



[Robina Foundation](#)

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ROBINA FOUNDATION

Listening Tour Book

ROBINA FOUNDATION GRANTS AND GRANT REQUESTS

June 30, 2015

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid - Mo/Yr	SCHEDULED PAYMENTS/REPORTS • Narrative report due every six months • Narrative and Financial report due annually
Abbott Northwestern		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
Abbott Northwestern	7/2008 \$5,995,070/3 years	Project: Care Guides in the Primary Care Office	Approved \$6 million/3 years – 8/08	\$1,253,535 pd 09/2008 \$2,373,233 pd 12/2009 \$2,373,232 pd 12/2010	Paid in Full
Abbott Northwestern	8/2011 \$9,666,454/3 years	LifeCourse (formerly called Late Life Supportive Care) Additional Funding (Phase I)	Approved \$9,666,454/3 years – 11/11 \$1,270,000 – 11/13	\$2,356,696 pd 02/2012 \$4,245,492 pd 02/2013 \$4,334,266 pd 02/2014	Paid in Full
Abbott Northwestern	3/2014 \$3,990,000/1 year	LifeCourse (Transition Phase)	Approved \$3,990,000/1 year – 3/14	\$3,990,000 pd 02/2015	Paid in Full
ArtPlace Initiative (In conjunction with NEA/ Rocco Landesman)	2/23/11 \$500,000 One Time	Revitalizing Communities through Arts and Culture	Approved \$500,000/One Time – 3/11	\$500,000 pd 07/2011	Paid in Full
Aspen Institute: Justice and Society Program	3/2009 \$130,575/One Time	Hold a Judicial Seminar on “International Human Rights and Humanitarian Laws: Their Application in National Jurisprudence”	Approved \$130,575/One Time – 5/09	\$130,575 pd 06/2009	Paid in Full
The Center for Victims of Torture	8/2008 \$25,000/One Time	In Recognition of Edson W. Spencer’s contribution as Board Member	Approved \$25,000/One Time – 8/08	\$25,000 pd 08/2008 \$1,000 pd 04/2012	Paid in Full
Council on Foreign Relations		Planning Grant 2006	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Council on Foreign Relations	1/14/07 \$10M/5 years	Project: (IIGG) International Institutions and Global Governance (Phase I)	Approved \$6 million/3 years – 1/08 \$2M/1 yr for 2011 – 5/10	\$2 million pd 02/2008 \$2 million pd 09/2009 \$2 million pd 09/2010 \$2 million pd 09/2011	Paid in Full
Council on Foreign Relations	08/2011 \$10,305,357/5 years	IIGG (Phase II)	Approved \$10,305,357/5 years – 8/11	\$2,046,627 pd 08/2012 \$2,034,671 pd 08/2013 \$2,034,971 pd 08/2014	2015 - \$2,074,424 (August) 2016 - \$2,114,664
Council on Foreign Relations	08/2011 \$15,000	Diversity Scan	Approved \$15,000 – 8/11	\$15K pd 09/2011	Paid in Full
Council on Foreign Relations	08/2011 \$696,555	Online Video Project	Approved \$696,555/2 years – 8/11	\$419,750 – pd 10/2011 \$276,805 – pd 06/2012	Paid in Full
Council on Foreign Relations	02/2012 \$1,274,248	Expanded Diversity Initiative in Foreign Policy	Approved \$1,274,248/3 years – 2/12 \$446,117/1 year – 8/14	\$377,034 – pd 03/2012 \$426,492 – pd 03/2013 \$470,722 – pd 03/2014 \$446,117 – pd 03/2015	
Council on Foreign Relations	08/2013 \$2,467,411/3 years	Expanded Diversity Initiative – Additional Activities + HIA Supplemental Request	Approved \$2,467,411 – 8/13 \$107,946 – 11/13	\$837,344 – pd 10/2013 \$858,278 – pd 10/2014	2015 - \$842,861 + \$36,874 = \$879,735 (October)

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid/Date	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
U of MN Law School		Planning Grants 2005, 2006	Approved \$75,000 – 2005 \$50,000 - 2006	\$75,000 pd 2005 \$50,000 pd 2006	Paid in Full
U of MN Law School	3/2008	Special request from Dean Wippman for faculty retention and other initiatives	Approved \$250,000 – 3/08	\$250,000 pd 04/2008	Paid in Full
U of MN Law School	10/2008 \$6,061,339 (revised amount exclusive of endowment support)	Project: Program on Law, Public Policy, and Society	Approved \$6,061,399/5 years – 11/08 \$2M/1 yr for 2011 – 5/10	\$1.4 million pd 12/2008 \$1,436,750 pd 09/2009 \$1,480,338 pd 09/2010 \$2,850,854 pd 09/2011 \$893,457 pd 09/2012	Paid in Full
U of MN Law School	02/23/11 \$7,503,427/5 years	Institute on Criminal Law & Justice (beginning 2012)	Approved \$7,503,427/5 years – 2/11	\$847,190 pd 02/2012 \$1,494,134 pd 02/2013 \$1,750,900 pd 02/2014 \$1,771,752 pd 02/2015	2016 - \$1,639,451 (February)
U of MN Law School	10/29/12 \$4,353,788/5 years	Sentencing Law Program Enhancements (first payment in 2013) (part of the CL&CJ Institute)	Approved \$4,353,788/5 years – 5/13	\$820,056 pd 07/2013 \$844,658 pd 07/2014	2015 - \$869,997 (July) 2016 - \$896,097 2017 - \$922,980
U of MN Law School	02/23/11 \$1,250,000/5 years	Support Scholarships at the Law School (beginning 2012)	Approved \$1,250,000/5 years - 2/11	\$250,000 pd 02/2012 \$250,000 pd 02/2013 \$250,000 pd 02/2014 \$250,000 pd 02/2015	2016 - \$250,000 (February)
U of MN Law School	04/10/12 \$3,501,623/5 years	Public Interest Scholars	Approved \$3,501,623/5 years – 5/12	\$379,800 pd 07/2012 \$694,544 pd 07/2013 \$809,355 pd 07/2014	2015 –\$813,736 (July) 2016 - \$804,188
U of MN Law School	04/30/13 \$4,469,510/4 years	Center for New Americans (first payment in 2013)	Approved \$4,469,510/4 years – 5/13	\$1,349,393 pd 07/2013 \$1,022,887 pd 08/2014	2015 - \$1,039,869 (August) 2016 - \$1,057,361
Yale University		Planning Grant	Approved \$50,000 - 2006	\$50,000 pd 2006	Paid in Full
Yale University		Tom Crosby Memorial	Approved \$200,000 – 11/13	\$200,000 pd 02/2014	Paid in Full
Yale School of Drama	11/15/07 \$2.2M/3 years	Program: Yale Center for New Theatre	Approved \$2.85million/3 years – 3/08 \$950K/1 yr for 2011– 5/10	\$750,000 pd 04/2008 \$750,000 pd 09/2009 \$1,350,000 pd 09/2010 \$950,000 pd 09/2011	Paid in Full
Yale School of Drama	08/2011 \$22,493,004	Binger Center for New Theatre Endowment	Approved \$18 million/2012	\$18,000,000 pd 06/2012	Paid in Full

ORGANIZATION	DATE OF REQUEST AMOUNT REQUESTED	PURPOSE	STATUS OF REQUEST Amount and Date of approval or declination	GRANT PAYMENTS Amount Paid/Date	SCHEDULED PAYMENTS/REPORTS • Narrative report due quarterly • Narrative and Financial report due annually
Yale Law School	5/14/08 \$3M/3 years	Human Rights Fellowship Initiative (Phase I)	Approved \$3 million/3 years – 5/08 \$1M/1 yr for 2011 – 5/10	\$1 million pd 06/2008 \$1 million pd 05/2009 \$1 million pd 06/2010 \$1 million pd 05/2011	Paid in Full
Yale Law School	5/2011 \$3M/3 years	Human Rights Fellowship Initiative (Phase II)	Approved \$3 million/3 years – 5/11 \$1 million/1 year – 8/14	\$1 million pd 05/2012 \$1 million pd 05/2013 \$1 million pd 05/2014 \$1 million pd 05/2015	Paid in Full
TOTALS				2005 - \$150,000 2006 - \$200,000 2007 – 0 2008 - \$6,678,535 2009 – 7,690,558 2010 - \$8,203,570 2011 - \$7,735,604 2012 - \$26,428,609 2013 - \$13,152,126 2014 - \$13,576,037 2015 – 7,457,869 Total - \$91,272,908	2015 - \$13,135,630 2016 - \$6,761,761 2017 - \$922,980 Total Commitments 2015 - 2017 - \$20,820,371

Penny

6:00 p.m. Dinner at the **Mission** in the IDS Center Crystal Court

Lodging: Susan Berresford, Peter Karoff, Steve Schroeder
The Minneapolis Club, Phone: 612-332-2292
729 2nd Avenue South
Minneapolis, MN 55402

TUESDAY, September 1

7:30 a.m.	Continental Breakfast at Faegre Baker Daniels
8:00 a.m.	Board of Directors' Meeting at Faegre Baker Daniels – see Agenda
5:30 p.m.	Transportation for Berresford, Karoff, Schroeder to Vincent's,
6:00 p.m.	Dinner at Vincent's Restaurant (1100 Nicollet Mall, 612-630-1189)
8:30/9:00 p.m.	Berresford, Karoff, Schroeder back to the Minneapolis Club
Lodging:	Berresford, Karoff, Schroeder at the Minneapolis Club

