, where 0 is the worst possible and 10 is the best possible, what number would you use to rate your care over the **past month**? Please circle one number.

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
|---|---|---|---|---|---|---|---|---|---|---|
| Worst Possible | | | | | | | | | | Best Possible |

34. Using any number from 0 to 10, where 0 is the worst possible and 10 is the best possible, what number would you use to rate your support over the **past month**? Please circle one number.

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
|---|---|---|---|---|---|---|---|---|---|---|
| Worst Possible | | | | | | | | | | Best Possible |

35. Would you recommend LifeCourse to a friend or family member facing a serious illness?
    - 1 ☐ Definitely No
    - 2 ☐ Probably No
    - 3 ☐ Probably Yes
    - 4 ☐ Definitely Yes

## Your Demographics

1. When were you born?

   Month ___ Day ___ Year ____

2. What is your sex?
   - 0☐ Male
   - 1☐ Female

3. What is your current marital status?
   - 1☐ Single, never married
   - 2☐ Married, domestic partnership, or civil union
   - 3☐ Unmarried partnership
   - 4☐ Divorced or separated
   - 5☐ Widowed

4. Are you of Hispanic, Latino, or Spanish origin or descent?
   - 1☐ No, not of Hispanic, Latino, or Spanish origin
   - 2☐ Yes, Mexican, Mexican American, Chicano
   - 3☐ Yes, Puerto Rican
   - 4☐ Yes, Cuban
   - 5☐ Yes, another Hispanic, Latino, or Spanish origin

5. What is your race? (Please choose one or more.)
   - 1☐ White
   - 2☐ Black or African American
   - 3☐ American Indian or Alaska Native
   - 4☐ Asian
   - 5☐ Native Hawaiian or other Pacific Islander
   - 6☐ Other (please print) _____

6. What is the highest grade or level of school that you have completed?
   - 1☐ 8th grade or less
   - 2☐ Some high school, but did not graduate
   - 3☐ High school graduate or GED
   - 4☐ Some college or 2-year degree
   - 5☐ 4-year college graduate
   - 6☐ Graduate or professional school

7. How did you complete the survey?
   1☐ I completed it by myself
   2☐ Someone read it to me and I answered the questions
   3☐ I answered some questions and someone else answered some questions
   4☐ Someone completed the survey for me

**Thank you for taking the time to complete our survey!**

# LifeCourse

## Key Friends & Family (1.0) Data Collection

DATE _____

- Your Quality of Life
- Your Experience
- Your Demographics

Study ID

## Your Quality of Life

The following questions are about **your** quality of life (**not** your loved one's). Please circle or mark one number per line to indicate your response as it applies to the **past 7 days**.

| **Physical Function** | **Without any difficulty** | **With a little difficulty** | **With some difficulty** | **With much difficulty** | **Unable to do** |
|---|---|---|---|---|---|
| Are you able to do chores such as vacuuming or yardwork? | 1 | 2 | 3 | 4 | 5 |
| Are you able to go up and down stairs at a normal pace? | 1 | 2 | 3 | 4 | 5 |
| Are you able to go for a walk for at least 15 minutes? | 1 | 2 | 3 | 4 | 5 |
| Are you able to run errands and shop? | 1 | 2 | 3 | 4 | 5 |

| **Anxiety**<br>**In the past 7 days...** | **Never** | **Rarely** | **Some times** | **Often** | **Always** |
|---|---|---|---|---|---|
| I felt fearful. | 1 | 2 | 3 | 4 | 5 |
| I found it hard to focus on anything other than my anxiety. | 1 | 2 | 3 | 4 | 5 |
| My worries overwhelmed me. | 1 | 2 | 3 | 4 | 5 |
| I felt uneasy. | 1 | 2 | 3 | 4 | 5 |

| **Depression**<br>**In the past 7 days...** | **Never** | **Rarely** | **Some times** | **Often** | **Always** |
|---|---|---|---|---|---|
| I felt worthless | 1 | 2 | 3 | 4 | 5 |
| I felt helpless | 1 | 2 | 3 | 4 | 5 |
| I felt depressed | 1 | 2 | 3 | 4 | 5 |

| | | | | | |
|---|---|---|---|---|---|
| I felt hopeless | 1 | 2 | 3 | 4 | 5 |

Derived from PROMIS items, modified and used with the permission of the PROMIS Health Organization and the PROMIS cooperative group

| **Fatigue**<br>**During the past 7 days...** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| I feel fatigued. | 1 | 2 | 3 | 4 | 5 |
| I have trouble starting things because I am tired. | 1 | 2 | 3 | 4 | 5 |
| How run down did you feel on average? | 1 | 2 | 3 | 4 | 5 |
| How fatigued were you on average? | 1 | 2 | 3 | 4 | 5 |

| **Sleep Disturbance**<br>**In the past 7 days...** | **Very poor** | **Poor** | **Fair** | **Good** | **Very good** |
|---|---|---|---|---|---|
| My sleep quality was | 1 | 2 | 3 | 4 | 5 |

| **In the past 7 days...** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| My sleep was refreshing | 1 | 2 | 3 | 4 | 5 |
| I had a problem with my sleep | 1 | 2 | 3 | 4 | 5 |
| I had difficulty falling asleep | 1 | 2 | 3 | 4 | 5 |

| **Satisfaction with social role**<br>**In the past 7 days..** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| I am satisfied with how much work I can do (include work at home) | 1 | 2 | 3 | 4 | 5 |
| I am satisfied with my ability to work (include work at home) | 1 | 2 | 3 | 4 | 5 |
| I am satisfied with my ability to do regular personal and household responsibilities | 1 | 2 | 3 | 4 | 5 |

| | | | | | |
|---|---|---|---|---|---|
| I am satisfied with my ability to perform daily routines | 1 | 2 | 3 | 4 | 5 |

Derived from PROMIS items, modified and used with the permission of the PROMIS Health Organization and the PROMIS cooperative group

| Pain Interference<br>In the past 7 days... | Not at all | A little bit | Some what | Quite a bit | Very much |
|---|---|---|---|---|---|
| How much did pain interfere with your day to day activities? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with work around the home? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with your ability to participate in social activities? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with your household chores? | 1 | 2 | 3 | 4 | 5 |

**Pain Intensity**

Using any number from 0 to 10, where 0 is no pain and 10 is the worst pain imaginable, what number would you use to rate your pain in the **past 7 days**?

0 1 2 3 4 5 6 7 8 9 10

**No Pain** **Worst Pain Imaginable**

| In general... | Poor | Fair | Good | Very good | Excellent |
|---|---|---|---|---|---|
| Would you say your health is: | 1 | 2 | 3 | 4 | 5 |
| Would you say your quality of life is: | 1 | 2 | 3 | 4 | 5 |

## Your Experience

Please respond to the following statements based upon **your experience** during the **past month**. Past month means the **last 30 days** from the day you complete this survey. **Loved one** refers to the person that you care for who is enrolled in LifeCourse. The **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

1. The care team supported me in my role as a caregiver.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

2. The care team knew my personal circumstances or situation.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

3. I received easy to understand information from the care team in response to my questions.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

4. I received conflicting advice from members of the care team.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

5. I was able to get in touch with someone from my loved one's care team when needed.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

6. I was able to connect with additional services or resources as soon as I needed them.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

7. The care team made sure the additional resources or services met my needs.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

Please respond to the following statements about **your social support**. Please choose the response that most closely describes your **current** situation.

8. There is someone available whom I can count on to listen to me.
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

9. There is someone available to provide me with emotional support (talking over problems or helping me make a difficult decision).
   - 1 ☐ Never
   - 2 ☐ Sometimes
   - 3 ☐ Usually
   - 4 ☐ Always
   - 8 ☐ Don't know
   - 10 ☐ Not applicable

10. Do you have as much contact as you would like with someone you feel close to, someone in whom you can trust and confide?
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Please respond to the following questions about **your experience with your loved one** and his/her care team during the **past month**. The **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

11. I had to repeat myself when telling the care team about my loved one's **medical condition**.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

12. I had to repeat myself when telling the care team about what was **important** to my loved one.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

13. I had to repeat myself when telling the care team about my loved one's **life**.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

14. I was included in the plan of care.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

15. The care team relied upon my ideas to manage my loved one's care.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

16. I had unanswered questions about my loved one's **health**.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

17. I had unanswered questions about how my loved one's illness affected his or her **everyday life**.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

**During the past month, I felt:**

18. The care team helped me know what to expect during my loved one's illness.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

19. The care team spent the right amount of time with me and my loved one.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

20. The care team helped me determine which additional services or resources my loved one needed.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

Please respond to the following questions based upon a **major transition** that occurred during the **past month.** A major transition is a big change in **your loved one's life**, such as moving to a different location, a hospitalization or illness, not being able to drive, or not being able to do their own grocery shopping. Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

21. Did your loved one experience one or more major transitions?
    - 0 ☐ No. If No, please skip to Question #22.
    - 1 ☐ Yes
    - 8 ☐ Don't know

22. The care team helped me realize that a transition was going to happen.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

23. I was confident about the steps I needed to take to handle the transition.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

24. I was comfortable with how the transition happened.
    - 1 ☐ Never
    - 2 ☐ Sometimes
    - 3 ☐ Usually
    - 4 ☐ Always
    - 8 ☐ Don't know
    - 10 ☐ Not applicable

These last questions ask you about your **overall evaluation** of the care your loved one received from the care team over the **past month**. Remember, the **care team** refers to the health care providers, such as physicians, nurses, a care guide, social worker, chaplain, and others you saw or interacted with during the past month.

25. I was frustrated by my loved one's care.
    - 1☐ Strongly Disagree
    - 2☐ Disagree
    - 3☐ Agree
    - 4☐ Strongly Agree

26. I trusted my loved one's care team.
    - 1☐ Strongly Disagree
    - 2☐ Disagree
    - 3☐ Agree
    - 4☐ Strongly Agree

27. Using any number from 0 to 10, where 0 is the worst possible and 10 is the best possible, what number would you use to rate your loved one's care over the **past month**? Please circle one number.

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
|---|---|---|---|---|---|---|---|---|---|---|
| Worst Possible | | | | | | | | | | Best Possible |

28. Using any number from 0 to 10, where 0 is the worst possible and 10 is the best possible, what number would you use to rate your support over the **past month**? Please circle one number.

| 0 | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
|---|---|---|---|---|---|---|---|---|---|---|
| Worst Possible | | | | | | | | | | Best Possible |

29. Would you recommend LifeCourse to a friend or family member facing a serious illness?
    - 1☐ Definitely No
    - 2☐ Probably No
    - 3☐ Probably Yes
    - 4☐ Definitely Yes

## Your Demographics

1. When were you born?

Month ___ Day ___ Year ____

2. What is your sex?
   - 0☐ Male
   - 1☐ Female

3. What is your current marital status?
   - 1☐ Single, never married
   - 2☐ Married, domestic partnership, or civil union
   - 3☐ Unmarried partnership
   - 4☐ Divorced or separated
   - 5☐ Widowed

4. Are you of Hispanic, Latino, or Spanish origin or descent?
   - 1☐ No, not of Hispanic, Latino, or Spanish origin
   - 2☐ Yes, Mexican, Mexican American, Chicano
   - 3☐ Yes, Puerto Rican
   - 4☐ Yes, Cuban
   - 5☐ Yes, another Hispanic, Latino, or Spanish origin

5. What is your race? (Please choose one or more.)
   - 1☐ White
   - 2☐ Black or African American
   - 3☐ American Indian or Alaska Native
   - 4☐ Asian
   - 5☐ Native Hawaiian or other Pacific Islander
   - 6☐ Other (please print) _____

6. What is the highest grade or level of school that you have completed?
   - 1☐ 8th grade or less
   - 2☐ Some high school, but did not graduate
   - 3☐ High school graduate or GED
   - 4☐ Some college or 2-year degree
   - 5☐ 4-year college graduate
   - 6☐ Graduate or professional school

7. What is your current employment status? (Please choose one or more.)
   - 1☐ Employed full time
   - 2☐ Employed part time
   - 3☐ Not employed
   - 4☐ Not employed, unable to work
   - 5☐ Not employed, not looking for work
   - 6☐ Retired
   - 7☐ Student

8. How are you related to your loved one?
   - 1☐ Spouse or partner
   - 2☐ Son or daughter
   - 3☐ Son-in-law or daughter-in-law
   - 4☐ Brother or sister
   - 5☐ Brother-in-law or sister-in-law
   - 6☐ Father or mother
   - 7☐ Father-in-law or mother-in-law
   - 8☐ Another relative
   - 9☐ Friend or co-worker
   - 10☐ Other non-relative

9. Do you live with your loved one?
   - 1☐ Yes
   - 2☐ No

10. Since your loved one was diagnosed how often do you have contact with him/her?
   - 1☐ Daily
   - 2☐ Weekly
   - 3☐ Monthly
   - 4☐ Yearly

**Thank you for taking the time to complete our survey!**

# LifeCourse

## Key Friends & Family (2.0) Data Collection

DATE _____

- Your Quality of Life
- Your Demographics

Study ID

## Your Quality of Life

The following questions are about **your quality of life** (not your loved one's). Please circle or mark one number per line to indicate your response as it applies to the **past 7 days**.

| **Physical Function** | **Without any difficulty** | **With a little difficulty** | **With some difficulty** | **With much difficulty** | **Unable to do** |
|---|---|---|---|---|---|
| Are you able to do chores such as vacuuming or yardwork? | 1 | 2 | 3 | 4 | 5 |
| Are you able to go up and down stairs at a normal pace? | 1 | 2 | 3 | 4 | 5 |
| Are you able to go for a walk for at least 15 minutes? | 1 | 2 | 3 | 4 | 5 |
| Are you able to run errands and shop? | 1 | 2 | 3 | 4 | 5 |

| **Anxiety**<br>**In the past 7 days...** | **Never** | **Rarely** | **Some times** | **Often** | **Always** |
|---|---|---|---|---|---|
| I felt fearful. | 1 | 2 | 3 | 4 | 5 |
| I found it hard to focus on anything other than my anxiety. | 1 | 2 | 3 | 4 | 5 |
| My worries overwhelmed me. | 1 | 2 | 3 | 4 | 5 |
| I felt uneasy. | 1 | 2 | 3 | 4 | 5 |

| **Depression**<br>**In the past 7 days...** | **Never** | **Rarely** | **Some times** | **Often** | **Always** |
|---|---|---|---|---|---|
| I felt worthless | 1 | 2 | 3 | 4 | 5 |
| I felt helpless | 1 | 2 | 3 | 4 | 5 |
| I felt depressed | 1 | 2 | 3 | 4 | 5 |
| I felt hopeless | 1 | 2 | 3 | 4 | 5 |

Derived from PROMIS items, modified and used with the permission of the PROMIS Health Organization and the PROMIS cooperative group

Remember, the following questions are about **your quality of life** (not your loved one's).

| **Fatigue**<br>**During the past 7 days...** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| I feel fatigued. | 1 | 2 | 3 | 4 | 5 |
| I have trouble starting things because I am tired. | 1 | 2 | 3 | 4 | 5 |
| How run down did you feel on average? | 1 | 2 | 3 | 4 | 5 |
| How fatigued were you on average? | 1 | 2 | 3 | 4 | 5 |

| **Sleep Disturbance**<br>**In the past 7 days...** | **Very poor** | **Poor** | **Fair** | **Good** | **Very good** |
|---|---|---|---|---|---|
| My sleep quality was | 1 | 2 | 3 | 4 | 5 |

| **In the past 7 days...** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| My sleep was refreshing | 1 | 2 | 3 | 4 | 5 |
| I had a problem with my sleep | 1 | 2 | 3 | 4 | 5 |
| I had difficulty falling asleep | 1 | 2 | 3 | 4 | 5 |

| **Satisfaction with social role**<br>**In the past 7 days..** | **Not at all** | **A little bit** | **Some what** | **Quite a bit** | **Very much** |
|---|---|---|---|---|---|
| I am satisfied with how much work I can do (include work at home) | 1 | 2 | 3 | 4 | 5 |
| I am satisfied with my ability to work (include work at home) | 1 | 2 | 3 | 4 | 5 |
| I am satisfied with my ability to do regular personal and household responsibilities | 1 | 2 | 3 | 4 | 5 |
| I am satisfied with my ability to perform daily routines | 1 | 2 | 3 | 4 | 5 |

Derived from PROMIS items, modified and used with the permission of the PROMIS Health Organization and the PROMIS cooperative group

| Pain Interference<br>In the past 7 days... | Not at all | A little bit | Some what | Quite a bit | Very much |
|---|---|---|---|---|---|
| How much did pain interfere with your day to day activities? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with work around the home? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with your ability to participate in social activities? | 1 | 2 | 3 | 4 | 5 |
| How much did pain interfere with your household chores? | 1 | 2 | 3 | 4 | 5 |

**Pain Intensity**

Using any number from 0 to 10, where 0 is no pain and 10 is the worst pain imaginable, what number would you use to rate your pain in the **past 7 days**?