WEDNESDAY, September 2

7:30 a.m.	Continental Breakfast at Faegre Baker Daniels
8:00 a.m.	Board Meeting continued at Faegre Baker Daniels – see Agenda
Noon	Adjournment of Annual Meeting

Tuesday, September 1, 2015

TIME	Faegre Baker Daniels Office 2200 Wells Fargo Center, 90 South 7th Street, Minneapolis, MN 55402, Phone: 612-766-7089 (Go to 22nd floor and receptionist will direct you to the room.)	Tab#
7:30 a.m.	Continental Breakfast	
8:00 a.m.	Welcome and Call to Order – Blatz	
8:05 a.m.	Minutes from May 12, 2015 Board Meeting – Berresford – Action	1
8:10 a.m.	Executive Director’s Report - Hunt	2
8:20 a.m.	Foundation Finances • USbank: ➤ Guests: Jerry Anderson, Jon Gennaro, Ben Webster ➤ Investment Policy Statement - Action • Investment Consultant ➤ Guest: Mike Sullivan ➤ Quarterly Report (2nd Quarter 2015) ➤ Assets and Grants/Assets Detail	3 4
9:00 a.m.	Break	
9:20 a.m.	Reports Council on Foreign Relations: <i>IIGG Annual Report</i> University of Minnesota Law School: <i>Center for New Americans Annual Report</i> Yale School of Drama: <i>Binger Center for New Theatre Annual Report</i> Council on Foreign Relations: Evaluation of <i>Expanded Diversity Initiatives</i> • Humanity in Action: Funding Request – Possible Action	5 6 7 8
10:20 p.m.	Grantmaking Discussion	Separate Book
12 noon	Lunch	
12:45 p.m.	Continuation of Grantmaking Discussion	Separate Book
4:30 p.m.	Adjournment	

Robina Foundation Board of Directors' Annual Meeting
Wednesday, September 2, 2015

TIME	Faegre Baker Daniels Office 2200 Wells Fargo Center, 90 South 7 th Street, Minneapolis, MN 55402, Phone: 612-766-7089 (Go to 22 nd floor and receptionist will direct you to the room.)	Tab#
7:30 a.m.	Continental Breakfast	
8:00 a.m.	Welcome and Call to Order – Blatz	
8:05 a.m.	Continuation of Grantmaking Discussion – if needed	Separate Book
9:30 a.m.	Governance Discussion Robina Board of Directors • Board of Director's Job Description • Composition • Lead Directors Governance Action • Reelection of Board Member • Reelection of Officers • Conflict of Interest Policy/Board Member Disclosure Meeting Dates • 2015/2016/2017	9
10:00 a.m.	Other Business • Executive Session	10
12 Noon	Adjournment	

ROBINA FOUNDATION

TO: Robina Board of Directors
FROM: Penny Hunt
RE: Listening Tour Grant Discussion
Date: August 2015

This notebook is bulging with background material to stimulate an extended, robust discussion of Robina's future grantmaking. You've seen some of the material before, but some is new. Hopefully, seeing it all in one place will help the Board envision the future of Robina's grantmaking, identify goals, set priorities and discuss next steps.

A word about the organization of the material:

The first four tabs provide information related to each of the four Robina Grantees:

- A summary of the Board's debrief discussion;
- Material provided by the Robina Grantee for the Listening Tour meeting;
- In some cases, follow-up information from the grantee or, in the case of Allina, the Environmental Scan requested by the Board

The fifth tab includes financial information:

- A summary of funding options discussed with Robina Grantees;
- Bar Chart displaying Robina grants and commitments;
- Spreadsheet of Robina grants and commitments.

ROBINA FOUNDATION

November 2014

Guiding Principles for Robina Grantmaking

principle: a fundamental truth or proposition that serves as the foundation for a system of belief or behavior or for a chain of reasoning.

The Robina Foundation will:

- 1) work closely with Robina Grantees to hear their ideas and ensure a full partnership with them
- 2) fund programs that fill an important niche with the possibility of substantial achievement, with particular emphasis on impacting people's lives rather than producing abstract ideas
- 3) be willing to go through trial and error processes to get things right and be ready to persist despite criticism
- 4) seek to influence the larger environment in which programs operate and increase the chances of impact and sustainability through partnerships with other funders and substantial matching funds raised by Robina Grantees
- 5) invest in leadership of institutions and individuals
- 6) strive to establish a Robina legacy of impact in areas of need

Programs involving several Robina Grantees are desirable, but will not be required.

In addition to programs that address the Foundation's guiding principles, the Robina Board is interested in programs, whether joint or individual, that:

Advance human rights, justice, fairness and equality
Make U.S. diversity an asset, not a liability
Ease human suffering
Prepare the next generation of leaders
Foster artistic / cultural creativity

1

YALE UNIVERSITY

2

COUNCIL ON
FOREIGN RELATIONS

3

ABBOTT NORTHWESTERN
HOSPITAL/ALLINA

4

UNIVERSITY OF MINNESOTA
LAW SCHOOL

5

FINANCIAL INFORMATION

Yale University Listening Tour Debrief
December 16, 2014

Marianne
Steve L.
Susan

Pres. S's letter - no mention of YLS.
Blight - consider separately.

Yale Meetings

We met with the leaders of three programs that are top priorities of President Salovey: Global Initiatives at Yale School of Management, Yale Institute for Network Science, and Environmental Diversity at the School of Forestry and Environmental Studies. At our request we also met with Jim Silk and Dean Post from Yale Law School and Professor David Blight from the Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition. Provost Ben Polak joined us for lunch.

All of the participants received copies of Robina's Guiding Principles so that each discussion included participants' comments on how their programs reflect one or more of the principles we set forth. Although participants discussed their programs, they weren't pitching funding for specific activities, and we weren't focused on the specifics and details of a proposal.

Robina Participants at Yale and Kathleen de-briefed in a phone call. Following is a brief summary of participants' thoughts concerning the Board's consideration of future funding at Yale.

Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition

Several opportunities for modest Robina funding:

- Expansion of boot camps for high school and middle school teachers
- Support for Public History Group, which educates people from museums, parks, historic sites about slavery
- Leverage Yale's IT expertise to develop a website and internet materials to teach about slavery, past and present

\$1.2M payable over 4 yrs!

Yale Law School

- Interest in continuing program support for human rights programming, particularly summer program and support for recent graduates
- Perhaps consider matching funding for the COPE loan forgiveness program for graduates involved in human rights (~\$300K - \$400K per year) and/or annual support of programs currently supported by Robina provided other funders match Robina funding
- No interest in a wasting endowment

Consider separately?
To support at current level
Several scenarios: (\$1M) \$20M endowment

Yale School of Management

- Although the work of Global Network for Advanced Management is interesting and provides important cultural and business experience for participants, the initiative isn't a good fit for Robina
- Robina funding isn't needed (YSOM can raise funds from others)

Note: Material includes YLS' response to RF 7's. (\$1M over 5 yrs)

Yale Institute for Network Science

- Support sought for hiring of researchers and conducting research rather than supporting students
- Leaders are very dynamic, interesting and influential
- Although applications of work could be interesting, we shouldn't provide encouragement since Robina probably isn't interested in funding

* Addition of second school - US

School of Forestry and Environmental Science: Environmental Diversity Program

- Although issue is important, strategy proposed focusing on hiring of diverse faculty isn't creative
- Hiring of passionate young advocate is important, but initiative seems to be missing an overarching strategy
- Very early stage thinking

Core Prog. \$10+M
Core Prog. + \$20+M

New work - ~~Tab~~ after picnic sheet 2-3

Yale OFFICE OF THE PRESIDENT

PO Box 208229
New Haven CT 06520-8229
T 203 432-2550

August 7, 2015

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

Dear Kathleen,

It is a pleasure to convey my support for the three areas of opportunity that Yale University has put forth to the Robina Foundation: the Yale Institute for Network Science, diversity initiatives in the School of Forestry & Environmental Studies, and the Global Network for Advanced Management program at the School of Management. All of these endeavors—and the ideas that they embody—are among the university's foremost priorities, and I am grateful for this chance to provide insights on how they serve our educational mission and, by extension, the world.

Yale is guided by its commitment to scholarship in the cause of public service, and we feel an ever-greater urgency to pursue social and environmental justice on simultaneous fronts. In the enclosed materials you will find a unifying thread of innovation for impact, driven by the highest caliber of research and academic leadership. Each of the ideas described holds the potential to effect real-world and imminent, if not immediate, change. Each is a pragmatic response to complex problems in need of present-day solutions. And each holds demonstrated potential for practical, near term outcomes.

For example, the Yale Institute for Network Science is already fostering intensive, focused, and collaborative problem-solving for the common good: using insights into how networks of all kinds work to influence the human experience, its researchers are working closely with government and law enforcement officials along a spectrum of social justice and related issues to offer effective, practical responses. At the School of Forestry & Environmental Studies, enriched diversity programming will act quickly as a force multiplier in promoting environmental justice, giving voice to those most critically affected by mismanagement, economic disadvantage, and structural inequality. And the Global Network for Advanced Management illustrates the efficacy and tremendous benefit of extending the resources of the Yale School of Management to others around the world, achieving relevance and impact on a local and global scale.

As you explore the potential of these three significant opportunities, we hope that you might also consider expediting a request for funding for the Gilder-Lehrman Center for the Study of Slavery, Abolition, and Resistance. This highly regarded program, led by David Blight, the Class of 1954 Professor of American History, requires a smaller investment, but—as with the larger-scale ideas presented here—is a cornerstone of the university's efforts toward social justice.

Yale was the first American college to inscribe service to society into its founding legislation, a core value that continues to define the university's mission today. With your support, there is great potential both to reinforce and to expand on the success of the key initiatives presented in these pages—and to gain important knowledge of how to leverage similar approaches across disciplines. I deeply appreciate your consideration and look forward to hearing from you.

Sincerely,



Peter Salovey
President
Chris Argyris Professor of Psychology

Enclosures

PS:kh/mg

Cc: Penny, Hunt, Executive Director

The Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition, a part of the Whitney and Betty MacMillan Center for International and Area Studies at Yale, is dedicated to the investigation and dissemination of knowledge concerning all aspects of chattel slavery and its destruction.

About the Center

The Gilder Lehrman Center strives to make a vital contribution to the understanding of slavery and its role in the development of the modern world. While the Center's primary focus has been on scholarly research, it also seeks to bridge the divide between scholarship and public knowledge by opening channels of communication between the scholarly community and the wider public. In collaboration with secondary schools, museums, parks, historical societies, and other related institutions, the Center facilitates a locally rooted understanding of the global impact of slavery. To foster this understanding, the Center offers a variety of programs including:

- Annual International Conference
- Lectures, forums, and workshops
- Visiting residential research fellowships
- Frederick Douglass Book Prize, an award for the most outstanding book in English on the subject of slavery, resistance, or abolition across time and all nations.
- Professional development workshops for high school and middle school teachers
- Accessible online databases of historical documents
- Management of the *World Bibliography of Slavery and Abolition*
- Annual Working Group interdisciplinary forum that brings together selected scholars to investigate specific themes related to slavery
- Other collaborative efforts with local, statewide, national, and international institutions to promote public education about slavery and its destruction

Contact Information

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White paper prepared for the

Robina Foundation

Gilder Lehrman Center

February 2015

Yale

Gilder Lehrman Center

Program Proposals for the Robina Foundation

February 2015

Overview of the Center

The Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition is honored to have the opportunity to advance its conversation with the Robina Foundation about how we might best collaborate to ensure that all the world's citizens are afforded basic human rights. Dedicated to the investigation and dissemination of knowledge concerning all aspects of slavery, including contemporary forms of forced labor and human trafficking, we believe that the Center is ideally positioned to work with the Robina Foundation to promote our shared principles – the advancement of human rights, justice, fairness and equality and the alleviation of human suffering.

Since its founding at Yale University in 1998, the Center has sought to foster an improved understanding of the role of slavery, slave resistance, and abolition in the founding of the modern world by promoting interaction and exchange between scholars, teachers, and public historians through publications, educational outreach, and other programs and events. It is our belief that dialogue and engagement are vitally important not only in ensuring that future generations never forget the past horrors of slavery, but also in abolishing the inhumanity, inherent denigration, and discrimination that still exist for those in captivity today. Outlined below are the areas in which the Center is poised to make the most timely and effective impact by educating and training the next generation of leaders to fight against injustice and by sharing their knowledge with the broadest populations possible.

Program Proposals for the Robina Foundation

1) **Teacher Education:** Continued expansion of our teacher education and outreach projects, including workshops for teachers in South Africa, Rwanda, and the U.S. focused on slavery, race, and genocide, conducted over a three-year period. We have devised this plan with very valuable assistance from Rachel Adams, the director of Yale's Africa Initiative Program, and with our own Tom Thurston.

- Three one-week teacher workshops, taking place one year apart, one in South Africa, one in Rwanda, and one in New Haven. Ten teachers from each location. We estimate that the budget for each will be about \$80,000 - \$85,000, with an additional \$100,000 needed over three years for travel and visa costs.

- Winter 2016 – South Africa

South Africa contacts

- Teach South Africa: high school teachers especially in more

disadvantaged schools

- Marianne Camerer (Yale World Fellow), to help recruit one or two private school teachers
- Sello Hatang, CEO of the Nelson Mandela Foundation which houses the Center for Memory in Johannesburg
- Dan Magaziner and Ian Shapiro

South Africa sites:

- Cape Town: Robben Island; District Six museum; Township tours
- Johannesburg: The apartheid museum; The Constitutional Court; Hector Pietersen Museum; city walking tours; Freedom Park in Pretoria; Voortrekker Monument in Pretoria

○ Winter 2017 – Rwanda

Rwanda Contacts

- Bridge to Rwanda: Places students in US, connect with teachers
- Claire Akamanzi, CEO of the Rwanda Development Bank
- Yale Fellows in Rwanda
- Roger C Webb (Kigali), American Embassy in Rwanda
- David Simon, University of Rwanda

Rwanda sites:

- Kigali Genocide Memorial Center
- Kigali City Tour

○ Winter 2018 – New Haven

- Annual program of teacher outreach and workshops in New Haven area
 - Monthly workshops for primary and secondary school teachers
 - Expert faculty from Yale and other universities lecture and lead discussions about slavery, race, and movements for social change
 - Develop curriculum and lessons for primary and secondary school students employing primary sources and the latest scholarship
- Hire a half-time outreach and education coordinator (about \$40,000/year for four years)

2) **The annual Yale/GLC Public History Institute:** for the last three summers in New Haven, we invite public history professionals (staff at historic sites, museums, libraries) and graduate students to study slavery and African American history and its interpretation for the broader public through cultural institutions with Yale faculty and preeminent public historians.

- Co-Sponsored by the Smithsonian National Museum of African American History and Culture
- Costs roughly \$33,000/year if participants pay their own travel (16 cultural institutional professionals, 3 NMAAHC, 5 graduate students)

- Can be scaled up to include more graduate students and institutions – perhaps 20 public historians

3) **Expanding our current efforts in the study of modern day slavery and human trafficking:**

We currently offer one annual full-year teaching fellowship in modern day slavery and human trafficking (one of the very few in the world), run programs, and partner with institutions and organizations to bring academic rigor to the study of forced labor and sex trafficking.

- Current fellowship: \$72,270 (\$55,000/year salary + \$17,270/31.4% fringe in FY16), so additional fellowships at this rate.
 - Rotating topic – forced labor or sex trafficking or law and politics or history
 - One artist/author annually
 - Second fellowship for a practitioner, so one academic and one NGO
- Academic/disciplinary working groups designed to forge new lines of inquiry to address deficiencies in research and scholarship
 - Topical, mixing scholars of various disciplines with practitioners
 - Collaborate with NGO professionals to discuss how scholarship can support and drive policy, help combat exploitation, and aid victims

4) **New GLC Media-Communications Projects:** Producing, recording, and disseminating of our academic and public programs for teachers, public historians, scholars, and a world-wide general public on a much greater scale. The work we do at the GLC (conferences, fellowships, books, and outreach) features the highest levels of scholarship by an international array of people. Our subject – slavery, its abolition, and their legacies across all time and all borders – is in essence the backstory to America's (and much of the world's) unresolved struggle over race. We need to get our stories to wider audiences in all the new mediums outside of Yale. The body of our work and our creations remain somewhat inert within the academy. We build our own archive of a sort but it does not disseminate as widely as it could. These new media can include web sites; podcasts of lectures, panels and conference talks; interactive blogs; short original films (including possible animation); taped interviews with previous Douglass Book Prize winners; and even the possibility of an interactive children's book series. Such a new initiative will require hiring at least a half-time media-communication advisor-consultant (at perhaps \$50,000 per year); at least one gathering per year in the first two years of the project for a group of some 6-8 of the very best electronic and film storytellers (at \$10,000 per meeting) to devise and create the actual plan and pieces of work. We can also complete and improve our new web site design. This new media initiative also allows us to expand the nature and scope of the topics we address, including into more modern and current day race relations in America and ethnic-religious-cultural conflict across the world. The aim will be two-fold: one, to disseminate our creative and scholarly work much more broadly by electronic means; and two, to make the GLC the physical, intellectual, and electronic media site where this story is best told not only in any university, but anywhere in the world.

Yale has recently secured funding for digital humanities initiatives including an expanded, dedicated Digital Humanities Laboratory in Sterling Memorial Library. GLC Media and Communications projects will benefit from these resources and push forward this university priority, extending the reach and boundaries of digital-based learning and knowledge dissemination.

Budget Note

All of these programs, those that exist currently and those expanded and newly proposed, require additional staff time and resources. We estimate that, over four years, the cost of the programs described above would come to approximately \$1.2 million. These costs would consist primarily of personnel (honoraria, consulting fees, and administrative salaries), travel, fellowships, and production expenses.