0 1 2 3 4 5 6 7 8 9 10

**No Pain** **Worst Imaginable**

| In general... | Poor | Fair | Good | Very good | Excellent |
|---|---|---|---|---|---|
| Would you say your health is: | 1 | 2 | 3 | 4 | 5 |
| Would you say your quality of life is: | 1 | 2 | 3 | 4 | 5 |

Derived from PROMIS items, modified and used with the permission of the PROMIS Health Organization and the PROMIS cooperative group

## Your Demographics

1. When were you born?

Month ___ Day ___ Year _____

2. What is your sex?
   - 0☐ Male
   - 1☐ Female

3. What is your current marital status?
   - 1☐ Single, never married
   - 2☐ Married, domestic partnership, or civil union
   - 3☐ Unmarried partnership
   - 4☐ Divorced or separated
   - 5☐ Widowed

4. Are you of Hispanic, Latino, or Spanish origin or descent?
   - 1☐ No, not of Hispanic, Latino, or Spanish origin
   - 2☐ Yes, Mexican, Mexican American, Chicano
   - 3☐ Yes, Puerto Rican
   - 4☐ Yes, Cuban
   - 5☐ Yes, another Hispanic, Latino, or Spanish origin

5. What is your race? (Please choose one or more.)
   - 1☐ White
   - 2☐ Black or African American
   - 3☐ American Indian or Alaska Native
   - 4☐ Asian
   - 5☐ Native Hawaiian or other Pacific Islander
   - 6☐ Other (please print) _____

6. What is the highest grade or level of school that you have completed?
   - 1☐ 8th grade or less
   - 2☐ Some high school, but did not graduate
   - 3☐ High school graduate or GED
   - 4☐ Some college or 2-year degree
   - 5☐ 4-year college graduate
   - 6☐ Graduate or professional school

7. What is your current employment status? (Please choose one or more.)
   - 1☐ Employed full time
   - 2☐ Employed part time
   - 3☐ Not employed
   - 4☐ Not employed, unable to work
   - 5☐ Not employed, not looking for work
   - 6☐ Retired
   - 7☐ Student

8. How are you related to your loved one?
   - 1☐ Spouse or partner
   - 2☐ Son or daughter
   - 3☐ Son-in-law or daughter-in-law
   - 4☐ Brother or sister
   - 5☐ Brother-in-law or sister-in-law
   - 6☐ Father or mother
   - 7☐ Father-in-law or mother-in-law
   - 8☐ Another relative
   - 9☐ Friend or co-worker
   - 10☐ Other non-relative

9. Do you live with your loved one?
   - 1☐ Yes
   - 2☐ No

10. Since your loved one was diagnosed how often do you have contact with him/her?
   - 1☐Daily
   - 2☐ Weekly
   - 3☐ Monthly
   - 4☐ Yearly

**Thank you for taking the time to complete our survey!**

**MBI – Human Services Survey**

Date completed_____

Staff ID_____

Below are 22 statements of job-related feelings. Please read each statement carefully and decide if you ever feel this way about your job. If you have never had this feeling write the number "0" (zero) in the space before the statement. If you have had this feeling, indicate how often you feel it by writing the number (from 1 to 6) that best describes how frequently you feel that way.

| How often: | 0 Never | 1 A few times a year or less | 2 Once a month or less | 3 A few times a month | 4 Once a week | 5 A few times a week | 6 Every day |
|---|---|---|---|---|---|---|---|

1. _____ I feel emotionally drained from my work.
2. _____ I feel used up at the end of the workday.
3. _____ I feel fatigued when I get up in the morning and have to face another day on the job.
4. _____ I can easily understand how my patients feel about things.
5. _____ I feel I treat some patient as if they were impersonal objects.
6. _____ Working with people all day is really a strain for me.
7. _____ I deal very effectively with the problems of my patients.
8. _____ I feel burned out from my work.
9. _____ I feel I'm positively influencing other people's lives through my work.
10. _____ I've become more callous toward people since I took this job.
11. _____ I worry that this job is hardening me emotionally.
12. _____ I feel very energetic.

| How often: | 0 Never | 1 A few times a year or less | 2 Once a month or less | 3 A few times a month | 4 Once a week | 5 A few times a week | 6 Every day |
|---|---|---|---|---|---|---|---|

13._____ I feel frustrated by my job.

14._____ I feel I'm working too hard on my job.

15._____ I don't really care what happens to some patients.

16._____ Working with people directly puts too much stress on me.

17._____ I can easily create a relaxed atmosphere with my patients.

18._____ I feel exhilarated after working closely with my patients.

19._____ I have accomplished many worthwhile things in this job.

20._____ I feel like I'm at the end of my rope.

21._____ In my work, I deal with emotional problems very calmly.

22._____ I feel patients blame me for some of their problems.

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## Areas of Worklife Survey

Please use the following rating scale to indicate the extent to which you agree with the following statements.

| Workload | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 1. I do not have time to do the work that must be done. | 1 | 2 | 3 | 4 | 5 |
| 2. I work intensely for prolonged periods of time. | 1 | 2 | 3 | 4 | 5 |
| 3. After work I come home too tired to do the things I life to do. | 1 | 2 | 3 | 4 | 5 |
| 4. I have so much work to do on the job that it takes me away from my personal interests. | 1 | 2 | 3 | 4 | 5 |
| 5. I have enough time to do what's important in my job. | 1 | 2 | 3 | 4 | 5 |
| 6. I leave my work behind when I go home at the end of the workday. | 1 | 2 | 3 | 4 | 5 |

| Control | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 7. I have control over how I do my work. | 1 | 2 | 3 | 4 | 5 |
| 8. I can influence management to obtain the equipment and space I need for my work. | 1 | 2 | 3 | 4 | 5 |
| 9. I have professional autonomy/independence in my work. | 1 | 2 | 3 | 4 | 5 |
| 10. I have influence in the decisions affecting my work. | 1 | 2 | 3 | 4 | 5 |

| Rewards | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 11. I receive recognition from others for my work. | 1 | 2 | 3 | 4 | 5 |
| 12. My work is appreciated. | 1 | 2 | 3 | 4 | 5 |
| 13. My efforts usually go unnoticed. | 1 | 2 | 3 | 4 | 5 |
| 14. I do not get recognized for all the things I contribute. | 1 | 2 | 3 | 4 | 5 |

| Community | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 15. People trust one another to fulfill their roles. | 1 | 2 | 3 | 4 | 5 |
| 16. I am a member of a supportive work group. | 1 | 2 | 3 | 4 | 5 |
| 17. Members of my work group cooperate with one another. | 1 | 2 | 3 | 4 | 5 |
| 18. Members of my work group communicate openly. | 1 | 2 | 3 | 4 | 5 |
| 19. I don't feel close to me colleagues. | 1 | 2 | 3 | 4 | 5 |

| Fairness | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 20. Resources are allocated fairly here. | 1 | 2 | 3 | 4 | 5 |
| 21. Opportunities are decided solely on merit. | 1 | 2 | 3 | 4 | 5 |
| 22. There are effective appeal procedures available when I question the fairness of a decision. | 1 | 2 | 3 | 4 | 5 |
| 23. Management treats all employees fairly. | 1 | 2 | 3 | 4 | 5 |
| 24. Favoritism determines how decisions are made at work. | 1 | 2 | 3 | 4 | 5 |
| 25. It's not what you know but who you know that determines a career here. | 1 | 2 | 3 | 4 | 5 |

| Values | Strongly Disagree | Disagree | Hard to Decide | Agree | Strongly agree |
|---|---|---|---|---|---|
| 26. My values and the organization's values are alike. | 1 | 2 | 3 | 4 | 5 |
| 27. The organization's goals influence my day to day work activities. | 1 | 2 | 3 | 4 | 5 |
| 28. My personal career goals are consistent with the organization's stated goals. | 1 | 2 | 3 | 4 | 5 |
| 29. This organization is committed to quality. | 1 | 2 | 3 | 4 | 5 |
| 30. Working here forces me to compromise my values. | 1 | 2 | 3 | 4 | 5 |

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**Your Demographics**

1. When were you born?

   Month ___ Day ___ Year _____

2. What is your gender?
   - 1☐ Male
   - 2☐ Female

3. What is your current marital status?
   - 1☐ Single, never married
   - 2☐ Married or domestic partnership
   - 3☐ Divorced or separated
   - 4☐ Widowed

4. What is your race? Please choose one or more.
   - 1☐ White
   - 2☐ Black or African American
   - 3☐ Asian
   - 4☐ Native Hawaiian or other Pacific Islander
   - 5☐ American Indian or Alaska native
   - 6☐ Other (please print) _____

5. Are you of Spanish, Hispanic or Latino origin or descent?
   - 1☐ No, not Spanish/Hispanic/Latino
   - 2☐ Yes, Puerto Rican
   - 3☐ Yes, Mexican, Mexican American, Chicano
   - 4☐ Yes, Cuban
   - 5☐ Yes, other Spanish/Hispanic/Latino

6. What is the highest grade or level of school that you have completed?
   - 1☐ 8th grade or less
   - 2☐ Some high school, but did not graduate
   - 3☐ High school graduate or GED
   - 4☐ Some college or 2-year degree
   - 5☐ 4-year college graduate
   - 6☐ Graduate or professional school

7. How long (in total) have you been in your profession?
   - 1☐ 0-4 years
   - 2☐ 5-9 years
   - 3☐ 10-19 years
   - 4☐ 20+ years

8. What is your job function?
   - 1☐ Care Guide
   - 2☐ Nurse
   - 3☐ Social Worker
   - 4☐ Marriage & Family Counselor
   - 5☐ Pharmacist
   - 6☐ Chaplain
   - 7☐ Other _____

| Appendix 1. TACT Definitions and Items | | |
|---|---|---|
| **Construct** | **Definition** | **Items** |
| **MODERATING PROCESSES** | | |
| Team Learning (1, also see2) – Exploration & Exploitation<br><br>1 – None<br>2 – Once or twice<br>3 – Three to five times<br>4 – More than five times (during the past six months) | Exploration is activities that identify the best practices that are currently available from external sources. | • I reviewed resource manuals and written materials for effective ACT team's work processes.<br>• I reviewed emails and newsletters for effective ACT team's work processes.<br>• I participated in training sessions for ACT teams.<br>• I participated in training sessions related to ACT (e.g., integrated dual disorder treatment, supported employment, cognitive behavioral therapy).<br>• I observed other ACT teams. |
| | Exploitation is activities that operationalize practices in a given setting and evaluate their performance. | • I learned new ideas for improving ACT team's work processes from my ACT team members.<br>• I participated in selecting work process changes for implementation.<br>• I helped to implement a planned change in my ACT team's work processes.<br>• I participated in analyzing problems in my ACT team's work processes.<br>• I helped to evaluate a planned change in my ACT team's work processes.<br>• I reflected on our ACT team organization and improvement activities with my ACT team. |
| Conflict & Constructive Controversy (3, 4)<br><br>1 – Strongly disagree<br>2 – Somewhat disagree<br>3 – Somewhat agree<br>4 – Strongly agree | Conflict is perceived incompatibilities or discrepant views among team members. | • I felt that my ACT team members did NOT get along.<br>• I felt that personality clashes were evident in my ACT team.<br>• I felt that conflicts regarding ideas frequently arose in my ACT team.<br>• I felt that my ACT team members had different opinions about how to organize work. |
| | Constructive controversy is "the critical and open discussion of divergent perspectives including task related facts, data and opposing ideas." | • I felt that even when we disagreed on my ACT team, we communicated with respect for each other.<br>• I felt that on my ACT team we used our opposing views to understand problems. |

| Appendix 1. TACT Definitions and Items | | |
|---|---|---|
| **Construct** | **Definition** | **Items** |
| **MODERATING STATES** | | |
| Psychological Safety (5, 6)<br><br>1 – Strongly disagree<br>2 – Somewhat disagree<br>3 – Somewhat agree<br>4 – Strongly agree | "Team psychological safety is a shared belief that the team is safe for interpersonal risk taking." | • I felt that I could bring up personal safety issues, such as working in dangerous neighborhoods, to my ACT team members.<br>• I felt that I could bring up mistakes and slips by my team in consumer care activities to my ACT team members.<br>• I felt that I could bring up problems and tough issues, such as unprofessional behavior or missing team meetings, to my ACT team members.<br>• I felt that if I made a mistake, other members of my ACT team would NOT hold it against me.<br>• I felt that it was safe to take a risk to try new things in my ACT team.<br>• I felt that my personal skills and talents were valued by other members of my ACT team.<br>• I felt that it was easy to ask for a change in the time of a visit.<br>• I felt that it was easy to ask for a partner to accompany me on a visit. |
| Goal Agreement – Safety and Quality Orientation (7)<br><br>1 – Strongly disagree<br>2 – Somewhat disagree<br>3 – Somewhat agree<br>4 – Strongly agree | Goal agreement is a shared perception of the priority of a team's objectives. | • I felt that I had the time during visits with consumers to assure safety for me or the consumers, even if it meant visiting fewer consumers.<br>• I felt that I had the time to assure high quality visits with consumers, even if it meant visiting fewer consumers.<br>• I felt that I had to make as many consumer visits as possible, even if it meant lower quality visits or less personal or consumer safety. (reverse coded) |

| Appendix 1. TACT Definitions and Items | | |
|---|---|---|
| **Construct** | **Definition** | **Items** |
| **MEDIATING PROCESSES** | | |
| Information Accessibility (8)<br><br>1 – Almost never<br>2 – Occasionally<br>3 – Often<br>4 – Usually<br>5 – Almost always | Information accessibility is low waste in obtaining information. | • I could obtain information about consumer issues, such as living arrangements or personal relationships, from my ACT team's daily meeting.<br>• I could obtain information about consumers that I needed to provide care from other members of my ACT team.<br>• I felt that the encounter notes for consumers who I was visiting were current.<br>• I felt that the rehabilitation interventions for consumers to be seen that day were clearly discussed during daily team meetings. |
| **MEDIATING STATES** | | |
| Situational Awareness – Encounter Preparedness & Consumer-Centered Care (9)<br><br>1 – Almost never<br>2 – Occasionally<br>3 – Often<br>4 – Usually<br>5 – Almost always | Encounter preparedness is the degree to which team members feel prepared to perform their daily tasks. A high degree of preparedness means that a team member knows her or his schedule, consumer information, purpose of the visit, and the activities/intervention that he or she should perform during an encounter. | • I worked with consumers to develop rehabilitation goals.<br>• I knew my complete consumer visit schedule.<br>• I knew the medical diagnosis of the consumer before a visit.<br>• I knew the functional assessment of the consumer before a visit.<br>• I knew the rehabilitative intervention I should work on with the consumer before a visit.<br>• I related my observations of the consumer during a visit to the consumer's medical diagnosis and functional assessment.<br>• I knew how to code a visit's rehabilitation activities at the conclusion of the visit. |
| | Consumer-centered care is the degree to which teams integrate | • Consumers participated in treatment planning meetings.<br>• Rehabilitation planning was integrated into assessments, treatment planning, or interventions. |

| Appendix 1. TACT Definitions and Items | | |
|---|---|---|
| **Construct** | **Definition** | **Items** |
| | consumer-specific contexts and conditions in their treatment planning and interventions. | • Skill building was integrated into assessments, treatment planning, or interventions.<br>• Natural supports were integrated into assessments, treatment planning, or interventions. |

# L·I·F·E·C·O·U·R·S·E

## DAILY PROCESS & PROGRAMATIC SURVEY

SURVEY IDENTIFICATION

DATE _____

TIME _____

STAFF ID # _____

Record your observations at the end of the day. Respond to each of the five bolded categories below. Decide which questions are pertinent to your work today. You do not have to answer all the questions. Provide brief stories or examples where applicable (no names please) and describe new issues that may have emerged today. Your identity will be kept confidential.