Yale University

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Study of Slavery, Resistance, and Abolition
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New Haven, Connecticut 06520-8206*

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THE GILDER LEHRMAN CENTER – UPDATE, AUGUST 2015

This summer at the Gilder Lehrman Center for the Study of Slavery, Resistance, and Abolition has been extremely busy. The tragedy in Charleston sparked renewed debate about Civil War memory and Confederate symbols. The Center's Director, David Blight, published an article in the online edition of *The Atlantic*, entitled Clementa Pinckney, a Martyr of Reconciliation, and was interviewed for numerous publications in the aftermath of the shooting, including NPR, the BBC, and several foreign newspapers. He also spoke to 300 federal judges and lawyers about the history of the Reconstruction Constitutional Amendments at the D.C. Circuit Judicial Conference on June 25th in Philadelphia.

Seminar on Slave Narratives

Much of the summer has been dedicated to outreach to teachers, students, college professors, and public history professionals. For four days in June, David Blight conducted a seminar on Slave Narratives for small-college professors, organized by the Gilder Lehrman Institute and the Council of Independent Colleges. The participants spent their time in New Haven discussing the works of Harriet Jacobs, Frederick Douglass, and others with an eye to integrating these materials in their courses at colleges across the country.

K-12 Outreach: Exploring Justice

From July 13 to 17, the Gilder Lehrman Center hosted and sponsored the final installment of its yearlong workshop on Social Justice Movements for local high school teachers and students. New Haven teachers and students spent a week "Exploring Justice" through presentations from local non-profits working on issues such as prisoner and immigrant rights, as well as field trips to the New Haven Courthouse, police station, and jail, and to local community centers. The week proved rewarding for the students, many of whom plan to complete community service independent study projects for high school credit next year. Organized by Center Education Director Tom Thurston, and with the consultation and collaboration of the Jerome N. Frank Legal Service Organization at Yale Law School, this is a program we plan to continue and expand.

Public History Institute

Most recently, from July 19-23, the Gilder Lehrman Center organized and hosted the fourth annual Yale Public History Institute. This seminar brought together graduate students, historians, and the staff of public history institutions — museums, historic sites, libraries — to explore and create ways to interpret slavery and African American history and culture

for the broader public. The design of the seminar offered opportunities for participants to network with one another, share professional experiences, deepen historical knowledge, and build skills to develop innovative and effective interpretive projects.

The Yale Public History Institute was the culmination of more than six months of planning. We received nearly fifty applications, finally selecting thirteen public history professionals (curators, educators, interpreters, archeologists, librarians, and directors) from National Parks Service sites, African American museums, state historical societies, historic houses and sites, history museums and research centers. They were joined by six graduate students from Yale and other institutions, and two curators from the soon-to-be opened Smithsonian National Museum of African American History and Culture, our partners in the Yale Public History Institute.

The Institute was directed by Richard Rabinowitz (American History Workshop and curator and advisor on more than 500 history exhibitions at museums, including the Tenement Museum and the New-York Historical Society's Slavery in New York). It consisted of daily sessions on historical content and interpretive issues led by Yale faculty members and pre-eminent public historians. This year's program featured presentations on the origins of New World slavery (Professor Robert Harms, Yale); slavery and the Civil War in American memory (Professor David Blight, Yale); the evidence of, and audience for, African American history (Christy Coleman, The American Civil War Center at Historic Tredegar); pitfalls of interpreting African American public history (Fath Davis Ruffins, Smithsonian National Museum of American History); and the Jim Crow and Civil Rights struggle and American memory (Professor Jonathan Holloway, Yale). Participants worked together over the course of the week to apply history and practical advice as they designed fictional exhibitions in small groups (one on slavery in Virginia at the time of the Revolutionary War; another on the Colfax Massacre; and another on Martin Luther King in Chicago in 1966).

Evaluations of the program are just now coming in, and they are uniformly positive. One graduate student described the Institute as "stimulating, enlightening, and engaging" and noted that she "learned more about the world of public history in these 5 days than I likely could have in an entire semester." One curator remarked "I don't think you can put a value on the sense of inspiration and excitement that you generated among all of the participants." For her, "the Public History Institute was one of the most rewarding experiences of my professional life." The Gilder Lehrman Center aims to inspire public history professionals, and this year's Public History Institute was again a resounding success.

We are extremely proud of this program, which extends what we do best to the broader public. We make a real impact outside of Yale working with those who present this history to the public every day. The Public History Institute is a natural extension of the Center's mission to explore innovative methods and resources used to advance the teaching of slavery and its legacies outside of the traditional classroom arena. This program truly does bridge the divide between scholarship and public knowledge by opening channels of communication between the scholarly community and the wider public.

2015-2016 Preview

The Gilder Lehrman Center will carry on this work of bringing scholarship and knowledge to the public in the fast-approaching new school year. Our new website will launch at the end of this month, and we have a full slate of programs planned and another cohort of leading scholars coming to New Haven as fellows (see attached list). We have scheduled two major public programs that are sure to draw large audiences. On September 21, the Center will host a panel entitled “Charleston and its Aftermath: History, Symbols, Policy” with David Blight, Jonathan Holloway, Glenda Gilmore, Vesla Weaver, Edward Ball, and Jelani Cobb. And, on March 31, 2016, Eric Foner, John Fabian Witt, Tomiko Brown-Nagin, and Amy Dru Stanley will join David Blight to discuss the 150th anniversary of the passage of the 14th Amendment. These topics remain extremely important in history and the present, and we will continue to bring informed, meaningful discussions with current, practical relevance to the broader public.

GLC Fellows 2015-16

VISITING FELLOWS (Full year)

Modern Day Slavery and Human Trafficking Fellow

Genevieve LeBaron

Vice-Chancellor's Fellow, Department of Politics, University of Sheffield

Co-Founder and Co-Editor of Beyond Trafficking and Slavery at openDemocracy.net

Primary Research Interests: Global labor exploitation and trafficking, slave labor in supply chains

Secondary Research Interests: Trafficking politics, policy and law

Project: "Understanding and Governing the Contemporary Global Business of Forced Labor."

Investigating and mapping the international business models of forced labor in cocoa and tea.

Proposed Class – Spring 2016: Forced Labor, Trafficking, and Slavery in Global Economy

VISITING FELLOWS (4 months)

Susanna Ashton

Professor of English, Clemson University

Appointment Dates: September 1, 2015 through December 31, 2015

Primary Research Interests: Slave narratives, American literature

Secondary Research Interests: Representations of slavery, the novel

Project: "*A Plausible Man: The Life of John Andrew Jackson*." A slave escaped from South Carolina, spends years in CT and elsewhere, and writes a memoir in 1862.

Marie Rodet

Senior Lecturer in the History of Africa, School of Oriental and African Studies (University of London)

Appointment Dates: February 1, 2016 through May 31, 2016

Primary Research Interests: Gender and migration history in Francophone West Africa

Secondary Research Interests: Slaver resistance and abolition in Africa; oral history and archival preservation.

Project: "'Our Ancestors Came because of Bu Kunta': Freedom and Belonging in Western Senegal (c. 1880-1940)." Ex-slave settlement communities in Mali, networks of migration, identity, and community formation.

VISITING FELLOWS (1 month)

Isabel Kalous

PhD Candidate, University of Passau

Appointment dates: September 1-30, 2015

Primary Research Interests: African American history, American Studies

Secondary Research Interests: American literature

Project: "African American Travel Writing in the 20th Century."

Sophie White

Associate Professor of American Studies, Africana Studies, History, University of Notre Dame

Appointment dates: September 1-30, 2015

Primary Research Interests: Race in French Atlantic and America, Colonial Louisiana

Secondary Research Interests: Material culture

Project: "Voices of the African Diaspora." An analysis of legal testimony given by slaves in French Atlantic and subjectivity in the French Empire.

Julie Holcomb

Assistant Professor, Baylor University

Primary Research Interests: Religion, slavery, and abolitionism; Quakers and antislavery

Secondary Research Interests: Museum Studies

Project: "No One Was More Faithful: George W. Taylor, Quakers, and Reform in the Nineteenth Century." Quaker-led boycotts of products made with slave labor, and Quaker relations with antislavery activism.

Michael Ferguson

Postdoctoral Fellow, School of Oriental and African Studies (University of London)

Appointment Dates: February 1-March 1, 2016

Primary Research Interests: African slavery, race in the Ottoman Empire and modern Turkey

Secondary Research Interests: Global African diaspora, Turkish nationalism

Project: "African Slavery in the Ottoman Empire: Abolition, Emancipation, and their Legacies in the port city of Izmir." A social and cultural history of enslaved and emancipated Africans and their descendants in Izmir, the main site where the Ottoman state, backed by their British partners in abolition, settled rescued emancipated Africans.

Sean Kelley

Associate Professor of History, Hartwick College

Appointment Dates: March 1-March 31, 2015

Primary Research Interests: Slavery in the Americas, US, Caribbean, Brazil

Secondary Research Interests: Early America

Project: "Guiney Men: American Merchants and the Trans-Atlantic Slave Trade, 1645-1865." American involvement in the Transatlantic slave trade.

Joshua Rothman

Professor of History and African American Studies, University of Alabama

Appointment dates: April 1-31, 2016

Primary Research Interests: Slavery, Southern history

Secondary Research Interests: History of Capitalism

Project: "The Ledger and the Chain: The Men Who Made America's Domestic Slave Trade into Big Business." A biography and business history of the most profitable and largest slave-trading firm in the US.

Background Information about the Robina Human Rights Fellowship Initiative at Yale Law School

February 2014

Yale Law School

The Robina Foundation Human Rights Fellowship Initiative

(<http://www.law.yale.edu/intellecтуallife/RobinaFellowship.htm>), established at Yale Law School in 2008, was designed to provide support for human rights leaders at all stages of their careers: from first-year law students; to recent law school graduates; to senior human rights scholars and practitioners. The unifying goal of the Robina Initiative is to foster and support a commitment to international human rights, by leveraging the robust international human rights community that already exists at the Law School. The Initiative supports four types of Robina scholarships and fellowships that are critical to the continued strength of the human rights program at the Yale Law School.

In May 2008, the Robina Foundation approved an initial grant of \$3M (\$1M per year) to launch the Human Rights Fellowship Initiative from FY2009 through FY2011. Subsequently, in spring 2010, the Foundation provided an unsolicited gift of \$1M gift to support the continuation of the Initiative in FY2012. Most recently, in Fall 2011, the Robina Foundation made a new grant to support the Initiative for an additional three years, from FY2013 through FY2015.

The Robina Initiative provides funding for the following activities:

- Robina Human Rights JD Scholarships (need-based financial aid for 10-15 students interested in careers in human rights); \$250,000 annually
- Summer Human Rights Fellowships (30-35); \$200,000 annually
- Robina Post-Graduate Fellowships (3); \$180,000 annually
- Robina Visiting Human Rights Fellowships (3-6); \$235,000 annually
- Fund for Human Rights Clinical Education Innovation; \$50,000 annually (fund to support student field missions for the Lowenstein International Human Rights Clinic)
- Robina Fellowship Coordinator; \$65,000 annually
- Clerical Support and Administrative Expenses; \$20,000 annually

Total: \$1,000,000 annually

ROBINA FOUNDATION

TO: Robina Board of Directors
FROM: Penny Hunt
RE: Information from Yale Law School
Date: August 5, 2015

Following is information provided by Tara Fitzpatrick in response to questions asked by Board Members at the May 2015 Board Meeting:

1. Current tuition at YLS: \$55,800 for 2015-16. Estimated total cost of attendance for next year (includes housing and board, insurance, etc.): \$78,326.

2. Average indebtedness of 2015 students at graduation (law school debt only): \$122,793, an increase of 5% over the average debt of 2014 graduates. Seventy-two percent of JD students receive some form of financial aid from YLS; 59% receive scholarships (grant, not loan); the average scholarship award last year was \$22,824. All YLS financial aid is need-based. Total scholarship aid awarded by YLS last year, \$8.1 million.

3. Funding for post-graduate fellowships: YLS pays the full salary and health insurance amount (@\$60,000/year per fellow except when they are working for a US gov't agency, when it's slightly more—hence our request for \$199,000 for the 3 post-grad fellows for next year). We typically transfer the funds to the organizations where the post-grads are working, which helps with benefits and other payroll-related issues at these organizations, but YLS is providing the funding. They do not receive additional salary from these organizations.

4. Yes, we encourage all eligible students to apply for federal loans in addition to the funding YLS provides. See http://www.law.yale.edu/admissions/finaid_admits.htm and http://www.law.yale.edu/admissions/finaid_assessment.htm, then under student loans, federal direct loans. Unlike U. Minnesota, we are not experiencing any shortage of alumni seeking loan repayment assistance. In the last year, we provided \$4.3 million in loan repayment funding to 438 eligible recipients. For more detail, see http://www.law.yale.edu/admissions/finaid_repayment.htm.

LoSP
output

5. Two responses from Tara regarding how YLS thinks about the impact of the Robina Human Rights initiative:

(1) The short answer to the "impact" question is that we measure it in terms of the opportunities that the Robina Human Rights Initiative has provided to our students and alumni, and their confirmation—by both their career choices and direct responses to our queries—that their Robina-funded experiences have enabled them to do important work that they might not otherwise have been able to do. I think the really distinctive element of this program is the Robina Foundation's willingness to invest in people, and not just programs. That is not commonplace among foundations, and our alumni tell us it is having a transformative impact. But

this is probably an issue you and I should discuss and then we at YLS should come up with a way of more formally addressing.

(2) I think our best indicator of impact so far is the almost unanimous testimonials we get from students and alumni about how much these experiences have meant to them, even years after they've had them. Even those alums who are not currently working in human rights feel that their Robina fellowships have affected the way they see the world and pursue both their ideals and their careers (for instance, by doing lots of pro bono work). In that way, the impact is magnified beyond the specific field of human rights, and extended throughout the legal arena. That seems to us a pretty powerful impact, one that very few foundations could truly claim to have had.

(Note: in a follow-up conversation, Tara described how Yale plans to reach out to Robina-funded alumni and solicit their reflections about some of the significant human rights projects they are involved in. Information on this effort should be available at the November Robina Board Meeting.)

Human Rights Funding, Yale Law School

The Robina Foundation Human Rights Initiative has been supported by an expendable gift of \$1,000,000 annually since May 2008. The Robina Initiative provides comprehensive support for individuals working in human rights at all stages of their careers, from first-year law students to those pursuing post-graduate fellowships and visiting lectureships. The goal of the Robina Initiative is to foster and support a commitment to human rights and to develop a network of human rights advocates across the Law School and the broader Yale community.

There are also several endowed funds that provide income that supports the Law School's human rights program. The Schell Center for International Human Rights is supported by the Orville H. Schell, Jr. Center Endowment Fund (est. 1988), which had a market value of \$13,917,315 as of June 30, 2014. The Fund's annual income distribution in 2014-15 is \$658,538. The Schell Center's activities are also supported by the Vivien Wei-Ying U Fund for Human Rights (est. 1998), which had a market value of \$383,138 as of June 30, 2014. The Wei-Ying U Fund's annual income distribution in 2014-15 is \$18,129.

The Bernstein Fellowships in Human Rights are supported by two separate endowment funds. The Bernstein Post-Graduate Fellowships are funded by the Robert L. Bernstein Fellowship Endowment Fund (est. 2001), which had a market value of \$3,001,007 as of June 30, 2014. The Robert L. Bernstein Fund's annual income distribution in 2014-15 is \$142,001. The Bernstein Visiting Fellowship(s) are supported by the Tom and Andi Bernstein Fund for Human Rights (est. 2008), which had a market value of \$1,041,758 as of June 30, 2014. The Tom and Andi Bernstein Fund's annual income distribution in 2014-15 is \$49,294. This Fund's principal will continue to be added to over the next several years.

The Allard K. Lowenstein International Human Rights Clinic is supported by the Allard K. Lowenstein Endowment Fund (est. 1996), which had a market value of \$522,898 as of June 30, 2014. The fund's annual income distribution in 2014-15 is \$24,742. The Lowenstein Clinic's budget is supplemented by the Schell Center Endowment Fund.

Potential Robina Budget Scenarios

Revised July 2015

	Current Level of Support (7/1/2015-6/30/2016)	Budget Priorities, Annual Support at Current Level, 2016+	Endowment Equivalent	Budget Priorities with 75% of Current Annual Support	Endowment Equivalent	Budget Priorities with 50% of Current Annual Support	Endowment Equivalent
Robina Program for Human Rights							
Kirby Simon Summer Human Rights Fellowships, Supported by the Robina Foundation* (current level supports 25-30 students)	\$200,000	\$200,000	\$4,000,000	\$160,000	\$3,200,000	\$130,000	\$2,600,000
Robina Post-Graduate Fellows (current level supports 3 fellows)	\$200,000	\$200,000	\$4,000,000	\$200,000	\$4,000,000	\$180,000	\$3,600,000
Robina COAP Scholars**	\$150,000	\$300,000	\$6,000,000	\$250,000	\$5,000,000	\$150,000	\$3,000,000
Robina Visiting Human Rights Fellows (current level supports 2-6 visiting fellows)	\$150,000	\$150,000	\$3,000,000	\$35,000	\$700,000	\$0	\$0
Robina JD Scholarships (current level supports 5 scholarship recipients/year)	\$100,000	\$0	\$0	\$0	\$0	\$0	\$0
Fund for Human Rights Clinical Education and Field Missions	\$40,000	\$40,000	\$800,000	\$20,000	\$400,000	\$0	\$0
Administrative Support^ and Programming	\$90,000	\$90,000	\$1,800,000	\$75,000	\$1,500,000	\$40,000	\$800,000
Outreach (including Yale College Human Rights Program)	\$20,000	\$20,000	\$400,000	\$10,000	\$200,000	\$0	\$0
Human Rights and Arts Initiative***	\$50,000.00	\$0	\$0	\$0	\$0	\$0	\$0
Total	\$1,000,000	\$1,000,000	\$20,000,000	\$750,000	\$15,000,000	\$500,000	\$10,000,000
Endowment needed to sustain program at this level (assuming 5% annual income distribution)	\$20,000,000						

*Other possible titles: "Kirby Simon-Robina Summer Human Rights Fellowships" or "Robina-Kirby Simon Summer Human Rights Fellowships"

**Note that we now have other endowed funds adequate to cover JD Scholarship needs, while COAP, which provides assistance with student loan repayment for recent alumni working in low-paying human rights or public interest positions, is an increasingly pressing budgetary need and one that is so far largely not supported by gifts or grants. This would be a critical and signature element of the Robina Fellowship Initiative's investment in students and alumni who have demonstrated their commitment to careers in human rights and public service.