### (1) DOMAIN WORK

What domains or aspects of care did you cover/explore during your work today? ( Please check all that apply)

- ☐ PHYSICAL
- ☐ SOCIAL
- ☐ PSYCHOLOGICAL/PSYCHIATRIC
- ☐ SPIRITUAL
- ☐ CULTURAL
- ☐ LEGACY
- ☐ IMMINENT DYING
- ☐ LEGAL/ETHICAL
- ☐ FINANCIAL
- ☐ FAMILY/CAREGIVER

### (2) INGREDIENTS

What percent of your time today was spent in each of the following categories?(Should total 100%)

- _____ Individualized care
- _____ The story
- _____ Communication and coordination
- _____ Partnering
- _____ Support for self-care
- _____ Whole person care
- _____ LifeCourse plan
- _____ Social acceptance
- _____ KFF (Key Friends and Family)

### (3) TASKS

What tasks did you participate in today? ( Please check all that apply)

- ☐ Enroll patients
- ☐ Physical exam
- ☐ Provide direct hands-on care
- ☐ Indirect patient care: other
- ☐ Symptom management
- ☐ Administer meds
- ☐ Accompany patient to appointment
- ☐ Triage after hours calls from patients/families
- ☐ Advance Care Planning session
- ☐ SDM conversation/tool
- ☐ Document patient's goals and wishes and assess progress
- ☐ Interview/Conversation
- ☐ Validate, honor, and record the patient's story
- ☐ Coordination of transitions
- ☐ Linking community resources
- ☐ Patient education
- ☐ Patient care review
- ☐ Counseling
- ☐ Spiritual care
- ☐ Legacy work
- ☐ Grief and bereavement care
- ☐ Family conferences
- ☐ Develop a wholistic plan of care
- ☐ Ongoing (re)assessment
- ☐ Team building exercises
- ☐ Process Improvement
- ☐ Professional development and self-care

**AIM:** As I live well with serious illness, I am in charge.
You listen to me, help me, guide me, honor me, and support me as a person.

## (4) GUIDING PRINCIPLES

Which Guiding Principles did you cover/explore during your work today? ( Please check all that apply)

- ☐ KNOW ME
- ☐ ASK ME
- ☐ LISTEN TO ME/HEAR ME
- ☐ GUIDE ME
- ☐ RESPECT ME
- ☐ COMFORT ME
- ☐ SUPPORT ME

Give Example(s) _____

## BIG PICTURE

(5) What were the highlights today?

Describe why _____

(6) What were the challenges today?

Describe why _____

# Appendix H

## L • I • F • E • C • O • U • R • S • E

WEEKLY REFLECTION

Record your observations once per week. Decide which questions are pertinent to your work this week. You do not have to answer all the questions. Provide brief stories or examples where applicable (no names please) and describe new issues that may have emerged this week. Your digital recorder is your diary; use it as if you were having a conversation. Be candid; describe what went well and what didn't. No one will hear your recording other than the researchers. Your identity and answers will be kept confidential.

1. How are enrollment and PSR going?

2. What observations do you have about building relationships with patients? Talk about the use of story.

3. How well do you feel you met the needs of patients?
   - *What seemed to work well?*
   - *What did not work well (gaps)?*
   - *What additional training or resources do you wish you had to address these gaps?*

---

4. How well do you feel you met the needs of key family and friends?
   - *What seemed to work well?*
   - *What did not work well (gaps)?*
   - *What additional training or resources do you wish you had to address these gaps?*

5. How well did this coordination (internal and external) go? If it did not go well, how did it not go well?
   - *How clear were handoffs to and from others?*
   - *How clear was your communication to and from others?*
   - *How clear were yours and other's roles?*
   - *....if any of these were unclear, why?*

**Purpose**
The purpose of the care team focus group is to gather information from the LifeCourse care team regarding processes, infrastructure, support, roles, and boundaries.

**Materials and Documents**
Voice recording device
Focus Group questions \DataCollectionTools\4.PrePilotTools\Process&Programmatic\CareTeamFocusGroup.docx

**Meeting**
1. Research team member facilitates meetings from 9 – 10am on Wednesday mornings in Wasie room 648.

2. Research team member informs participants of the purpose of the focus group. The information shared will be analyzed by the research team. Care team managers receive distilled information about the focus group content but do not read/listen to transcripts/audio of the focus group. Care team members are responsible for bringing any issues or questions that need to be addressed directly to their managers.

3. Research team member sets up recording device.
    a. Turn device on using power button on the left side.
    b. Press the SCENE button. Use the arrows to select "Interview" and press enter.
    c. To select a folder to save the file in, press the folder button. Use the arrow buttons to scroll through the folders and select a folder.
    d. Press the REC/PAUSE button (red circle) to begin recording. You will know it is working because the small light at the top of the recorder flashes in orange and then lights up in red.

4. Research team member posts the questions for all participants to view during the session.

5. Research team member facilitates discussion and asks the following questions giving each team member an opportunity to respond. Clinical Site Managers will participate every other week.
    a. Tell me about how the team defines roles and divides work.

    b. How do you communicate with each other about your patients and families?

    c. Do you feel supported as a team?

        i. Do you have the resources you need to do your job?

        ii. What areas are going well?

        iii. In what areas do you need to improve?

    d. What do you view as the most significant barrier to providing care to your patients?

    e. How does the team problem solve and carry out the solution?

6. The facilitator will aim to get through all five questions at each session. It is acceptable to start with any of the questions and go through in any order. If care team members answer a question before it is asked, it is acceptable to not ask the question. It is acceptable to ask question c without the three follow up questions.

7. To stop recording, press the stop button (square).

8. Research team member will save file in the LifeCourse Data folder on the shared drive and send to Tybee Types for transcription.

Appendix J

## SEVENTEENTH ANNUAL MINNESOTA HEALTH SERVICES RESEARCH CONFERENCE • MARCH 5, 2013

| | | |
|---|---|---|
| 7:15 – 8:00 AM | **Registration** | **Continental Breakfast, Exhibits by Sponsoring Organizations** |

| | |
|---|---|
| 8:00 – 8:15 AM | **Welcome:** Doug Wholey, PhD, University of Minnesota School of Public Health, Division of Health Policy and Management<br>*Room 13* |
| 8:15 – 9:15 AM | **Introduction of Keynote Speaker**: April Seifert, Ph.D., Benefits Analyst Manager, Target Corporation, Minnesota Health Services Research Conference Honorary Chair<br>**Keynote Address:** 'If I ruled the (Primary Care) world...'<br>**Dr Kath Checkland**, Clinical Senior Lecturer in Primary Care<br>Health Policy, Politics & Organisation (HiPPO) Research Group, School of Community-based Medicine, University of Manchester, England<br>*Room 13* |

| | *Room 135AC* **SYMPOSIUM 1A** | *Room 135BD* **PAPER SESSION1B** | *Room 155* **PAPER SESSION 1C** | *Room 156* **PAPER SESSION 1D** |
|---|---|---|---|---|
| **CONCURRENT SESSION ONE**<br>9:45 – 11:00 AM | **Putting Out the Welcome Mat – Targeting Outreach Efforts under the Affordable Care Act**<br>**CONVENER:** Stephanie Radtke | **Quality 1**<br>**Paper 1:** Visualizing Provider Quality and Market-Area Demographics using Physician Clinic Service Areas- *Nate Kabat,*<br>**Paper 2:** A Multi-Hospital System Quality Improvement Process for Reduction of Elective Induction of Labor Less Than 39 weeks Gestation - *Anna Bernard*<br>**Paper3:** Achievement of Improved Optimal Vascular Care Criteria in a Primary Care Practice- *Jacquelyn Huebsch*<br>**CONVENER:** Ellen Denzen | **Hypertension**<br>**Paper 1:** Effects of a Telephonic Maternity Care Management Program Among Women With Gestational Hypertension - *Wade M. Bannister*<br>**Paper 2:** Recidivism to Uncontrolled Blood Pressure Levels in Patients with Previously Controlled Hypertension- *Patrick J. O'Connor*<br>**Paper 3:** Outcomes at six months of a randomized trial of home blood pressure telemonitoring with pharmacist case management - *Karen L. Margolis*<br>**CONVENER:** Pamela Jo Johnson | **Student Paper Competition**<br>**Paper 1:** Mediating Effect of Care Continuity – *Suhna Lee*<br>**Paper 2:** Morning Bell: The Effect of Earlier School Days on Adolescent Health and Academic Outcomes– *Heather Dahlen*<br>**Paper 3:** Regional Variation in Costs of Hematopoietic Cell Transplantation: An Analysis of the 2008-2010 Nationwide Inpatient Sample -*Viengneesee Thao*<br>**CONVENER:** Nancy Omondi |

| | *Room 135AC* **SYMPOSIUM 2A** | *Room 135BD* **SYMPOSIUM 2B** | *Room 155* **PAPER SESSION 2C** | *Room 1* **PAPER SESSION 2D** |
|---|---|---|---|---|
| **CONCURRENT SESSION TWO**<br>11:15 – 12:30 PM | **Evaluating Minnesota's Health Care Home**<br>**CONVENER:** Doug Wholey | **Evaluating Health Care Reform: Are Federal and State Surveys Meeting the Need?**<br>**CONVENER:** Donna Spencer | **Provider Decision Support**<br>**Paper 1:** Developing and Deploying Evidence-Based Clinical Decision Support for Aspirin Use at the Point of Care - *Patrick J. O'Connor*<br>**Paper 3:** Usefulness of Patient Self Report in Pre-operative Cardiac Risk Assessment – *Terrence Adam*<br>**Paper 2:** Virtual Diabetes Education Improves Resident Physician Knowledge and Performance: A Cluster-Randomized Trial- *Patrick J. O'Connor*<br>**CONVENER:** Adam Powell | **Emergency Room**<br>**Paper 1:** Efficiency of Emergency Department (ED) Use in Minnesota Over Five Years: Policy Implications-*Elizabeth Egan*<br>**Paper 2:** Self-reported Emergency Department Visits and Reasons for Going by Insurance Status- *Alisha Baines Simon*<br>**Paper 3:** Using ER Visitation Data to Identify Health Improvement Opportunities for Public Program Enrollees- *Scott Ode*<br>**CONVENER:** Brian Martinson |

Appendix K

# LifeCourse Research Agenda 2013

How will we know if we get there?

*6 papers submitted by Dec 2013*

*6 abstracts submitted by Dec 2013*

# Approach

- Each paper, where possible, should include a variety of authors, including research team members, operations, clinical team members, and academic partners, as well as research assistants
- Concept → Authorship agreement → Joint outlining → Joint writing → Joint editing → Submissions → Joint revision
- Yes, there is an order.
- Papers are for the 'finished' or first-round work. Abstracts are a vehicle for 2014 papers.

# Advancing the Research Agenda

- Establishment of Learning Collaboratives
  - Focused on mutual understanding and learning
  - Enable diverse perspectives – academic partners, Allina researchers, Allina operations team members, and care teams from Allina/WM/Augustana, as well as tpt
  - Three primary activities:
    - Confirmation and collection of research questions
    - Understanding and attachment to data collection
    - Development and submission of abstracts and peer-review publications, with a focus on compulsories first and additional interests second
  - Additional activities:
    - Review of existing peer-review or other practice literature
  - Collaborative leadership (Allina, UMN), facilitated and driven by a 'collaborative project manager'

# Conceptual Tracks

- **Process (Model Oversight)**
  - Intervention Development
  - Model Evolution
  - Research Design
  - Evaluation Design
  - Practice/Academic Partnership
- **LifeCourse Team & Training (NEW)**
  - Team Dynamics (How)
  - Team Members (Who)
  - Care Guide
  - Training of Team
- **Active Ingredients (NEW)**
  - Relationship
  - Story
  - Partnering
  - LifeCourse Plan
  - Social Acceptance
  - Individualized Care
  - Whole Person Care
  - Support for Self Care
  - Communication/Coordination
- **Outcomes (R&E)**
  - Patient Goals
  - Patient & Caregiver Experience
  - Patient & Caregiver Quality of Life
  - System & Clinical Outcomes
  - Care Team Experience

# Learning Collaborative #1: **Process**

## *Embedded in Model Oversight*

- Focus On:
  - Intervention Development
  - Model Evolution
  - Research Design
  - Evaluation Design
  - Practice/Academic Partnership
  - Embedding QI in Iterative Intervention Development
- Co-Leads: Radel, Britt, Wholey
- PM: Frazer
- Key members: Fuchs

# Learning Collaborative #1: **Process**

## *Embedded in Model Oversight*

- Key Questions:
  - How will voices of patients, caregivers, and community members inform the development of our work?
  - What is the conceptual model that drives the intervention? What is the intervention? What are the component parts?
  - In what way will we answer research and evaluation questions?
  - Design & Methods
    - Research and evaluation design
    - Conceptual model for evaluation
    - Intervention design - w/care team overview, interview overview, PSR
  - Intervention Development
    - Conceptual model for team and intervention deployment
    - Selection of Survey Instruments
  - Evolution of conceptual model over time
    - Development and performance of patient selection algorithm
    - Development of late life supportive care business model
  - Ongoing Model Evolution
    - Using patient and community voices to inform intervention development
    - Using patient and caregiver voices to define and refine intervention
  - Iterative use of process data to inform ongoing quality improvement
    - PDSA as PI tool for model design and refinement
  - System deviations and the use of research to enable quality improvement in other segments of healthcare provider organizations

# Learning Collaborative #1: **Process**

## *Embedded in Model Oversight*

- Paper Possibilities:
  - Using patient and community voices to inform intervention development
  - Using patient and caregiver voices to define and refine intervention
  - Research and evaluation design
  - Conceptual model for evaluation
  - Intervention design - w/care team overview, interview overview, PSR
  - Conceptual model for team and intervention deployment
- 2013 Paper Compulsories **(3)**:
  - (Overlap with Active Ingredients LC) Design process, inclusion of patient voices, components of intervention *(Schellinger, Anderson, Roberts, Frazer, Radel, T. Shippee)*
  - Research & evaluation overview *(Wholey, Britt, N. Shippee)*
  - Utilization of QI data in intervention development *(Birkeland, Frazer, RA team)*

# Learning Collaborative #2: **LifeCourse Team & Training**

- Focus On:
  - Team Dynamics (How)
  - Team Members (Who)
  - Care Guide
  - Training of Team
- Co-Leads: Wholey, Schellinger
- PM: Post-Doc
- Key members: Hunt, Kilaberia

# Learning Collaborative #2:
# **LifeCourse Team & Training**

- Key Questions/Areas/Paper Possibilities:
  - Who is a part of the team? How are they trained? What are their functions?
    - Overview of development and implementation of first round of training
    - Qualitative and Quantitative feedback on training, refinement for next round
  - How is the care team deployed to support patients and caregivers? In what ways are they successful? What are their challenges? How do they partner with other entities internal to Allina and external to the organization? On what domains and areas does the team spend the majority of its time and effort?
  - Common understanding of the medical and non-medical issues, using shared language among team, patient, and system.
  - From transactional to relational
- 2013 Paper Compulsories **(1)**:
  - Training & Development of Team *(Schellinger, Wholey, White)*

# Learning Collaborative #3:
# **Active Ingredients**

- Focus On:
  - Relationship
  - Story
  - Partnering
  - LifeCourse Plan
  - Social Acceptance
  - Individualized Care
  - Whole Person Care
  - Support for Self Care
  - Communication/Coordination
- Co-Leads: Anderson, White
- PM: Frazer
- Key members: Gollust, Jones, Kilaberia, Palan