^Includes part-time Robina Initiative coordinator and 25% of Schell Center Executive Director

***This is a special program for 2015-16, not a continuing expense.

GLOBAL INITIATIVES FOR BUSINESSES AND SOCIETIES

Organized by the Yale School of Management (SOM) and launched in April 2012, the Global Network for Advanced Management (GNAM) fundamentally shifts how top business schools can prepare their students to become more effective leaders. Compared to business school partnerships focused on tuition-rich markets, e.g., Columbia Business School – London Business School, GNAM engages 27 member schools on five continents, including Fudan in China, INCAE in Costa Rica/Nicaragua, Koç in Turkey, and University College Dublin in Ireland. For a list of member schools, see www.advancedmanagement.net.

This spanning network can connect and develop top talent in a way that has not been accomplished before. In the past 28 months, GNAM has innovated with:

- i. Face-to-face programs – Global Network Weeks for Masters-level students and for faculty with specialized interests,
- ii. On-line, for-credit, project courses – Small Network On-Line Courses (SNOCs) requiring teamwork across cultures and time zones,
- iii. Global Network Events – case competitions and virtually-interactive lectures,
- iv. Global Network Cases – new cases to fill gaps in business school curricula, and
- v. SOM's Master of Advanced Management program (MAM) that extends the educational and professional development of students from GNAM member schools.

The Global Network operates on the principle of diffuse reciprocity – no funds change hands when, for example, the Indian Institute of Management Bangalore (IIMB) offers an on-line project course on new organization forms for students throughout the Network. IIMB will benefit later when their students attend IE (Madrid) or Yale during Global Network Week programs, or enroll in on-line courses offered by other Network schools.

Yale SOM, however, is the driving force behind GNAM, which now benefits a substantial fraction of the approximately 4,000 Masters-level students who graduate annually from member schools. Our globally-oriented Dean's Office, faculty, and staff guide the overall development of GNAM, provide its infrastructure, e.g., manage the website and its content, organize schedules for GNAM meetings, develop the major program components, and lead the case development efforts. Yale SOM also provides scholarships for students matriculating in the MAM program, which has proven to be a unifying component of GNAM. Students from, for example, University of Ghana and University of Indonesia, need full scholarships to attend.

Significant funding from the Robina Foundation will help SOM accelerate investment in GNAM and scale up its high-impact programs. These investments will enable deeper understanding of global issues for Yale SOM students, build out the technological infrastructure needed to strengthen the Network's activities, and provide funding for new course development. In addition, increasing scholarship support is a top priority for Yale SOM to attract talented students with great leadership potential to the Master of Advanced Management program, and in particular, provide support for students from developing countries. Robina Foundation support will thereby allow Yale SOM to further its mission of educating leaders for business and society.

White paper prepared for the

Robina Foundation

Transforming Global Management Education

Yale School of Management

February 2015

Yale



TRANSFORMING GLOBAL MANAGEMENT EDUCATION

BRIEF TO THE ROBINA FOUNDATION

Essential Background

Convened by the Yale School of Management (SOM) in April 2012, the Global Network for Advanced Management (GNAM) is recognized as a major strategic advance that overcomes fundamental limitations with prior efforts to globalize business schools and their programs. Individual business schools throughout the world, some 13,000 business schools in number, have struggled with how to globalize and how to meet the leadership challenges facing business and society going forward. The most common programmatic models have been (i) joint ventures to offer executive MBA programs, (ii) partnerships to facilitate student exchanges, and (iii) international study trips. These approaches are costly, are not holistic in terms of engaging all students and faculty as well as other school constituencies, and focus on a narrow set of countries – typically-tuition rich countries – and a small set of partner institutions, the “usual suspects.”

GNAM (www.advancedmanagement.net) represents a shift from these approaches, which to date have not engaged many important parts of the world. With a demonstrated record of low-cost, high-impact innovations, the Global Network has developed and implemented a set of compelling programs that are clear innovations for students and faculty. Global Network Weeks draw on the comparative advantages of member schools, provide choices to the hundreds of Masters-level students participating in the programs, and result in face-to-face global learning environments. The Small Network Online Courses (SNOCs) provide semester-long learning opportunities that feature project work by teams that span different schools. GNAM runs for the benefit of all member schools and on the principle of diffuse reciprocity, without significant bureaucracy.

Yale SOM convened the Global Network and launched its Master of Advanced Management (MAM) program, which draws top students to Yale from member schools to continue their educational and professional development. GNAM and MAM have had a major impact on Yale SOM, which is emerging as the most global US business school. By engaging others parts of Yale in GNAM's work, Yale SOM is able to pursue more effectively its mission to educate leaders for business and society.

Opportunities and Challenges

Since April 2012, more than 1,500 students have engaged in GNAM programs; more than 60 Global Network Week programs have been offered; seven Small Network Online Courses have been developed and taught, some more than once; and six case studies have been co-prepared among Global Network members. Feedback from participants includes:



Miriam Erez, Vice Dean of the MBA Program, Technion Israel Institute of Technology, on the Small Network Online Courses:

Global Network Courses provide an excellent opportunity for Global Network students to learn how to create an international team and how to integrate knowledge and different perspectives of team members from different cultures, leading to innovative solutions.

Wilbur L. Ross Jr. YC '59, CEO and chairman, WL Ross & Co., on the Global Network Case on the Bank of Ireland:

I was very impressed with the Bank of Ireland Case. This case, with the contributions of three schools in the Global Network, was far better prepared and far closer to real life.

Nicholas Barberis, Stephen and Camille Schramm Professor, Yale SOM, on his experience in teaching in a more globally diverse environment:

Discussions of behavioral finance topics like home bias and the over-confidence of CEOs during the Global Network Weeks were enriched by having a group of students that was even more diverse than in my regular MBA class.

The programs and results to date, while impressive, represent only a small fraction of what might be achieved with the Global Network. The highly successful Global Network Weeks have leveraged the *comparative advantages* of the various member schools, e.g., IE in Madrid offers a course on the European Union and Yale SOM offers a course on behavioral insights.

A huge and untapped opportunity exists in organizing similar programs around *common issues* to develop global capabilities and to build networks of student and faculty leaders who can organize further activities. New programs of this type could focus on issues such as sustainability, entrepreneurship, asset management, and healthcare.

In a similar vein, GNAM has not systematically brought together student leaders and faculty experts, either in person or using technology. Without investments to catalyze the development of the Network, we will not realize the potential from the expertise and energies that reside throughout the member schools.

A significant investment from the Robina Foundation will allow Yale SOM to build out GNAM's capabilities and its program offerings that will accelerate its impact not only on Yale SOM and the member schools, but also on management education and on business and society. The main uses of the support from the Robina Foundation will be to:

1. Develop an information infrastructure for the Global Network to support more innovation by individual schools, faculty, students, and alumni.



2. Develop programs that bring together student leaders and faculty experts as well as outside groups who are focused on particular issues and problems.
3. Support the engagement of students and faculty from member schools that lack resources to engage more fully in Global Network programs.
4. Regularly develop unique insights from member schools and their communities (students, faculty, staff, and alumni) on issues and topics relevant to business and society.

The Robina Foundation's support would be timely. Student expectations for GNAM are increasing as more students are choosing Yale SOM and other GNAM schools with the goal of connecting to top talent throughout the world. Current offerings of SNOG's, "raw" cases, and Global Network Weeks must increase to meet the growing demand. Through expanded programming, we can develop cadres of global leaders, who will in turn have an impact on society through their advanced leadership and global experience. In parallel, demand for the Master of Advanced Management (MAM) program has expanded quickly from 20 entering students in 2012 to 62 students in 2014. We are at a point where the financial burden to participate in this program, particularly for students from countries such as Ghana and Indonesia is daunting. To truly leverage the power of the Network we need enhanced support for students applying to the MAM program.

**\$11,000,000 in support over five years will allow
Yale SOM to achieve goals in three main areas:**

Activating, Developing, and Supporting Student Leaders

- **Student Summits:** To activate student leaders around major issues and challenges such as Entrepreneurship, Women in Management, or Sustainability, with support from the Robina Foundation we will convene a series of approximately four Student Summits at various member schools. Some of these Summits will be held in conjunction with the GNAM Deans' & Directors' meetings and provide a forum for students to report out to the GNAM leadership.
- **GNAM Student Travel Fund:** Some GNAM students, especially those from emerging countries, have limited financial means to take advantage of programs such as Global Network Weeks. A Travel Fund will provide stipends for students to participate in these experiential learning opportunities. The impact of the Travel Fund will be effectively measured by increased participation of students from a minimum of five schools (Lagos Business School, Pan-Atlantic University, *Nigeria*; University of Cape Town Graduate School of Business, *South Africa*; University of Ghana Business School, *Ghana*; Universitas Indonesia Faculty of Economics, *Indonesia*; and Asian Institute of Management, *The Philippines*).



- Robina Scholarships for the Master of Advanced Management (MAM) program: Substantial scholarships for the top students from GNAM schools will recognize this global talent and allow the “Robina Scholars” to further their academic and professional development as part of a diverse learning group at Yale.