# Learning Collaborative #3:
# **Active Ingredients**

- Key Questions/Areas/Paper Possibilities:
  - What is the effect of our tpt partnership and other media efforts on the acceptance (internal, external) of late life support?
  - The Story
    - The process of honoring and valuing the expertise and experiences of the individual. (The life lived, their values, the context of their life)
    - History, meaning, strengths, weaknesses, needs, desires, goals
    - Social situation and context
    - Recording of the story as the patient wants to be known.
    - Iterative development of process to elicit patient story
      - Narrative approach and the therapeutic experience of telling your story
      - Finding the Story and Narrative: the LifeCourse Model
  - Partnering
    - Shared ownership, responsibility for navigating and building the individual's approach to living.
    - KFF as defined by individual
  - Support for self-care
    - KFF and care team members will have the tools and support available to sustain and maintain whole-person health and wellbeing
  - Communication & Coordination
    - Communication of goals and wishes across settings.
    - Wider networks (hairdresser, herbalist, etc.): How we find and integrate key others into care

# Learning Collaborative #3:
# **Active Ingredients**

- Key Questions/Areas/Paper Possibilities:
  - LifeCourse Plan
    - Wholistic, integrated plan that complements and enhances the other plans of care.
  - Patient fund
    - Funds used to support patient and KFF
    - How does the patients social situation such as waiver programs for exceptional situations or populations that require a care manager outside of LifeCourse?
    - Waiver programs provide funding in a community setting for patients for services that would normally be provided in an institution?
  - Whole Person Care
    - Awareness of strengths and potential needs in all domains of personhood.
  - Individualized Care
    - Care that is continuously customized to the individual, validating and addressing what is important to that individual at the time it is needed. (Meeting people where they are)
  - Media and Social Acceptance
    - Understanding and normalizing an increased level of involvement in an individual's own care. Starting a larger conversation about life and death as not a medical event.
  - What is the conceptual model showing the linkages among active ingredients (e.g., LCT design → LCT use of Story)
- 2013 Paper Compulsories **(2)**:
  - (Overlap with Process LC) Design process, inclusion of patient voices, components of intervention *(Schellinger, Anderson, Roberts, Frazer, Radel, T. Shippee)*
  - Story and Its Evolution (*Schellinger, Elumba, Roberts, care team*)

# Learning Collaborative #4: **Outcomes**

*Embedded in R&E*

- Focus On:
  - Patient Goals
  - Patient & Caregiver Experience
  - Patient & Caregiver Quality of Life
  - System & Clinical Outcomes
  - Care Team Experience
- Co-Leads: Britt, N. Shippee, T. Shippee
- PM: Jones
- Key members: Fernstrom, Fuchs, Hanson, Hunt, Shipley

# Learning Collaborative #4: **Outcomes**

## *Embedded in R&E*

- Key Questions/Paper Possibilities:
  - In what way do we identify eligible patients for the LifeCourse model?
  - In what way do we collect baseline data from patients, caregivers, and care team members?
  - Which baseline data collection tools should we keep? What modifications should/can we make to our tools?
  - What level of burden are we placing on patients and caregivers? How much can they tolerate? What is the ideal amount of data collection?
  - What is the effect of the LifeCourse model on meeting patient-determined goals and wishes through end of life? On patient quality of life? On patient experience?
  - What is the effect of the LifeCourse model on caregiver quality of life? On caregiver experience?
  - What is the effect of the LifeCourse model on care team wellbeing?
  - What is the effect of the LifeCourse model on hospice enrollment, hospice and inpatient lengths of stay, and total cost of care for patients?
  - Stratification by family situation, social/behavioral complexity, conditions, risk, functional status, patient phenotypes, treatment burden
- 2013 Paper Compulsories **(1)**:
  - Selection of instrument & baseline data adjustments *(REO, N. Shippee)*

# And More....

- Additional Questions/Areas to Consider:
  - What are the contextual issues? How do we incorporate them on our analysis of active ingredients? They provide natural comparisons which should provide us leverage in understanding how an active ingredient works
  - Implementing LifeCourse in an institutional setting or the community? In the institutional setting care management documentation and plans may be required?
  - Expanding caregivers to include additional primary and those in secondary roles

| Budget Category/Item | | | | | 2012 | 2013 | 2014 | Total |
|---|---|---|---|---|---|---|---|---|
| **PERSONNEL** | **Base Salary (Year 1)** | **% Effort** | **# FTEs** | **Staffing Ratio** | | | | |
| **Late Life Supportive Care Managers** | | | | | | | | |
| Abbott Northwestern Hospital | $85,000 | 100% | 3 | 1:25 | $42,500 | $262,650 | $270,530 | $575,680 |
| SCT: Augustana & Walker Methodist | $85,000 | 100% | 4 | 1:25 | $42,500 | $350,200 | $360,706 | $753,406 |
| | | | | | | | | |
| **Core Interdisciplinary Team Members** | | | | | | | | |
| Social Worker | $65,000 | 100% | 2 | 1:70 | $32,500 | $133,900 | $137,917 | $304,317 |
| Marriage & Family Therapist | $85,000 | 100% | 1 | 1:80 | $21,250 | $87,550 | $90,177 | $198,977 |
| Primary Care Provider | $180,000 | 5% | 20 | | $45,000 | $185,400 | $190,962 | $421,362 |
| Pharmacist | $120,000 | 50% | 1 | 1:240 | $15,000 | $61,800 | $63,654 | $140,454 |
| Chaplain | $65,000 | 60% | 1 | 1:80 | $9,750 | $40,170 | $41,375 | $91,295 |
| Palliative Care Medical Director | $190,000 | 10% | 1 | | $4,750 | $19,570 | $20,157 | $44,477 |
| Volunteer Coordinator | $55,000 | 50% | 1 | 1:100 | $6,875 | $28,325 | $29,175 | $64,375 |
| | | | | | | | | |
| **Research Team** | | | | | | | | |
| PI: Eric Anderson | $210,000 | 50%/35%/35% | 1 | | $105,000 | $75,705 | $77,976 | $258,681 |
| Co-I: Sandy Schellinger | $115,000 | 75%/50%/50% | 1 | | $86,250 | $59,225 | $61,002 | $206,477 |
| Co-I: Heather Britt | $110,000 | 40%/30%/50% | 1 | | $44,000 | $33,990 | $29,175 | $107,165 |
| Project Manager | $85,000 | 100% | 1 | | $85,000 | $87,550 | $90,177 | $262,727 |
| Research Manager | $85,000 | 100% | 1 | | $85,000 | $87,550 | $90,177 | $262,727 |
| Study Coordinator: ANW | $70,000 | 100% | 1 | | $17,500 | $72,100 | $74,263 | $163,863 |
| Study Coordinators: Augustana & Walker Methodist | $70,000 | 100% | 2 | | $35,000 | $144,200 | $148,526 | $327,726 |
| Data Analyst | $75,000 | 100% | 1 | | $56,250 | $77,250 | $79,568 | $213,068 |
| Research Assistant | $60,000 | 100% | 1 | | $30,000 | $61,800 | $63,654 | $155,454 |
| | | | | | | | | |
| **Additional Support Services for Patient** | | | | | | | | |
| Care Navigation & Triage | | | | | | $60,000 | $40,000 | $100,000 |
| Translation Services | | | | | $5,000 | $30,000 | $15,000 | $50,000 |
| | | | | | | | | |
| **Technical & Analytic Support** | | | | | | | | |
| Clinical Decision Support | $85,000 | 50% | 1 | | $42,500 | $21,888 | | $64,388 |
| Excellian Support | $85,000 | 50% | 1 | | $42,500 | $21,888 | | $64,388 |
| Clarity Reporting | $85,000 | 25% | 1 | | $21,250 | $10,944 | | $32,194 |
| Health Informatics Specialist | $75,000 | 50% | 1 | | $37,500 | $19,313 | | $56,813 |
| Communications & Marketing | $75,000 | 25% | 1 | | $18,750 | $19,313 | $19,892 | $57,954 |
| Learning & Development | | | | | $104,000 | | | $104,000 |
| | | | | | | | | |
| **Benefits (29% of all above personnel)** | | | | | $300,331 | $595,161 | $578,277 | $1,473,769 |
| | | | | | | | | |
| **University of MN Advisors** | | | | | | | | |
| Evaluation/Health Economics: Christianson | | 20% | | | $75,000 | $77,250 | $79,568 | $231,818 |
| Evaluation: Wholey | | 15% | | | $37,500 | $38,625 | $39,784 | $115,909 |
| Evaluation: White | | 20% | | | $31,250 | $32,188 | $33,153 | $96,591 |
| Research Assistant | | 100% | | | $60,000 | $61,800 | $63,654 | $185,454 |
| | | | | | | | | |
| **Consulting Resources** | | | | | | | | |
| Eric Coleman, MD, Technical Consultant | | | | | $46,800 | $46,800 | $46,800 | $140,400 |
| Expert Mapping | | | | | $75,000 | $50,000 | | $125,000 |
| Clumsy Conversations | | | | | $15,000 | $15,000 | | $30,000 |
| Adaptive Practice | | | | | $15,000 | | | $15,000 |
| Motivational Interviewing/Coaching | | | | | $15,000 | | | $15,000 |
| Shared Decision Making | | | | | $25,000 | $15,000 | | $40,000 |
| | | | | | | | | |
| **Personnel Total** | | | | | **$1,731,506** | **$2,984,102** | **$2,835,296** | **$7,550,904** |

| **ADDITIONAL COSTS** | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Per Patient Fund | | | | | | $300,000 | | $300,000 |
| Clinic Reimbursement for SC Visits | $112.50/visit | | | | | $90,000 | | $90,000 |
| Resource Materials Development | | | | | $75,000 | | | $75,000 |
| Printing | | | | | $6,000 | $6,000 | | $12,000 |
| Patient & Family Advisory Council: Stipends | | | | | $2,250 | $2,250 | $2,250 | $6,750 |
| Training Stipends | | | | | $138,000 | | | $138,000 |
| Food | | | | | $10,000 | $10,000 | $10,000 | $30,000 |
| Furniture & Equipment | | | | | $54,500 | | | $54,500 |
| Research Support: IRB + SPA | | | | | $10,000 | | | $10,000 |
| Home Monitoring, Computer Access | | | | | | $100,000 | | $100,000 |
| **Community Engagement Support** | | | | | | | | |
| Honoring Choices + TPT Partnership | | | | | $314,440 | $753,140 | $216,720 | $1,284,300 |
| Assessment Instruments | | | | | $15,000 | | | $15,000 |
| | | | | | | | | |
| **Additional Costs Total** | | | | | **$625,190** | **$1,261,390** | **$228,970** | **$2,115,550** |

| **TOTAL PHASE I COST** | **$9,666,454** |
|---|---|

**2012: Design & Build, 2013: Implementation, 2014: Continued Implementation & Analysis**

# Appendix L

| Budget Category/Item | | | | | 2012 | 2013 | 2014 | Total |
|---|---|---|---|---|---|---|---|---|
| **PERSONNEL** | **Base Salary (Year 1)** | **% Effort** | **# FTEs** | **Staffing Ratio** | | | | |
| **Late Life Supportive Care Managers** | | | | | | | | |
| Abbott Northwestern Hospital | $85,000 | 100% | 3 | 1:25 | $42,500 | $262,650 | $270,530 | $575,680 |
| SCT: Augustana & Walker Methodist | $85,000 | 100% | 4 | 1:25 | $42,500 | $350,200 | $360,706 | $753,406 |
| | | | | | | | | |
| **Core Interdisciplinary Team Members** | | | | | | | | |
| Social Worker | $65,000 | 100% | 2 | 1:70 | $32,500 | $133,900 | $137,917 | $304,317 |
| Marriage & Family Therapist | $85,000 | 100% | 1 | 1:80 | $21,250 | $87,550 | $90,177 | $198,977 |
| Primary Care Provider | $180,000 | 5% | 20 | | $45,000 | $185,400 | $190,962 | $421,362 |
| Pharmacist | $120,000 | 50% | 1 | 1:240 | $15,000 | $61,800 | $63,654 | $140,454 |
| Chaplain | $65,000 | 60% | 1 | 1:80 | $9,750 | $40,170 | $41,375 | $91,295 |
| Palliative Care Medical Director | $190,000 | 10% | 1 | | $4,750 | $19,570 | $20,157 | $44,477 |
| Volunteer Coordinator | $55,000 | 50% | 1 | 1:100 | $6,875 | $28,325 | $29,175 | $64,375 |
| | | | | | | | | |
| **Research Team** | | | | | | | | |
| PI: Eric Anderson | $210,000 | 50%/35%/35% | 1 | | $105,000 | $75,705 | $77,976 | $258,681 |
| Co-I: Sandy Schellinger | $115,000 | 75%/50%/50% | 1 | | $86,250 | $59,225 | $61,002 | $206,477 |
| Co-I: Heather Britt | $110,000 | 40%/30%/50% | 1 | | $44,000 | $33,990 | $29,175 | $107,165 |
| Project Manager | $85,000 | 100% | 1 | | $85,000 | $87,550 | $90,177 | $262,727 |
| Research Manager | $85,000 | 100% | 1 | | $85,000 | $87,550 | $90,177 | $262,727 |
| Study Coordinator: ANW | $70,000 | 100% | 1 | | $17,500 | $72,100 | $74,263 | $163,863 |
| Study Coordinators: Augustana & Walker Methodist | $70,000 | 100% | 2 | | $35,000 | $144,200 | $148,526 | $327,726 |
| Data Analyst | $75,000 | 100% | 1 | | $56,250 | $77,250 | $79,568 | $213,068 |
| Research Assistant | $60,000 | 100% | 1 | | $30,000 | $61,800 | $63,654 | $155,454 |
| | | | | | | | | |
| **Additional Support Services for Patient** | | | | | | | | |
| Care Navigation & Triage | | | | | | $60,000 | $40,000 | $100,000 |
| Translation Services | | | | | $5,000 | $30,000 | $15,000 | $50,000 |
| | | | | | | | | |
| **Technical & Analytic Support** | | | | | | | | |
| Clinical Decision Support | $85,000 | 50% | 1 | | $42,500 | $21,888 | | $64,388 |
| Excellian Support | $85,000 | 50% | 1 | | $42,500 | $21,888 | | $64,388 |
| Clarity Reporting | $85,000 | 25% | 1 | | $21,250 | $10,944 | | $32,194 |
| Health Informatics Specialist | $75,000 | 50% | 1 | | $37,500 | $19,313 | | $56,813 |
| Communications & Marketing | $75,000 | 25% | 1 | | $18,750 | $19,313 | $19,892 | $57,954 |
| Learning & Development | | | | | $104,000 | | | $104,000 |
| | | | | | | | | |
| **Benefits (29% of all above personnel)** | | | | | $300,331 | $595,161 | $578,277 | $1,473,769 |
| | | | | | | | | |
| **University of MN Advisors** | | | | | | | | |
| Evaluation/Health Economics: Christianson | | 20% | | | $75,000 | $77,250 | $79,568 | $231,818 |
| Evaluation: Wholey | | 15% | | | $37,500 | $38,625 | $39,784 | $115,909 |
| Evaluation: White | | 20% | | | $31,250 | $32,188 | $33,153 | $96,591 |
| Research Assistant | | 100% | | | $60,000 | $61,800 | $63,654 | $185,454 |
| | | | | | | | | |
| **Consulting Resources** | | | | | | | | |
| Eric Coleman, MD, Technical Consultant | | | | | $46,800 | $46,800 | $46,800 | $140,400 |
| Expert Mapping | | | | | $75,000 | $50,000 | | $125,000 |
| Clumsy Conversations | | | | | $15,000 | $15,000 | | $30,000 |
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| Motivational Interviewing/Coaching | | | | | $15,000 | | | $15,000 |
| Shared Decision Making | | | | | $25,000 | $15,000 | | $40,000 |
| | | | | | | | | |
| **Personnel Total** | | | | | **$1,731,506** | **$2,984,102** | **$2,835,296** | **$7,550,904** |

| **ADDITIONAL COSTS** | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Per Patient Fund | | | | | | $300,000 | | $300,000 |
| Clinic Reimbursement for SC Visits | $112.50/visit | | | | | $90,000 | | $90,000 |
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| Furniture & Equipment | | | | | $54,500 | | | $54,500 |
| Research Support: IRB + SPA | | | | | $10,000 | | | $10,000 |
| Home Monitoring, Computer Access | | | | | | $100,000 | | $100,000 |
| **Community Engagement Support** | | | | | | | | |
| Honoring Choices + TPT Partnership | | | | | $314,440 | $753,140 | $216,720 | $1,284,300 |
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| | |
|---|---|
| **TOTAL PHASE I COST** | **$9,666,454** |

**2012: Design & Build, 2013: Implementation, 2014: Continued Implementation & Analysis**

JAMES BUNDY,
ARTISTIC DIRECTOR

VICTORIA NOLAN,
MANAGING DIRECTOR

YALE REPERTORY THEATRE
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February 11, 2013

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

Dear Penny,

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

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

Now in its fifth year, the work of the Binger Center continues to be productive and rewarding. To date, we have conducted three residencies and five workshops and produced the world premieres of two commissioned plays at Yale Repertory Theatre. We focused our resources on large-scale development activities in the fall, including planning and completing workshops of two commissioned musicals. We are planning development activities for the spring and summer of 2013, and we are prepared to respond to requests for residencies, retreats, and workshops from our commissioned artists during the remainder of the 2012-13 season.

**Residencies/Retreats**
In August, the Binger Center invited four commissioned artists (Sheila Callaghan, Matt Gould, Branden Jacobs-Jenkins, and Anne Washburn) to attend our annual "Boot Camp" retreat (August 26-29, 2012), which was held in conjunction with Yale School of Drama's three-day intensive writing workshop, led by Paula Vogel.

The Binger Center hosted a residency in New Haven for playwright Carson Kreitzer and composer Matt Gould, who worked on their commissioned musical, *Lempicka*, from September 17-24, 2012. The team's work was in preparation for a two-week workshop to be held at New Dramatists in New York from October 29-November 9, 2012. In the days between the Yale residency and the start of the workshop, Matt and Carson had meetings with the workshop's director, Mark Wing-Davey, and had dramaturgical conversations with Yale Rep's artistic staff. The residency-workshop combination continued the

development process devised by Yale Rep and New Dramatists as part of our partnership in the Full Stage USA program.

Branden Jacobs-Jenkins was in residence from December 17-21, 2012. He was working on the first draft of his commission, and we expect him to share it with us soon.

**Workshops**

In July, the Binger Center conducted a two-day workshop of Lucy Thurber's commission *Perry Street* (July 13-16, 2012) in New York. Director Jenna Worsham led a cast of five actors (Mikaela Feely-Lehmann, Kristin Griffith, Rebecca Henderson, Peter Maloney, and Omar Sangare) in rehearsal and discussion of a draft of Lucy's play. The workshop was structured so that the playwright had two days off in the middle of the week to focus on rewrites, which she then brought back for further rehearsals and discussions with the company.

In August, the Binger Center conducted a two-week workshop of David Nugent's commission, the musical *Her Lightness* (August 13-25, 2012) in New York. Director Jackson Gay and music director Alexander Rovang led a cast of ten (Nick Cordero, Rebecca Naomi Jones, Andrew Kober, Joshua Landay, Austin Lesch, Carrie Manolakos, Christina Sajous, Katie Thompson, Tony Vincent, and Jennifer Waiser) and a small rock band in rehearsals culminating in a staged reading of the entire musical. The workshop provided David with the opportunity to hear his musical with a full band and with musical arrangements. Yale Rep's artistic staff and a small audience of theatre industry professionals were invited to the reading.

In September, the Binger Center conducted a two-day workshop of Julie Marie Myatt's commission *Opium Den* in New York (September 14-17, 2012). Director Jessica Thebus led a cast of six actors (Dana Eskelson, Ty Jones, Michael Nathanson, Cotter Smith, Stephen Barker Turner, and Rob Yang) in rehearsals and discussion of a draft of Julie's play. The workshop was structured so that Julie had two days off in the middle of the workshop to focus on rewrites, which she brought back for further rehearsals and discussions with the company.

In October, the Binger Center conducted a two-week workshop of Matt Gould and Carson Kreitzer's musical *Lempicka* in New York. Director Mark Wing-Davey led a company of sixteen (James Barbour, Natalie Venetia Belcon, Kyle Beltran, Erin Bennett, Lisa Brescia, Charl Brown, Philip Callen, Dashiell Eaves, Izzy Hanson-Johnston, Kevin Massey, Rhyn McLemore, Michael Pemberton, Nicolette Robinson, Michael Rose, Gabrielle Stravelli, Bjorn Thorstad, and Mariand Torres) in rehearsals culminating in a staged reading of the entire musical. The reading featured a band and musical arrangements. New Dramatists provided the studio space, housing for Matt and Carson, and administrative support during rehearsals as part of our partnership in the Full Stage USA program. Yale produced the workshop, including casting and contracting of actors, band, creative team, and additional personnel. Carson and Matt arrived in New York October 22 for a week of meetings with director Mark Wing-Davey, music director Ian Axness, and assistant music director Greg Kenna. Rehearsals were slated to begin on October 29, but due to the aftermath of Hurricane Sandy, we were unable to gather our company until November 2. Nonetheless, we were still able to provide the creative team with the same number of rehearsal hours

we had originally planned and held the reading on November 9. Yale Rep and New Dramatists staff and a small audience of theatre industry professionals were invited to the reading.

In December, the Center conducted a four-day workshop of Rebecca Taichman and Paula Vogel's commission *Rehearsing Vengeance* (December 10-14, 2012), which is a project co-commissioned with Oregon Shakespeare Festival (OSF) as part of their *American Revolutions* Cycle. Rebecca led a company of seven actors (Eva Kaminsky, Lauren Klein, David Margulies, Max Moore, Joseph Parks, Aaron Serotsky, and Heather Wood) in rehearsals, discussions, and exploration of an early draft of the play. This was the first time that Paula and Rebecca heard their play read by actors. The workshop took place over the course of five days; this gave Rebecca and Paula a writing day halfway through the process. The workshop did not end with a formal reading of the play, but Paula and Rebecca emerged from the week with a more fleshed-out draft of play. Dramaturgical support was provided by Yale Rep and OSF throughout the workshop, and the theatres are coordinating the artistic feedback they send to Rebecca and Paula as the development of the project moves forward.

**Commissions**

We are pleased to announce that we have offered David Adjmi a second commission to write an original play for Yale Rep. David's first commissioned play, *Marie Antoinette*, had its world premiere this fall at the American Repertory Theater and Yale Rep. It has been our pleasure to work with David and support his artistry, and we look forward to continuing our relationship with him. His updated biography is attached to this report.

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

**New Play Production**

This fall, Yale Rep produced the world premieres of two commissioned plays: David Adjmi's *Marie Antoinette* and Sarah Ruhl's *Dear Elizabeth*. *Marie Antoinette*, directed by Rebecca Taichman, was a co-production with American Repertory Theater (ART) in Cambridge, MA. The production began rehearsals at ART on July 24, 2012, and it ran from September 5-30. The company then came to New Haven, where they had the opportunity to spend an additional two weeks in the rehearsal room before technical rehearsals and previews. At Yale Rep, *Marie Antoinette* ran from October 26-November 17. Between the ART and Yale Rep runs, we replaced the actor who played Marie, due to a health issue. The rehearsal in New Haven not only allowed time for the new actor to learn the show, but David and Rebecca were able to restage scenes based on what they learned during their time at ART.

Sarah Ruhl's *Dear Elizabeth*, directed by Les Waters, began rehearsals on October 30, 2012. The production ran from November 30-December 22, 2012. Mary Beth Fisher and Jefferson Mays played Elizabeth Bishop and Robert Lowell, respectively. We are pleased to report that the west coast premiere of *Dear Elizabeth* at Berkeley Repertory Theatre will run from May 24-July 7, 2013.

*Dear Elizabeth* and *Marie Antoinette* received mostly positive reviews for their Yale Rep runs with the notable exception of negative reviews in the *The New York Times*. Press and reviews for both productions are attached.

**Production Enhancement Fund**
This season, the Fund is supporting the New York Theatre Workshop production of Amy Herzog's *Belleville*, which will run from February 12-March 31, 2013. *Belleville* is being produced in association with Yale Rep. The Fund will help underwrite the cost of redesigning the original Yale Rep scenery to fit in New York Theatre Workshop's venue.

**Binger Center Review Committee**
In December, we brought the Binger Center Review Committee to New Haven for a two-day site visit (December 6-7, 2012) at Yale School of Drama/Yale Repertory Theatre. The Review Committee met with staff, faculty, and students and attended the opening night celebrations for the world premiere of Sarah Ruhl's *Dear Elizabeth,* including the reception to honor the Robina Foundation at the Provost's House. The Review Committee's inquiries were thoughtful and illuminating. We look forward to receiving their full report and recommendations in April 2013.

***Describe any unanticipated results or lessons learned during this period and any changes you have made or propose to make in your plans***
The majority of the Binger Center's activities in the past six-month period have involved partnerships between Yale Rep and other producing and/or new play development organizations (American Repertory Theater, New Dramatists, Oregon Shakespeare Festival). We entered into each partnership after discussing the benefits of institutional collaborations with the individual commissioned artists. In each instance, we determined that the collaborations would both advance the artistry of the commissioned writers and promote the possibility of multiple future productions for each project. Each institution has its own culture and management style, requiring excellent communication between organizations and the commissioned artists every step of the way. Looking forward, we anticipate more opportunities to partner with development and producing organizations to support the work of the Binger Center. For each, we will need to assess the potential advantages and determine how the partnership will benefit the individual artists, as well as the institutions involved.

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

Sincerely,

James Bundy

DAVID ADJMI

David Adjmi was listed as one of the Top Ten in Culture for 2011 by *The New Yorker* magazine. He is the author of *Marie Antoinette* (Yale Rep, American Repertory Theater), *Stunning* (LCT3/Lincoln Center Theater, Woolly Mammoth Theatre Company), *The Evildoers* (Sundance, Yale Repertory Theatre), *Caligula* (Soho Rep Studio Series), and *Strange Attractors* (Empty Space). His play *3C* received its world premiere at Rattlestick Playwrights Theater in June 2012 and was dubbed "the most divisive and controversial play of the season" by the *New York Post*. *Elective Affinities*, which premiered at the Royal Shakespeare Company, received its U.S. premiere last December at Soho Rep with Zoe Caldwell. He is developing an adaptation of Molière's *Le Bourgeois Gentilhomme* in tandem with choreographer Karole Armitage, as well as an untitled new play for Sean Hayes. David was awarded a Guggenheim Fellowship, the Whiting Writers' Award, the Kesselring Prize for Drama, the Steinberg Playwright Award (the "Mimi"), and the Bush Artists Fellowship, among others. He is the recipient of multiple MacDowell Colony fellowships, a Sundance/Ucross residency, and others. He currently holds commissions from Lincoln Center Theater, Yale Rep, Berkeley Rep, American Repertory Theater, and the Royal Court, and he is the recipient of the 2012 Fadiman Award from the Center Theatre Group. He has served on panels for the Luminato Festival, National Endowment for the Arts, the McKnight Foundation, Massachusetts Cultural Council, Harvard University, Yale School of Drama, and others. He is a member of New Dramatists, the Dramatists Guild, MCC Theater Playwrights' Coalition, and Soho Theatre's "The Hub." A collection of David's work, *Stunning and Other Plays*, is published by TCG, and his work is included in *The Methuen Drama Book of New American Plays*. His untitled memoir is forthcoming from HarperCollins.

http://www.nhregister.com/articles/2012/12/08/entertainment/arts/doc50c3696ec632e318979743.txt

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

# 'Dear Elizabeth' at the Yale Repertory Theatre mesmerizes in every way

Saturday, December 8, 2012

By E. Kyle Minor

**NEW HAVEN** — It seems that any and all incurable playgoers need only learn that playwright Sarah Ruhl and director Les Waters have collaborated once again on a new work to know that all is right with their world. Such is the case at Yale Repertory Theatre, which stages the world premiere of "Dear Elizabeth, a play in letters from Elizabeth Bishop to Robert Lowell and back again," and the result is yet another articulate, imaginative and moving theatrical experience.

"Dear Elizabeth," commissioned by Yale Rep, where the production continues through Dec. 22, follows other delightful Ruhl-Waters collaborations such as "Eurydice," "In the Next Room (or the vibrator play)" and "Three Sisters." Their latest collaboration is, as its full title suggests, a keen insight into the Platonic yet deeply enriching relationship between two prominent poets observed through the prism of their 30-year correspondence.

As one might expect from two esteemed wordsmiths, Lowell's and Bishop's graceful language, vivid imagery and truthful observations are delightful to hear and, as Waters stages the performance, often fanciful, always unfettered and never sappy.

As for Ruhl, she serves the material obediently, slightly editing and occasionally altering chronology of the events. When either does show his or her hand, all is tasteful. Best of all, both Ruhl and Waters are smart enough to keep out of their source material's way and let it sing in its own, distinctively beautiful fashion.




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Version 3
March 18, 2019

http://theater.nytimes.com/2012/12/11/theater/reviews/dear-elizabeth-a-sarah-ruhl-play.html

The New York Times

# A Stamp on the Outside, Intimacy on the Inside

'Dear Elizabeth,' a Sarah Ruhl Play

By CHARLES ISHERWOOD

Published: December 10, 2012

NEW HAVEN — "I seem to spend my life missing you," Robert Lowell wrote to Elizabeth Bishop, many years after the long and intimate friendship between these two great American poets began. In another letter he sadly observed, "We seem attached to each other by some stiff piece of wire, so that each time one moves, the other moves in another direction."

The geographical distance between them, breached only rarely during their sometimes tumultuous lives, was a deeply felt burden to both — if perhaps occasionally a blessing, too. But it left behind a great literary treasure: more than 400 letters that they exchanged as their careers and lives blossomed, faltered, foundered, almost fell apart, then blossomed anew. The playwright Sarah Ruhl has distilled from their voluminous correspondence a concise selection to create "Dear Elizabeth," an epistolary play that is having its premiere at the Yale Repertory Theater here.

Aside from sparingly used subtitles and a couple of the subjects' best-known poems, the play consists entirely of writings from the letters. On a simple set suggesting a shared study, the actors Mary Beth Fisher and Jefferson Mays read or recite from the correspondence, which begins shortly after the poets' meeting in 1947 and concludes only with Lowell's sudden death, from a heart attack in a taxi in 1977.

Occupying a hazy theatrical landscape somewhere between a staged reading, along the lines of A. R. Gurney's durable "Love Letters," and a fully staged play — the director, Les Waters, animates the back and forth with some whimsical touches of stagecraft — "Dear Elizabeth" provides a satisfying if ultimately superficial glimpse of a complicated relationship. The result feels a bit like trying to take in a rich, beautiful landscape through a window fogged by frost.




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Version 3
March 18, 2019

http://www.variety.com/review/VE1117948897/




# Variety - Legit Reviews

Posted: Tue., Dec. 11, 2012, 1:04pm PT

## Dear Elizabeth

By Frank Rizzo

A Yale Repertory Theatre presentation of a play in two acts by Sarah Ruhl. Directed by Les Waters.
Elizabeth Bishop -- Mary Beth Fisher
Robert Lowell -- Jefferson Mays

**A play consisting exclusively of correspondence between poets Elizabeth Bishop and Robert Lowell might at first seem more interesting to English lit majors than theater goers. But in "Dear Elizabeth," which gets its world premiere at Yale Repertory Theater, playwright Sarah Ruhl ("The Clean House," "In the Next Room, or the Vibrator Play"), frequent helmer-collaborator Les Waters and two extraordinary perfs find just the right tone, words and stage metaphors to enliven the intimate world of poets, their process and their poems into a shared theatrical experience.**

When Mary Beth Fisher as Bishop and Jefferson Mays as Lowell approach a long wooden table at the center of the stage, there's an expectation of a poet-centric version of A.R. Gurney's "Love Letters," with better production values.