Transforming Institutions

- Curriculum Fund: This fund will support faculty seeking to design and offer new SNOCs. Yale SOM will offer week-long workshops with the objective of taking course ideas and translating them into the SNOC format. A goal would be to develop up to ten new SNOCs per year as well as developing a community of faculty throughout the Global Network who are developing these critically important skills. Within five years, we expect that many member schools will have SNOCs offered as electives and that we will observe substantive increases in the importance of these electives (in terms of registrations) at member schools.
- Case Seminars: Virtual and in-person seminars will support GNAM faculty to effectively use the “raw” case model in the classroom and develop “raw” cases. The goal will be to increase substantially the current level of Global Network cases and their use.

Building Intellectual Capital

- GNAM Survey: Critical to transforming management education is better understanding the needs and the professional objectives of MBA students. Working with GNAM faculty and students, periodic surveys and assessments would measure students’ attitudes, interests and inclinations regarding pressing global issues and their abilities to navigate in this complex environment. The information and data would also provide effective ways of measuring the Global Network’s impact and ensuring we are meeting our goal of effectively educating global leaders.

**\$23,000,000 in support over five years would enable
Yale SOM to establish, in addition to programs above,
new signature programs:**

- Robina GNAM Case Competitions: A series of case competitions for Global Network schools on topics and issues that leverage the capabilities of the network. We anticipate that case teams will include students from the business schools and from other academic units at the home universities. Case competitions will be hosted by different Global Network schools.



- Robina Global Institute: Yale SOM would conduct systematic analysis of issues facing the global economy, as well as surveys of Global Network faculty and students to capture attitudes and trends that affect management education. The Robina Global Institute would effectively harness the collective knowledge and insights of the Network, and be able to establish comparative data year to year. Reports issued by the Robina Global Institute would be utilized by a range of sources from universities to multi-national businesses to the media, furthering the Network's impact. Through the Robina Global Institute we would expand global understanding beyond the Network and be in a position to influence policy makers and business leaders worldwide. The Robina Foundation would be acknowledged in reports and other outputs, which could also be named if appropriate.
- Information Infrastructure for GNAM: Yale SOM will build out an effective information infrastructure for GNAM to (i) allow student leaders to find their counterparts at other schools, (ii) allow faculty within GNAM as well as external parties to identify and contact faculty with common interests throughout the network, and (iii) support the deans and directors at member schools in their implementation of Global Network programs.

With Robina Foundation Investment
going beyond proof of concept

since April 2012

Over next 5 years

Students participating in GNWs

1,200

5,000

Students collaborating virtually through SNOCs

210

2,000

MAM students at Yale

120

320

Thought leaders connecting through Faculty GNWs

15

200

Global Network Cases jointly developed

6

Up to 50



Yale SCHOOL OF MANAGEMENT



Global Network for
Advanced Management



Addendum

Additional information for the Robina Foundation.

➤ **Yale SOM December PowerPoint Presentation:**

Yale SOM was pleased to participate in the Robina Foundation's "Listening Tour" that began at Yale in December. Here is a link to Yale SOM's PowerPoint presentation:

<https://yale.box.com/s/elukbz0uewohfqriyqfoty643z24mj6a>

Please note that the file is too large to send as an attachment, so we are using Yale Box to send the document. The presentation will need to be downloaded to play the videos that are embedded in the presentation. In addition, users will need to have the latest version of QuickTime Player to best view the videos. The password to open the document is:

Password: Robina

➤ **Global Network Cases:**

GNAM member schools are collaborating to create online "raw" case studies investigating global business problems. Please follow these links to explore the "raw" cases, and abstracts are below. Users will get an "access denied" message when they land on the website and will need to use the following username and password to view the cases:

Username: SOMcase

Password: Caseview@SOM10

San Miguel: Expanding the Amaranth Market

EGADE Business School, Tecnológico de Monterrey, and Yale School of Management

<http://nexus.som.yale.edu/amaranth>

WPP, Ford and Team Detroit - Marketing for Global Clients

Yale School of Management

<http://nexus.som.yale.edu/team-detroit>

Wilbur Ross and Bank of Ireland

UCD Michael Smurfit Graduate Business School, IE Business School, and Yale School of Management

<http://nexus.som.yale.edu/bank-ireland/>

The Battle for Endesa: Worth E.ON's Energy?

IE Business School and Yale School of Management

<http://nexus.som.yale.edu/endesa>

Golden Agri Resources and Sustainability

NUS Business School and Yale School of Management

<http://nexus.som.yale.edu/goldenagri/>

Walmart de México: Investing in Renewable Energy

EGADE Business School, Tecnológico de Monterrey, and Yale School of Management

<http://nexus.som.yale.edu/walmex/>



Global Network Cases – Abstracts

Case Title: San Miguel: Expanding the Amaranth Market

GNAM Schools: EGADE Business School, Tecnológico de Monterrey, and Yale SOM

Abstract:

Benito Manrique, his brother Diego, and Bruno Pagliai founded a small amaranth factory in the out-of-the-way Mexican village of Huixcazhdhá. Despite the plant's unschooled work force, the company had pioneered the processing of amaranth into a number of unique products. The company also had played a significant role in the development of the small community in which it was located.

The company's primary customer had been the governments of Mexican states that used San Miguel's products in their dietary programs. Amaranth has many nutritional properties. It was gluten free and high in protein, containing essential amino acids not present in other vegetative food sources. In spite of these qualities, the amaranth market had never really taken off.

San Miguel's leadership wanted to increase sales for their products. They admitted that they had concentrated on production and development in lieu of marketing and now wished to put together a coherent communications strategy. The company also wanted to revisit the mix of products and customers the company engaged to see if it could optimize the company's offerings and distribution channels.

Case Title: WPP, Ford and Team Detroit - Marketing for Global Clients

GNAM School: Yale School of Management

Abstract:

In 2006, WPP, the world's largest advertising holding company, merged personnel from five separate agencies to serve Ford, its largest client. "Team Detroit" represented a sharp departure from WPP's previous client relationships. Agencies within holding companies generally battled for accounts, facing each other in industry bakeoffs or managing separate marketing portfolios. "Hiving off" personnel from existing agencies to create a bespoke entity had rarely been tried.

While pulling together Team Detroit proved to be quite challenging, the new agency meshed well with Ford's streamlined marketing function. Team Detroit was able to produce extremely imaginative campaigns, introducing new groups to Ford products.

Ford then asked Team Detroit to co-ordinate all global marketing. WPP and Team Detroit created "Blue Hives," new bespoke agencies for global regions. By 2012 Ford's sales had increased and its global marketing was better coordinated. However, despite the success of Team Detroit, WPP was finding it difficult to create other bespoke agencies for its larger clients. What were the secrets to Team Detroit's success and could these elements be recreated elsewhere? Or were there drawbacks to this integrated model that limited the effectiveness of this organizational model?



Case Title: Wilbur Ross and Bank of Ireland

GNAM Schools: UCD Michael Smurfit Graduate Business School, IE Business School, and Yale SOM

Abstract:

In August 2011, Wilbur Ross, an American investor whose firm, WL Ross & Co LLC, specialized in distressed and bankrupt companies, was part of a group that raised \$1.6 billion to purchase 35% of Bank of Ireland. Even for Ross, known for his ability to find value in properties that other investors had shunned, investing in an Irish bank seemed risky.

Ireland had grown rapidly in the late 1990s and early 2000s, but had experienced a massive contraction beginning in 2008. Stabilizing the banks required a succession of government interventions and finally a bailout from the International Monetary Fund, the European Central Bank, and the European Commission.

In early 2013, Ross's investment seemed successful. But problems remained. Europe had not yet recovered from the financial crisis, and a number of peripheral countries in the euro zone continued to struggle. The Irish economy was recovering more slowly than had been expected. The press continued to deride the bank management, particularly CEO Richie Boucher. And the Irish government could always intervene in the Bank should public pressure over fees and profits increase.

Case Title: The Battle for Endesa: Worth E.ON's Energy?

GNAM Schools: IE Business School and Yale SOM

Abstract:

Wulf H. Bernotat, CEO of German energy giant E.ON, made an all cash offer for the Spanish Electric Company, Endesa, of €27.50 – nearly 30% higher than a bid from the Spanish company Gas Natural. E.ON's deep pockets and high bid forced the Spanish firm out of the contest for control of Endesa.

But Gas Natural's withdrawal did not mean the road for E.ON was clear. Acciona, a family-owned Spanish construction multinational with close ties to the government, announced that it had purchased 10 percent of Endesa shares in the open market. Days later, Acciona announced that it had purchased an additional 11 percent stake. Then Enel, an Italian energy company, announced that it was purchasing a ten percent stake in Endesa for €39 a share. Rumors that the Italian multinational would team up with Acciona to launch a joint bid rocked the market. A Spanish government spokesman in Madrid expressed support for a "Spanish-Italian solution."

Bernotat needed to decide E.ON's next move in response to Acciona and Enel's purchases. What could the German company do to salvage its takeover attempt?