But as the missives chronologically move forward from the poets' first meeting in 1947 and as their relationship evolves from mutual admiration to friendship to something deeper, it's clear that Ruhl has something more in mind than a straight-forward duo-bio or greatest hits tribute to two great American poets of the 20th century.

Ruhl delicately explores, through nothing more than the letters and her own theatrical imagination, the solitude of the artist, the exactitude of the writer's craft, the balance between confession and privacy and, in the end, why poetry matters.

Ruhl and Waters' leaps of poetic license mostly land artfully, if sometimes whimsically, on stage: When Bishop




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Version 3
March 18, 2019

http://www.ct.com/entertainment/stage/nm-nh46theatermarieantoinette-20121108,0,2967630.story

**Review: CT.com**

# A Queen Gets Her Comeuppance, With Spectacular Effects, in Marie Antoinette at the Yale Rep

By Christopher Arnott

*November 7, 2012*

Through Nov. 17 at the Yale Repertory Theatre, corner of Chapel and York streets, New Haven.
Last time playwright David Adjmi and director Rebecca Taichman got together at the Yale Rep, for *The Evildoers* in 2008, they turned Edward Albee-esque relationship dramas on their ear by adding heaping portions of violent spectacle and eye-popping visual effects to the accustomed bickering and back-biting of that chatty genre.

With the hip radical history play *Marie Antoinette*, Adjmi and Taichman try the same visual trickery on biodramas, with spectacular results. The script hits all the right strident notes in connecting the reign of the oblivious and insensitive queen (Marin Ireland) and her laughable husband Louis XVI (Steven Rattazzi, evoking James Tolkan's neurotic Napoleon from Woody Allen's *Love and Death*) with the powermongering political money culture of our own time and place. But the most arresting points are made visually. Without ever stooping to the obvious image of a guillotine, this is a play of short sharp shocks and cutting remarks, punctuating the pomposity of the royal court with an everpresent atmosphere of menace, madness and just plain out-of-it spaciness.

The French Revolution arrives not through a lot of chatter but with a seismic scenic effect that blots out the stage and changes the whole complexion of the play in an instant. Adjmi's intense, controlled writing is built to ride over rocky terrain, and in settings of abject degradation and despair he is still able to insert enlightening dialogues about romance, beauty and politics.

He's even able to do it when one of the speakers is a sheep.

Sheep: The people are very angry.

Marie: Oh, they're always angry, that's not a barometer of anything.

Sheep: They're starving, and they're overtaxed.

Marie: That's Louis' problem, he's working on it.

Sheep: Baaaaa.

*Marie Antoinette* was written before *The Evildoers*, and before such current class-oriented spectacles as the presidential campaign of Mitt Romney or the senatorial aspirations of Linda McMahon. The play was developed years ago at the Goodman Theatre in Chicago and the Sundance Institute Residency at the Public Theatre in New York, but is only now receiving its world premiere thanks to this co-production of




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Version 3
March 18, 2019

http://theater.nytimes.com/2012/11/13/theater/reviews/david-adjmis-marie-antoinette-at-yale-repertory-theater.html?_r=0

The New York Times

THEATER REVIEW

# Moaning All the Way to the Guillotine

## David Adjmi's 'Marie Antoinette' at Yale Repertory Theater

By CHARLES ISHERWOOD

Published: November 12, 2012

NEW HAVEN — You remember Marie, don't you? Austrian archduchess? Became queen of France at a superyoung age. Liked to party and to play at being a peasant. Lived for fashion and lost her head in some revolution or something?

Yeah, her. She's been exhumed yet again to pout and preen and die in "Marie Antoinette," David Adjmi's cursory comic strip of a play at Yale Repertory Theater, a co-production with American Repertory Theater. The doomed queen, portrayed by Marin Ireland, has been yanked halfway into the 21st century in this blunt reappraisal, echoing the approach taken by Sofia Coppola in her dreamier movie version of the same story, which featured Kirsten Dunst bustling around Versailles in big skirts to a post-punk soundtrack.

Ms. Ireland gets to wear some sumptuous finery too in the director Rebecca Taichman's slick production, which is generally more rewarding to look at than to listen to. The costumes, by Gabriel Berry, slide smoothly from period pretty to vaguely contemporary. The queen's ravenous chasing after the latest styles in hairdressing is amusingly depicted when the towering wigs worn by her and her frenemies suddenly shoot from their heads like rockets. Under a gold-and-white proscenium suggesting a contemporary gloss on damask wallpaper, the sets, by Riccardo Hernandez, wittily nod toward Marie's penchant for playacting.

Unfortunately listening to Marie bitch and moan her way to the guillotine provides only minimal amusement. Mr. Adjmi's shorthand take on Marie's reign unfolds as a series of blunt comic snapshots, in dialogue that mixes sitcom snark, pop psychology, anachronistic




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Version 3
March 18, 2019

http://www.variety.com/review/VE1117948692/

VARIETY® Advertisement

## Legit Reviews

Posted: Mon., Nov. 5, 2012

# Marie Antoinette (Yale Repertory Theater, New Haven)

By Frank Rizzo

A Yale Repertory Theater-American Repertory Theater production of a play in two acts by David Adjmi. Directed by Rebecca Taichman. Choreography, Karole Armitage.

Marie Antoinette - Marin Ireland
Louis XVI - Steven Rattazzi
Sheep - David Greenspan
Joseph, Mr. Sauce - Fred Arsenault
Axel Fersen - Jake Silbermann
Guard - Brian Wiles
Yolande, Mrs. Sauce - Hannah Cabell
Therese de Lamballe - Polly Lee
Royalist - Vin Knight
The Dauphin - Ashton Woerz

**"I'm a little bit trapped, I'm afraid," says the not-so-poor-butterfly title character in David Adjmi's audacious and stunning "Marie Antoinette," a co-production that received joint world preems, first in September at the American Repertory Theater in Cambridge, Mass., and now at Yale Repertory Theater in New Haven, Conn. The lead is recast for New Haven with Marin Ireland ("Reasons to be Pretty"), who gives a smashing perf in this bitter bonbon of a play, sure to find future life on Gotham stages and with audiences looking for theatricality, glamour and a subversive streak.**

The work skewers the oblivious royals and one-percenters, understands their bred-to-be-bad behavior and strips away the illusion of not only the monarchy but of democracy, too -- a hat trick that Adjmi performs with the delicate balance of comedy, tragedy and wild imaginings.

Adjmi also avoids the exposition trap in writing about historic figures, deftly yet pointedly crafting biographical details




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Version 3
March 18, 2019

# Calendar for year 2013 (United States)

### January

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### 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 | | |

# The Binger Center for New Theatre

## Indenture
## Documenting the
## Endowment and Current Use Gift from the Robina Foundation

*The Robina Foundation ("the Donor") is pleased to document a commitment of $18,000,000.00 to Yale School of Drama, of which $15,000,000.00 shall be used to establish an endowed fund for the benefit of The Binger Center for New Theatre ("the Center") at Yale School of Drama. The name of the fund will be The Binger Center for New Theatre Endowment Fund ("the Fund"). The remaining $3,000,000.00 of the gift shall be used to provide operating funds for the Center.*

### Endowment

**Schedule and Form of Contributions**: This commitment will be fulfilled on or before June 30, 2012. The Fund may be added to from time to time by the Donor or others.

**Use of Endowment Income**: The expendable income[1] from the Fund shall be used to provide direct support to the Center. Yale School of Drama will direct the resources from this Fund to the commissioning, development, production, and dissemination of new plays under the auspices of the Center in accordance with the attached proposal, "The Binger Center for New Theatre: Yale's Vision," revised April 13, 2012 ("the Proposal"), which represents the overall understanding of the Robina Foundation and Yale University of the activities of The Binger Center for New Theatre and is part of this indenture.

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

**Stewardship**: Yale shall provide the Donor with an annual written report of its progress in a format acceptable to the Donor, to include program highlights as well as financial updates noting the Fund's market value, principal, and expendable income. As the Robina Foundation will be dissolved at some future date, the Donor may designate an organization to which reports shall be made and with which consultation pursuant to this indenture will continue when the Robina Foundation has ceased to exist.

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

In the event that, at some future time, in the judgment of the Yale Corporation, it becomes impossible, impractical, or unlawful to apply the distributions from the Fund to the purpose described above, the Yale Corporation shall make such modifications to the use of the Fund as will appropriately recognize the interests of the Donor in coordination with University priorities. Any such changes will be considered in consultation with the Donor or its stewardship successor, as the case may be.

---

[1] "Expendable income" is determined by the University's Endowment spending policy, which allocates endowment earnings to operations. Currently, the target spending rate approved by the Yale Corporation stands at 5.25%. According to the smoothing rule, Endowment spending in a given year sums to 80% of the previous year's spending and 20% of the targeted long-term spending rate applied to the market value two years prior. The spending amount determined by the formula is adjusted for inflation and constrained so that the calculated rate is at least 4.5% and not more than 6% of the Endowment's inflation-adjusted market value one year prior. The smoothing rule and the diversified nature of the Endowment are designed to mitigate the impact of short-term market volatility on the flow of funds to support Yale's operations.

**Current Use Gift**

The current use gift portion of $3,000,000.00 will be invested by the Yale Office of Investments in Treasury bonds with maturity rates that will meet the approved cash flow requirements outlined in the financial section of the Proposal. Any interest earned on these Treasury bonds will be added to the spendable portion of the gift and expended for the programmatic purposes outlined in the Proposal.

Reports on the use of these funds will be included in the annual written report described in the "Stewardship" section of this Indenture.

Thomas Crosby
Chair, Board of Directors
The Robina Foundation

4/13/12
Date

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

4.18.12
Date

Inge T. Reichenbach
Vice President for Development, Yale University

4.23.2012
Date

Attachment: "The Binger Center for New Theatre: Yale's Vision," revised April 13, 2012

## Email to James Bundy from PAH re Acceptance of Center for New Theatre

**February 28, 2012**

Dear James,

First and foremost, I want to emphasize how thrilled members of the Board of Directors of the Robina Foundation are to support Yale School of Drama's Center for New Theatre with the Foundation's first-ever endowment grant! Given Robina's history with the Center, Board Members are very comfortable making a major investment now to ensure that this high impact, successful venture will be sustained in the future. We are all convinced that the Center's work is truly transformational for Yale School of Drama and the field of drama and are delighted to be able to play a role in assuring that the Center will continue into the future. The Board's approval of this grant reflects its confidence in you and your vision for the Center, as well as confidence in Yale and the Yale School of Drama.

We are working to move Robina's decision forward. Tom has talked with members of the Binger family, who have agreed, enthusiastically, to calling the center "The Binger Center for New Theatre." Tom and I met yesterday with Robina's financial adviser to discuss the amount of the grant and timing of the payment. We plan to endow the Center with a single payment to be made before June 30, 2012. We are also reviewing the draft indenture. I will get back to you and Inge as soon as possible to follow up on these items.

With respect to the operation of the Center, the Robina Board would like to discuss the following:

**Outside Evaluation of the Center:**
In our recent telephone conversation, Peter and I discussed timing of an outside evaluation of the Center. Since implementation of an independent outside review after an additional five years of operation of the center would mean that the Center would operate almost 10 years without outside input, we believe that this review should take place in 2013, five years after the Center's launch. Your January 2012 response to various questions we posed includes the outline of a proposed approach to the independent review. At the appropriate time, we would like to discuss the evaluation process in more detail.

**The Robina Gift from a field-building perspective - an expanded concept of enhancement:**
The Robina Foundation endowment gift is being made based on the exciting proposal YSD submitted, but we believe that the Center could do more to add value to theater and theater organizations in America and to enhance the field in creative ways. We don't pretend to know exactly how the Center should accomplish that, but we are mindful of Jim Binger's goal of transforming not only the organizations he designated, but also society more broadly. We have had numerous discussions about implementation of the Performance Evaluation Fund, the challenges involved in identifying appropriate opportunities, etc. Although recent changes in distribution of the fund should increase the accessibility of the fund, the Performance Enhancement Fund is only one resource that YSD brings to the table. We would like you to consider other opportunities.

One approach to identify ways the Center could do more to enhance the field, whether through the PEF or other means, would be for you to convene a panel, similar to the one you describe for the outside evaluation of the Center, to participate in a visioning process. There are undoubtedly many other possibilities as well. We would welcome the opportunity to discuss this with you.

I am looking forward to our conversation on Thursday. I'm hoping that we can identify next steps to finalize the Robina Foundation's grant.

Warm regards,
Penny

full copy

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

**Date: January 5, 2012**

**Re: Endowment Request – Yale School of Drama**

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

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

**BACKGROUND:**

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

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

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

**OBSERVATION A:**

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

**OBSERVATION B:**

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

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

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

**OBSERVATION C:**

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

RECOMMENDATION:

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

Michael F. Sullivan, Ph.D.
Associate Professor of Finance, Opus College of Business
CFO and CIO (retired), University of St. Thomas
TMH 349
1000 LaSalle Avenue
Minneapolis, MN, 55403, USA
Phone: ++651.962.4321
Email: mfsullivan@stthomas.edu

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Discount Rate Robina | | 6% | | | | | | | | | | | | | | | | | | | | | | | |
| Discount Rate Yale | | 9% | | | | | | | | | | | | | | | | | | | | | | | |
| Increase in Payments: | $ | 100,000 | | | | | | | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |
| Year | | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | 8 | | 9 | | 10 | | 11 | | 12 | | 13 | | 14 | | 15 |
| Payment | $ | 1,200,000 | $ | 1,300,000 | $ | 1,400,000 | $ | 1,500,000 | $ | 1,600,000 | $ | 1,700,000 | $ | 1,800,000 | $ | 1,900,000 | $ | 2,000,000 | $ | 2,100,000 | $ | 2,200,000 | $ | 2,300,000 | $ | 2,400,000 | $ | 2,500,000 | $ | 2,600,000 |
| | $ | 1,132,075 | $ | 1,156,995 | $ | 1,175,467 | $ | 1,188,140 | $ | 1,195,613 | $ | 1,198,433 | $ | 1,197,103 | $ | 1,192,084 | $ | 1,183,797 | $ | 1,172,629 | $ | 1,158,933 | $ | 1,143,030 | $ | 1,125,214 | $ | 1,105,752 | $ | 1,084,889 |
| | $ | 1,100,917 | $ | 1,094,184 | $ | 1,081,057 | $ | 1,062,638 | $ | 1,039,890 | $ | 1,013,654 | $ | 984,662 | $ | 953,546 | $ | 920,856 | $ | 887,063 | $ | 852,572 | $ | 817,730 | $ | 782,829 | $ | 748,116 | $ | 713,799 |
| PV 2011, Robina | **$** | **17,410,154** | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Yale | **$** | **14,053,513** | | | | | | | | | | | | | | | | | | | | | | | |
| One-Year | | | | | | | | | | | | | | | | | | | | | | | | | |
| Payment | $ | 18,407,470 | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Robina | **$** | **17,365,538** | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Yale | **$** | **16,887,587** | | | | | | | | | | | | | | | | | | | | | | | |
| Three-Year | | | | | | | | | | | | | | | | | | | | | | | | | |
| Payment | | 6417254 | | 6417253 | | 6417253 | | | | | | | | | | | | | | | | | | | |
| | $ | 6,054,013 | $ | 5,711,332 | $ | 5,388,049 | | | | | | | | | | | | | | | | | | | |
| | $ | 5,887,389 | $ | 5,401,273 | $ | 4,955,297 | | | | | | | | | | | | | | | | | | | |
| PV 2011, Robina | **$** | **17,153,395** | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Yale | **$** | **16,243,959** | | | | | | | | | | | | | | | | | | | | | | | |
| Five-Year | | | | | | | | | | | | | | | | | | | | | | | | | |
| Payment | $ | 4,027,682 | $ | 4,027,682 | $ | 4,027,682 | $ | 4,027,682 | $ | 4,027,682 | | | | | | | | | | | | | | | |
| | $ | 3,799,700 | $ | 3,584,623 | $ | 3,381,719 | $ | 3,190,301 | $ | 3,009,718 | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - |
| | $ | 3,695,121 | $ | 3,390,019 | $ | 3,110,110 | $ | 2,853,311 | $ | 2,617,717 | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - |
| PV 2011, Robina | **$** | **16,966,062** | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Yale | **$** | **15,666,278** | | | | | | | | | | | | | | | | | | | | | | | |
| Ten-Year | | | | | | | | | | | | | | | | | | | | | | | | | |
| Payment | $ | 2,600,000 | $ | 2,550,000 | $ | 2,500,000 | $ | 2,450,000 | $ | 2,350,000 | $ | 2,250,000 | $ | 2,225,000 | $ | 2,125,000 | $ | 2,025,000 | $ | 1,925,000 | | | | | | | | | | |
| | $ | 2,452,830 | $ | 2,269,491 | $ | 2,099,048 | $ | 1,940,629 | $ | 1,756,057 | $ | 1,586,161 | $ | 1,479,752 | $ | 1,333,251 | $ | 1,198,594 | $ | 1,074,910 | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - |
| | $ | 2,385,321 | $ | 2,146,284 | $ | 1,930,459 | $ | 1,735,642 | $ | 1,527,339 | $ | 1,341,601 | $ | 1,217,151 | $ | 1,066,466 | $ | 932,366 | $ | 813,141 | $ | - | $ | - | $ | - | $ | - | $ | - | $ | - |
| PV 2011, Robina | **$** | **17,190,724** | | | | | | | | | | | | | | | | | | | | | | | |
| PV 2011, Yale | **$** | **15,095,770** | | | | | | | | | | | | | | | | | | | | | | | |

| Model 1-year | Principal | Operating Support | Total | NPV 7% | NPV 6% |
|---|---|---|---|---|---|
| 2013 | 15,000,000 | 3,407,470 | 18,407,470 | | |
| 2014 | 0 | 0 | 0 | | |
| 2015 | 0 | 0 | 0 | | |
| 2016 | 0 | 0 | 0 | | |
| 2017 | 0 | 0 | 0 | | |
| 2018 | 0 | 0 | 0 | | |
| 2019 | 0 | 0 | 0 | | |
| 2020 | 0 | 0 | 0 | | |
| 2021 | 0 | 0 | 0 | | |
| 2022 | 0 | 0 | 0 | | |
| Total | 15,000,000 | 3,407,470 | 18,407,470 | 17,043,954 | 17,365,538 |
| | | 8% | 6% | | |

| Model 3-Year | Operating Support | Total | NPV 7% | NPV 6% |
|---|---|---|---|---|
| 5,000,000 | 1,417,254 | 6,417,254 | $ 5,941,902 | $ 6,054,013 |
| 5,000,000 | 1,417,254 | 6,417,254 | $ 5,501,761 | $ 5,711,333 |
| 5,000,000 | 1,417,254 | 6,417,254 | $ 5,094,223 | $ 5,388,050 |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 15,000,000 | 4,251,762 | 19,251,762 | $ 16,537,886 | $ 17,153,397 |

| Model 5-Year | Operating Support | Total | NPV 7% | NPV 6% |
|---|---|---|---|---|
| 3,000,000 | 1,027,682 | 4,027,682 | $ 3,729,335 | $ 3,799,700 |
| 3,000,000 | 1,027,682 | 4,027,682 | $ 3,453,088 | $ 3,584,623 |
| 3,000,000 | 1,027,682 | 4,027,682 | $ 3,197,304 | $ 3,381,719 |
| 3,000,000 | 1,027,682 | 4,027,682 | $ 2,960,467 | $ 3,190,301 |
| 3,000,000 | 1,027,682 | 4,027,682 | $ 2,741,173 | $ 3,009,718 |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 0 | 0 | 0 | | |
| 15,000,000 | 5,138,410 | 20,138,410 | $ 16,081,366 | $ 16,966,062 |

| Model 10-Year | Operating Support | Total | NPV 7% | NPV 6% |
|---|---|---|---|---|
| 1,600,000 | 1,000,000 | 2,600,000 | $ 2,407,407 | $ 2,452,830 |
| 1,600,000 | 950,000 | 2,550,000 | $ 2,186,214 | $ 2,269,491 |
| 1,600,000 | 900,000 | 2,500,000 | $ 1,984,581 | $ 2,099,048 |
| 1,600,000 | 850,000 | 2,450,000 | $ 1,800,823 | $ 1,940,629 |
| 1,600,000 | 750,000 | 2,350,000 | $ 1,599,371 | $ 1,756,057 |
| 1,600,000 | 650,000 | 2,250,000 | $ 1,417,882 | $ 1,586,161 |
| 1,600,000 | 625,000 | 2,225,000 | $ 1,298,266 | $ 1,479,752 |
| 1,600,000 | 525,000 | 2,125,000 | $ 1,148,071 | $ 1,333,251 |
| 1,600,000 | 425,000 | 2,025,000 | $ 1,013,004 | $ 1,198,594 |
| 1,600,000 | 325,000 | 1,925,000 | $ 891,647 | $ 1,074,910 |
| 16,000,000 | 7,000,000 | 23,000,000 | $ 15,747,266 | $ 17,190,724 |

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

David Swensen

Biographical Sketch

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

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

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

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

October 2011

UNIVERSITY OF MINNESOTA

*Twin Cities Campus*

*Office of the Dean*
*The Law School*

*Room 381 Mondale Hall*
*229 19th Avenue South*
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February 6, 2013

Thomas M. Crosby, Jr., Chair & Treasurer
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Tom,

As requested, I am writing to supplement our proposal for The Binger Center for New Americans. The Binger Center would be an entirely new kind of law clinic: a collaboration among legal educators, immigration specialists, and practicing attorneys designed to shape the law through a purposeful national litigation strategy. This letter details the Center's three principal goals for transformative change: (1) improving federal immigration law and policy through collaborative impact litigation, (2) expanding access to legal representation for refugees and immigrants in Minnesota, particularly those in immigration detention, and (3) creating the nation's most dynamic and comprehensive immigration clinic for our students.

**1. Improving federal immigration law and policy through collaborative impact litigation**

This is an optimal time for the Law School to assume national leadership in the field of federal immigration litigation. President Obama has made an overhaul of our broken immigration system the top priority for his second term, and it appears Congress will pass major legislation in 2013. Congress is expected to adopt a complex program that places millions of undocumented immigrants on a multi-step pathway to becoming U.S. citizens, but it will also maintain or even expand the immense resources already dedicated to immigration enforcement and detention.[1] Strategic impact litigation in the federal courts will be absolutely essential in order to secure the rights of millions of potential New Americans.

Many law firms and immigration organizations around the country bring cases to federal courts that collectively shape national immigration law and policy. What makes the Binger Center unique is its collaborative model, bringing together the resources and expertise of Minnesota's leading law school, its three leading law firms, and its three leading non-profit providers of legal services to immigrants. Working together, the Binger Center partners will have an unparalleled capacity to foster transformative change in national immigration law and policy, in the following ways:

[1] The U.S. government now spends $18 billion on immigration enforcement each year. This significantly exceeds the $14.4 billion it spends on all other major law enforcement agencies –FBI, DEA, Secret Service, U.S. Marshals Service, and ATF—*combined.*

- **Pursuing federal litigation strategically targeted at specific policies and laws.**

The Federal Litigation Clinic, in collaboration with our non-profit and law firm partners, will prioritize issues for impact litigation, identify the best case vehicles, and then litigate those cases at all levels, from the Board of Immigration Appeals all the way to the U.S. Supreme Court. Favorable appellate decisions can have nationwide impact benefitting hundreds, thousands, or, in the context of major immigration reform legislation, even millions of individuals.

Our proposal for the Binger Center includes bringing the Immigrant Law Center of Minnesota's pilot *pro bono* litigation project in house, then dramatically expanding its capacity, more than tripling the number of federal appellate cases litigated from 6 to 20 each year. The letter in Appendix I describes some of ILCM's early appellate successes, which help illustrate the national impact a fully funded Binger Center can replicate and expand. One case, to choose just one example, forced changes in the law to guarantee fair immigration court hearings to thousands of applicants for Temporary Protected Status, a crucial form of humanitarian relief from deportation.

The Federal Litigation Clinic will also systematically seek to improve government policies in U.S. District Court actions brought on behalf of individuals or classes of immigrants. District Court immigration litigation in Minnesota has been sporadic at best, but the Binger Center will have the capacity to bring at least 15–20 actions per year to achieve strategic policy priorities. Our law firm partners have important experience in this type of litigation. For example, Dorsey & Whitney helped lead successful nationwide class-action litigation on behalf of asylees who were denied permanent resident status or work permits, forcing the government to adopt immediate reforms that benefitted thousands of individuals.

- **Engaging federal agencies to improve immigration policies.**

Victory in federal court is often just the first step in a longer effort to obtain systemic change. Courts frequently leave important questions of immigration policy for federal agencies to sort out on remand or during settlement negotiations. The Binger Center will therefore work directly with national and local immigration agencies to assist clients and achieve key policy objectives.

Our collaboration with the Advocates for Human Rights, ILCM, and Mid-Minnesota Legal Aid will give the Binger Center special weight when petitioning federal agencies for policy changes. As an example, in *Sandoval v. Holder*, ILCM successfully challenged the government's policy of subjecting children, regardless of their age, to a harsh statute that imposes life-time banishment upon anyone who makes a false claim of U.S. citizenship. The Eighth Circuit aptly described the statute as an "immigration death penalty" and remanded the case to the agency. After months of negotiations, the government agreed to abandon its flawed policy, a nationwide change that now prevents the application of this harsh statute to most non-citizen children under the age of 18.

- **Shaping the National Immigration Agenda**

By combining forces with key national immigrant rights organizations, such as the American Immigration Lawyers Association (AILA), the American Immigration Council (AIC), and the National Immigrant Justice Center (NIJC), the Binger Center will be uniquely positioned to shape the national litigation agenda, including litigation in the U.S. Supreme Court. The Binger Center, in collaboration with its partners, will litigate pivotal immigration cases not only in Minnesota, but wherever they happen to be located. Ongoing engagement with our national allies will also magnify the Center's influence by drawing powerful amicus support to the cases we litigate for our own clients, and, conversely, by giving us extraordinary opportunities to appear as *amicus curiae* in high profile immigration cases brought by others. The attached letter from AILA's national leadership confirms the important role the Binger Center would play on the national stage (Appendix II).

**2. Expanding access to legal representation for refugees and immigrants in Minnesota**

As we outlined in our original proposal, Minnesota's immigrant communities remain among the most underserved populations in the state, even though immigrants are vital to the state's future growth and prosperity (Appendix III). Minnesota has emerged in recent decades as the principal gateway state in the Midwest for refugees. Over the last 20-30 years, Minnesota has become home to the nation's largest Somali community, the largest urban Hmong community, one of the largest Liberian communities, and significant populations from Burma, Ethiopia, and the former Soviet Union. Minnesota is also home to tens of thousands of immigrants from Latin America. Despite the efforts of a variety of Minnesota law firms, law schools, and non-profits, only a fraction of those needing legal services obtains them.

For countless refugees and undocumented immigrant families, access to legal services can mean the difference between great hardship or even death in their country of origin and an opportunity to live productive and full lives as new Americans. Yet, even as the need for legal services has burgeoned, funding for such services has been slashed. In 1996, Congress barred legal aid organizations funded by the Legal Services Corporation from using these funds to represent undocumented immigrants. This shifted much of the burden to organizations such as the Immigrant Law Center of Minnesota, while limiting the resources available for immigration work at organizations such as Mid-Minnesota Legal Aid. Since the economic downturn of 2008, non-profit legal services providers across the country have endured even deeper cuts to their funding, from both private and public sources. Mid-Minnesota Legal Aid, for example, has lost 20% of its staff since 2009 due to cuts. In short, there is a profound need for legal services in this area, and it is one that will grow even larger with the passage of major immigration reform legislation.

The gap in legal representation is most damaging to those in immigration detention. Locally, and nationally, the federal government's massive commitment to enforcement will continue to overburden already dysfunctional immigration courts, even if Congress adopts immigration reform legislation. A coordinated and fully resourced response is long overdue. The Binger Center's Detainee Rights Clinic will oversee an unprecedented expansion of legal services to

detained non-citizens, including asylum seekers, many of whom have meritorious cases and families in Minnesota, but so few of whom can now access meaningful representation to vindicate their rights. The Center's collaborative approach can quadruple the current rate of representation for this vulnerable population, while also providing crucial "know your rights" orientations to detained immigrants in our area. With 8 – 10 enrolled students, each handling 6-8 cases per semester, the Law School would serve a total of 100-160 cases per year. The relief we can provide to immigrant families that would otherwise be broken by deportation will be an incredible achievement in itself, but, of course, the Center's Federal Litigation Clinic will also have the ability to press for systemic changes to national detention policies. Through litigation and other forms of advocacy, the Binger Center will seek an end to detention as the cornerstone of immigration enforcement policy. In all respects, the Binger Center offers a transformative national model for the representation of detained immigrants.

**3. Creating the nation's most dynamic and comprehensive immigration clinic for our students.**

Funding this proposal will transform our students' legal educations, and, in many cases, their lives. As mentioned above, no other law school has the type of multi-partner law center and clinical program we envision. Nor are there any clinical programs in the country that offer a cutting-edge impact litigation clinic, an intensive direct representation clinic and a comprehensive community outreach program in a single substantive area. This combination will make the Binger Center among the most innovative, ambitious and prominent clinical programs in the country. In an era of declining law school applications and increased emphasis on experiential learning, the Binger Center will serve as a model for the next generation high-impact law clinic and enrich the Law School's curriculum substantially. As the first of its kind, we anticipate that the Binger Center will attract some of the best and brightest law students from around the nation and, in turn, help produce the next generation of leaders in the immigration and human rights fields.

The Binger Center will also make the Law School a national center of expertise for some of the most pressing issues facing immigrant populations today. Drawing upon the strength and resources of the Law School's Human Rights Center, its 23 other clinics, and specialized faculty from around the University, the Law School would offer an unmatched array of immigration services and proficiencies at a time when this country's immigration policies and practices are taking center stage. We believe that the Binger Center will have the ability to bring together some of the most experienced and influential researchers, policy-makers, and practitioners in immigration in the country and to serve as an intellectual nucleus for critical systemic reform.

Finally, the Binger Center will augment the Law School's standing as the preeminent provider of clinical legal education in the region, significantly expanding its experiential learning opportunities and providing a clinical slot for every interested student. Currently, the Law School has one of the largest and most comprehensive clinical programs in the country. Yet it still must turn away dozens of student applicants every year for lack of capacity. The Binger Center will close this gap by providing students the unique opportunity to engage in some of the most challenging and potentially path-breaking clinical work available anywhere. The Binger

Center will also give students the unique opportunity to work with Law School faculty and attorneys from our law firm and public interest partners, forming relationships that will be critical to their professional futures.

**A Lasting Legacy**

The vision for the Binger Center for New Americans is to help fill a desperate and growing need for legal services in Minnesota and across the country and reshape the U.S. immigration system to better serve people in their quest for citizenship and a new life. It will do this through a unique collaboration that will leverage existing resources to help fill the gap in legal services in Minnesota, offer a model that will help other states fill their own gaps, and take the lead in strategic impact litigation for the improvement of national immigration law. We believe this is a fitting way for the Robina Foundation to honor Jim Binger and leave a lasting legacy that transforms the lives of thousands of people who are seeking a new life in America. Now is the perfect moment for this project.

Sincerely,

David Wippman
Dean and William S. Pattee Professor of Law

jn

Appendices

Appendix I


John Keller, Esq.
*Executive Director*

Lenore Millibergity, Esq.
*Senior Attorney*

Sheila 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.
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Melissa Pfeiffer
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Kathleen Lohmar Exel, Esq.
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January 25, 2013

Dean David Wippman
University of Minnesota Law School
381 Mondale Hall
229–19th Ave. South
Minneapolis, MN 55455

Dear Dean Wippman

Thank you again for the opportunity to supplement my earlier letter in support of the proposal for a Binger Center for New Americans at the University of Minnesota Law School. The purpose of this letter is to provide some additional detail about why I believe the Binger Center can play an important national role in improving immigration law.

I am confident the Binger Center Impact Litigation Program would have transformative influence at the national level. My confidence is based on the significant impact ILCM has been able to achieve in just four short years through our own *pro bono* litigation project. Our successes have been impressive, especially considering we launched at the height of an economic recession when funding for all non-profits became increasingly scarce. With only a portion of the resources needed to staff this program, we forged ahead because we know the work is essential to the immigrant and refugee communities ILCM serves. The sacrifices made have been well worth it, and we have built an outstanding pilot project that proves the effectiveness of a collaborative approach to strategic immigration litigation. Giving this project a permanent home at the Binger Center will unleash its full potential, and when all of our community's resources are brought together through the Center, I have no doubt the law school will stand out as a national leader for immigration justice.

Now is the right time to create the Binger Center. Congress is poised to pass historic immigration legislation this year. The new law is expected to create a potentially complicated pathway to citizenship that could benefit many thousands of immigrant families in Minnesota alone. The political exchange for the humanitarian provisions will be strict enforcement policies that preserve the Department of Homeland Security's huge

capacity to detain and deport. Impact litigation in the federal courts will be even more important if Congress passes a new immigration law—both to defend the humanitarian reforms against restrictive implementation, and to protect the rights of the thousands of immigrants in Minnesota who will continue to face detention and deportation every year.

Attached are summaries of our work in just a few key areas to provide a sense of our policy priorities, our national reach, and the dynamic model a fully funded Binger Center can build upon. As you know, our work begins but does not end in the courtroom. We often pursue other forms of advocacy to shape immigration policy in favor of our clients. ILCM is truly excited to partner with the law school and our other community allies to make the Binger Center a reality.

Sincerely,

John Keller
Executive Director

## Summaries of select ILCM *Pro Bono* Litigation Project cases

(for descriptions of additional cases please visit our website)

**Securing the rights of immigrant children: *Sandoval v. Holder***

Immigrant children have traditionally enjoyed special, more lenient treatment under U.S. deportation laws. In *Sandoval v. Holder*, 641 F.3d 982 (8th Cir. 2011), ILCM and *pro bono* co-counsel Robins, Kaplan, Miller & Ciresi, L.L.P., successfully challenged the government's policy of subjecting children to a harsh statute that permanently banishes from the United States any immigrant who has made a false claim of U.S. citizenship. The Eighth Circuit ruled in our favor and remanded the case to the Board of Immigration Appeals, requiring the agency to consider our argument that Congress could not have intended this draconian immigration penalty designed for adults to also apply to vulnerable children like our client. On remand, the Department of Homeland Security (DHS) agreed to withdraw the false citizenship claim charge, and our was allowed to remain permanently in the United States with her family.

Our work on this issue continues. The Eighth Circuit's decision prompted DHS to reevaluate its national policy regarding children and false claims of U.S. citizenship. In early 2012, the American Immigration Lawyers Association and key Senate staff members asked ILCM's litigation director to help advise DHS in formulating a new national policy that now protects most children under age 18 from the reach of the statute. This change benefits hundreds if not thousands of children nationwide. Even more recently, our litigation director has helped congressional staffers draft proposed legislation that would amend the statute and categorically exclude all children under 18 from this harsh penalty. We will continue to be involved in the effort to fix this law as Congress considers immigration reforms in 2013.

**Guaranteeing fair hearings in immigration court: *Salguero-Fuentes v. Holder***

Temporary Protected Status (TPS) is an important form of humanitarian relief from deportation that is available to nationals of designated countries destabilized by civil strife or natural disaster, such as Syria, Somalia, Honduras, El Salvador, and Haiti. There are hundreds of thousands of TPS eligible immigrants in the United States today. Despite a statute providing that these individuals have an unqualified right to apply for TPS in deportation proceedings, many immigration judges used to ignore the statute and deny TPS hearings to qualified individuals based on a misreading of poorly drafted regulations. ILCM challenged this practice in *Salguero Fuentes v. Holder*, 516 F.3d 399 (8th Cir. 2009). The Eighth Circuit remanded the case and demanded that the Board of Immigration Appeals (BIA) issue an expedited decision addressing our statutory argument. This forced the BIA to issue a precedential decision less than three weeks later, fully vindicating our position and applying it nationwide to the benefit of thousands of TPS applicants in deportation proceedings. See *Matter of Lopez-Aldana*, 25 I&N Dec. 49 (BIA 2009).

**Cutting-edge asylum litigation on behalf of children and women**

ILCM is at the center of national efforts to reform U.S. asylum law and extend its protections to both (1) children who face persecution for refusing recruitment into powerful Central American gangs, and (2) women who suffer violent persecution because of their gender. To qualify for asylum, an applicant must prove that she is in danger of persecution, but also that the persecution will be inflicted because she possesses one of five protected characteristics: race, religion, nationality, political opinion, or membership in a "particular social group." ILCM and our allies are litigating for a humane interpretation of the "particular social group" category. If successful, we will secure asylum protection not only for our own clients, but for several thousand similarly situated children and women nationwide.

- **children fleeing gang persecution**

ILCM represents three Salvadoran siblings who were threatened with death after refusing recruitment into the infamous Central American gang, the MS-13. The Board of Immigration Appeals (BIA) denied our clients asylum in the landmark precedent, *Matter of S-E-G-*, 24 I&N Dec 579 (BIA 2008). *S-E-G-* is one of the most significant asylum decisions of the past two decades, and it has been widely criticized for violating the internationally accepted legal standard for defining "particular social groups." ILCM enlisted *pro bono* co-counsel, appealed to the Eighth Circuit, and also sought the intervention of the U.S. Attorney General. In 2009, the case attracted even more national attention when the government arrested our young clients and forced us to seek an emergency stay of deportation from the U.S. Supreme Court. This prompted then Solicitor General Elena Kagan to step in, the government soon agreed to reopen the case, and our clients were allowed to remain in the United States. Despite the reopening, however, *S-E-G-* still stands as national precedent that the government has used to deny asylum to thousands of young gang victims.

In the aftermath of *S-E-G-*, ILCM's litigation director was invited to join the *amicus curiae* committee of the American Immigration Lawyer's Association (AILA), and through this position he is now chair of a national Asylum Litigation Working Group comprised of leading asylum advocates and scholars. This has given ILCM an unprecedented opportunity to shape the national litigation strategy to overturn *S-E-G-*. The effort is still ongoing. ILCM serves as a clearinghouse for information about gang-asylum litigation and we provide technical assistance to attorneys from across the country. ILCM also engages in direct litigation on behalf of gang victims at all levels, including the U.S. Supreme Court.

- **gender based asylum litigation**

ILCM, along with *pro bono* counsel from Robins, Kaplan, Miller & Ciresi, L.L.P., is also fighting to win asylum for victims of gender-based violence. In the tragic case of *C-R-P- v. Holder*, our client was gang-raped in Guatemala, became pregnant, and then gave birth as a result of the brutal sexual assault, yet the Board of Immigration Appeals (BIA) found her ineligible for asylum. The BIA rejected our argument that pervasive gender-based violence in Guatemala justifies recognition of all Guatemalan women as a single "particular social

group." After extensive litigation before the Eighth Circuit the Department of Justice agreed that *C-R-P-'s* case should be remanded back to the BIA for more careful consideration of our argument that gender alone can define a valid "particular social group." We believe the BIA may be poised to publish a national precedent in this case, and a positive ruling could make asylum available for the first time to thousands of women from countries that do not protect victims of gender violence. Because of the broad potential impact of this case, we recruited the National Immigrant Justice Center and the Center for Gender and Refugee Studies (Hastings College of Law) to submit *amicus curiae* briefs to the BIA in support of our client.

Appendix II

AILA National Office
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1331 G Street, NW
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www.aila.org

January 22, 2013

David Wippman, Dean
University of Minnesota Law School
381 Mondale Hall
229–19th Ave. South
Minneapolis, MN 55455

Dear Dean Wippman:

As leaders of the American Immigration Lawyers Association (AILA), we want to convey our whole-hearted support for your plan to establish a Binger Center for New Americans at the University of Minnesota Law School. We appreciated the chance to see your proposal and we are happy to share our views about the potential impact of the litigation clinic you envision.

AILA is a national association of more than 12,000 attorneys and law professors who practice and teach immigration law. Founded in 1946, AILA is a nonpartisan, not-for-profit organization that provides continuing legal education, information, professional services, and expertise through its 38 chapters and over 50 national committees. AILA seeks to advance the administration of law pertaining to immigration, nationality and naturalization; to cultivate the jurisprudence of the immigration laws; and to facilitate the administration of justice and elevate the standard of integrity, honor and courtesy of those appearing in a representative capacity in immigration and naturalization matters. AILA's members practice regularly before federal agencies, as well as the federal courts.

Having reviewed your proposal, and being well acquainted with the work of your non-profit partners, we agree the federal litigation clinic stands to make a significant, very positive national impact. The plan has several strengths.

First, your proposal is timely. Congress is likely to adopt far-reaching changes to our immigration system before the end of this year. There is growing support for legislation that would include a roadmap to citizenship for several million New Americans, but at the same time it is probable that any new law will also contain provisions guaranteeing intensive immigration enforcement for years to come. We know from long experience that enactment is just the beginning of the story. The ultimate benefits that reform legislation can deliver to non-citizens will remain uncertain, as will the degree of harm that enforcement provisions may inflict. The real human consequences of any law will depend to a great extent upon our ability to effectively litigate for the rights of immigrants in federal courts as it is implemented. Your clinic would be an invaluable ally in this national effort.

Second, the core idea of bringing the law school, non-profits, and your three largest law firms into a formal partnership is innovative and smart. Acting together as a unified community of immigrant advocates will allow you to pursue important litigation priorities over time. Several law schools have immigration clinics that do engage in federal court litigation, but this is generally on a more limited, case-by-case basis, not as part of a systematic program to achieve prioritized policy goals. What you are attempting is far more comprehensive in scope and therefore should be much more impactful. A similar clinic would be difficult to reproduce in larger metropolitan areas where there are often too many entities engaged in immigration litigation to bring around a single table. In Minnesota, however, it does seem realistic for all the key players to act together with focus, and this should magnify the impact of your work, both locally and at the national level.

Third, and relatedly, we are excited by your proposal because there is pressing need for more coordinated litigation within the Eighth Circuit, which, unfortunately, is now one of the least friendly circuits for immigrants in the country. In terms of size, the Eighth Circuit's immigration caseload has historically been significant, yet much smaller than the vast immigration dockets of other circuits like the Ninth (California/Arizona), Second (New York), or Fifth (Texas). Because of this, we think your clinic would be in a unique position to influence the law of the circuit where it is located. No law school program could hope to meaningfully track all of the immigration cases brought in the Ninth Circuit, for example, but we do think the collaborative approach you are taking would give your clinic the scale needed to monitor all immigration appeals as they arise in the Eighth Circuit. We think this would position you to have significant impact, and to litigate effectively during the implementation of anticipated immigration legislation.

Finally, as noted, we are very familiar with the outstanding work of your partners, including the Advocates for Human Rights, Mid-Minnesota Legal Assistance, and the Immigrant Law Center of Minnesota (ILCM). Attorneys from all three organizations are active AILA members. With respect to federal litigation, ILCM's litigation director, Ben Casper, is the Eighth Circuit representative to AILA's *amicus curiae* committee and he serves as the committee's point person for national asylum issues. ILCM's work in the Eighth Circuit and other federal courts, as well as its leadership within AILA on litigation matters, should provide a strong foundation for the clinic. We do hope to see the impact

of this work multiplied with the resources you are seeking, and to collaborate with your clinic in the coming years.

Sincerely,



Laura Lichter, AILA President



Crystal Williams, AILA Executive Director

Appendix III

StarTribune

# Immigrants become key to state growth and prosperity

Article by: DAVID PETERSON
Star Tribune
December 6, 2012 - 11:22 PM



Edinah Ogembo, right, w ho came to the United States from Kenya and has lived in the Tw in Cities five years, drives through Edina to her job as an aide at Legacy Care Home in Minnetonka. Here she helped resident Ada Anderson to her room.

David Joles, Star Tribune

Each morning at sunrise, Edinah passes through Edina on her way to work.

The Burnsville resident couldn't have imagined back in Kenya that a town that almost shares her name would become a daily sight -- or that her buddy Doris, whom she knew back in Africa, would be working next door. But it's an apt illustration of a state undergoing a subtle but profound shift in its relationship with its growing immigrant population.

With more native-born residents leaving the state, Minnesota's growth and prosperity depend increasingly upon its unusually strong flow of foreigners, according to a series of new analyses and data, the most recent of which arrived on Thursday.

As North Dakota and South Dakota experience jumps in population, Minnesota's once enviable position as a population magnet among Frost Belt states is fading. But in immigration, it towers over the rest of the Upper Midwest, with almost as many foreigners arriving as all the neighboring states combined.

Among facts to emerge this week:

• In the first part of this decade, the state lost an average of 4,037 people each year to migration, but gained an average of 5,940 international migrants each year.

• Sixty-five of Minnesota's 87 counties are losing residents to other places, including such once robust but now aging population growth centers as Dakota and Anoka counties. Almost all of the counties are getting some new blood through immigration, though that is fully offsetting losses in only three of those counties.

• In the Twin Cities, immigrants are flowing to many more places. Minneapolis is flat-lining, and being equaled or surpassed by more and more suburbs -- including, for the first time, big middle- and upper-income suburbs in the second and third rings such as Eden Prairie and Shakopee.

Minneapolis went from having the highest concentration of immigrants of any city of any size in the metro area in 2000, at about 15 percent, to being trailed by several in this week's data, which covers a five-year period ending in 2011: Brooklyn Center, Brooklyn Park, Columbia Heights, St. Paul, Hopkins, Eden Prairie and Shakopee. Eden Prairie jumped from 9 percent immigrant to 16 percent, Shakopee from 5 to 16 percent, while Minneapolis edged from 14.5 to 15.7 percent.

Edinah Ogembo, five months pregnant in Burnsville, and Doris Momanyi, with a daughter in Hopkins, are part of a massive substitution in suburban school systems. Tens of thousands of native-born suburban Minnesotans have aged out of the K-12 system and immigrant children have taken their place, the state's latest figures show.




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UNIVERSITY OF MINNESOTA

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February 11, 2013

Thomas M. Crosby, Jr., Chair & Treasurer
Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

RE: Robina Research Chairs

Dear Tom:

I write to update you on the status of the two Robina Research Chairs in Law, Public Policy, and Society. In our original June 2008 proposal, we had suggested that the Robina Foundation provide $3 million in endowment funding to support two new chairs (one in international law and human rights, held by John Borrows, and the other in law, science, and technology, for which the search is still in process). At that time, the Foundation indicated it preferred to provide funds that would be spent currently rather than put into an endowment, so the arrangement eventually agreed upon was that the Foundation would fund the full anticipated cost of the chairs for five years; during that period, the Law School would seek other donors to provide $1.5 million for each chair, amounts that (together with matching amounts from the University), would serve to endow the chairs.

Unfortunately, although we did find a match for a separate, Robina-funded clinical chair, we have not yet found donors willing to provide matching funds for the two research chairs. Accordingly, we would like to use the matching funds from the University to endow both chairs at a $1.5 million level each, while we continue to seek donors to build the endowments to their originally anticipated $3 million value. By way of comparison, a regular chair at the University now costs $2 million to endow; a professorship costs $1 million to endow. However, chair endowment levels range widely (quite a few Law School chairs were endowed in the past for as little as $250,000). The level of endowment does not affect our ability to recruit for a particular chair, though it does affect how much of the cost of a chaired faculty member's salary and benefits must be supported by the Law School's operating budget as opposed to the chair endowment.

Please let me know if this approach would be satisfactory to the Board. I would, of course, be happy to discuss this with you and other Board members if that would be helpful.

Sincerely,

David Wippman
Dean and William S. Pattee Professor of Law