Case Title: Golden Agri Resources and Sustainability

GNAM Schools: NUS Business School and Yale SOM

Abstract:

In the past few decades, palm oil production has increased more than nine-fold. By the 2000s, palm oil had become the most heavily traded edible oil in the world. The palm oil boom, however, concerned environmentalists. Palm oil plantations had been carved out of precious rainforest and peat land, resulting in the release of carbon into the atmosphere and the loss of habitat for rare rainforest species.

Golden Agri Resources (GAR) has been in the forefront of the palm oil boom in Indonesia. Owing to GAR's position as Indonesia's leading palm oil firm, the company was targeted by Greenpeace. Following the Greenpeace campaign, GAR and Greenpeace negotiated a set of guidelines that represented a new standard in sustainable palm oil production.

Both Greenpeace and GAR hoped that these new standards would diffuse through the industry. However existing groups such as the Roundtable for Sustainable Palm Oil (RSPO) and the Indonesian Sustainable Palm Oil (ISPO) seemed reluctant to embrace GAR's standards. How should GAR navigate through these competing sets of standards in terms of its own practices and influence the rest of the industry?

Case Title: Walmart de México: Investing in Renewable Energy

GNAM Schools: EGADE Business School, Tecnológico de Monterrey, and Yale SOM

Abstract:

Ranked as one of the world's leading retailers in the area of sustainability, Walmart de México had pledged to obtain 50% of its energy from renewable sources by 2015. The company had already invested in a wind farm in Oaxaca that would supply 18% of its energy needs and the company was also considering solar and mini-hydroelectric projects. What technologies should Walmart de México employ to achieve its renewable energy goals? Should the company hold a portfolio of projects or just concentrate on one technology?

Besides the appropriate mix of renewables, the company was considering how it might leverage its sterling credit rating to get renewable energy projects off the ground. For the EVM wind farm, Walmart de México's equity investment was minimal, but should the company take a larger equity position in further energy projects rather than simply serving as an off-taker?



UPDATE TO THE ROBINA FOUNDATION ON THE GLOBAL NETWORK FOR ADVANCED MANAGEMENT (GNAM)

PURPOSE, MISSION AND GUIDING PRINCIPLES

Marking the GNAM's third anniversary in a Global Network event last April, Fareed Zakaria '86 B.A. discussed the two dominant forces that continue to transform business and society: ¹globalization and ²technological advances. These forces integrate and disrupt, connect us yet more closely, and also make clear the stark differences in how various market-oriented economies work and the divergent roles of governments and other institutions in these economies. The Global Network member schools recognize that they must prepare leaders to operate effectively in an increasingly complex and connected world, and this is a priority of each member school.

The Global Network's progress in recent months underscores that we can overcome the rigidities inherent in management education. Ironically, because of its success over the last century, management education is a balkanized landscape of 13,000 business schools. When schools have tried to extend their programmatic reach, they have typically partnered with peer schools for limited purposes. GNAM is the first major effort to use a network to engage in a broad range of activities – teaching, project work, case development, student case competitions, distribution of research, and work with knowledge partners on major issues.

Recent progress also underscores the sensibility and effectiveness of this approach taken by the Yale School of Management's (SOM) Dean's Office. We lead the efforts to build GNAM's infrastructure but consciously step back to be "one of equals" in program when it comes to Global Network Weeks, the Small Network Online Courses (SNOCs), and the recently launched *Global Network Perspectives*, an online publication that amplifies the research of faculty members throughout the network. This non-hierarchical approach encourages innovation and is contributing to an increasingly vibrant enterprise. This approach is complemented by adherence to *four principles* discussed at the recent meeting of GNAM Deans and Directors.

1. *Comparative advantage*: schools will design and develop programs that leverage the comparative advantages of individual schools.
2. *Diffuse reciprocity*: the Network will minimize exchanges of funds and instead focus on the increases in gains that come from greater involvement.
3. *Network effects*: schools will work to activate nodes, e.g., student leaders and faculty experts, to increase the value of the Network in ways that are consistent with Metcalfe's Law – the number of relevant connections is proportional to n^2 , where n is the number of active nodes.
4. *Isotropy*: relationships among schools, faculty members, and students will be based on mutual respect.¹

¹ By contrast, in a hub-and-spoke model, relationships are not symmetric and network effects are linear, not exponential.



These principles are incorporated into the current revision of the GNAM mission statement (please see Appendix A).

Investment by the Robina Foundation will allow Yale SOM to continue the development of the infrastructure of the Global Network and, importantly, do so in ways that are consistent with the principles that Deans and Directors have embraced. The Robina Foundation's critical support will also allow GNAM to (i) develop global leaders, (ii) transform the member schools, and (iii) build new learning systems.

1. DEVELOPING GLOBAL LEADERS

The Global Network is impacting the trajectories of students at member schools. For example, Victor Padilla-Taylor (MAM '15) came to Yale SOM in fall 2014 as a member of the Master of Advanced Management class of 2015. While pursuing his MBA at Pontificia Universidad Católica de Chile, he took the "Natural Capital" Small Network Online Course. In his words:

In December of 2013, I was an MBA student from Pontificia Universidad Católica de Chile and had just received an invitation to join a group of international students in a pilot effort, an online course, which promised to raise our awareness on matters of sustainability and the environment. But, the call from Brad Gentry, Professor and Co-Director of the Yale Center for Business and the Environment, led us beyond this initial expectation into a rich and collaborative environment where we were challenged to explore new approaches to global issues and to connect with peers from other top business schools and executives from companies around the world that were in search for real solutions to these huge problems.

Through this course, I was also introduced to the Global Network for Advanced Management (GNAM), which ... shares the goal of educating the future leaders for a truly globalized planet, and the World Business Council for Sustainable Development (WBCSD), a CEO-led organization that lines up more than 200 forward-thinking companies, all of them committed to create a sustainable future for business, society and the environment. ... [T]his course was not an ordinary course, for ordinary business professionals, or for ordinary times. This was much more personal, close, intensive, collaborative, and transformational, a huge impact to our lives.

Accordingly, after my completion of the "Natural Capital" course in May of 2014, I decided to continue this journey of training, exploration and work in the midst of this thriving and highly-connected community by joining the Master of Advanced Management program at Yale SOM. I was a Research Student at the Center for Business and the Environment (CBEY), where I worked in developing specialized training for business leaders and in promoting entrepreneurial activities among students and faculty members of the Global Network.



While pursuing his MAM degree, Victor also served as a Teaching Assistant for the “Natural Capital” SNOC that brought him to Yale SOM, and studied new forms of contracts for innovation at Yale Law School in order to seize opportunities produced in the field. Having graduated from Yale and Católica, he secured a highly sought position in the Global Leadership Fellows Programme at the World Economic Forum, where he will engage industries to improve their supply chain operations.

2. TRANSFORMING INSTITUTIONS

The ongoing transformation of Yale SOM into the most distinctively global U.S. business school is striking. In the incoming class of full-time MBA students, 42 countries will be represented. These students were admitted from of an applicant pool that increased by 25.4%, trending higher for Yale SOM year-over-year as well as compared to many peer U.S. business schools. While U.S., China, and India are well-represented, the growth in the applicant pool lies elsewhere and represents exactly the kind of “flatter world” view that the Global Network represents. The Master of Advanced Management program will draw students from 20 member schools, further enriching the environment. Surprisingly, global programs have played a substantial role in the dramatic growth and improvement in quality of the MBA for Executives program, which for its first nine years averaged 21 students and now has an entering class of 63. We expect more than a third of them will take part in Global Network programs as they pursue their specializations in healthcare, sustainability, and asset management.²

The changes have huge potential to influence leadership development among this global community of students. At Yale SOM, we see a growing gap between our current team-building capabilities and what they need to be. Other schools see the same challenge and have responded with what we believe is a major innovation. For the first time in SOM’s history, our required first-year curriculum for the full-time MBAs will include project-work involving students from other member schools. More specifically, Yale MBAs will work with MBA students from HEC Paris (France) and EGADE (Mexico) on projects in our respective Operations classes.³ Based on experience to date, we know that this coursework involves *two* types of learning – the substantive knowledge (operations) as well as invaluable lessons in developing teams that span boundaries, time zones, technological platforms, institutions, and cultures.

Another subset of schools (not involving Yale SOM) are proceeding with an innovation of a similar vein. Sauder School of Business, Hitotsubashi University, Graduate School of International Corporate Strategy (ICS), and the Indian Institute of Management Bangalore (IIMB) are building upon GNAM collaborations to develop a Global Immersion program for their institutions that engages students in cross-institutional collaborative learning-by-doing projects.

Such advances come from the biannual meetings of Deans and Directors and the relationships they are building. Most recently, they met in Tokyo at Hitotsubashi ICS, and the next meeting will be

² Changes at other member schools may not be as dramatic but they are substantial. Now member schools such as Sauder and IIMB have decided to integrate the Executive MBA programs with other Global Network schools. Some schools are considering broad-scale adoption of SNOCs into their curricula. Increasingly schools are collaborating on non-degree programs.

³ The projects will launch in January 2016 and will be anchored on the Littlefield simulation. The projects will be part of each school’s core Operations Management course.



at IIMB in India. These meetings set the stage for other gatherings. For example, in July 2015 Yale SOM held a workshop to foster development of SNOCs, which was attended by representatives from Global Network schools including the Asian Institute of Management, ESMT European School of Management and Technology, FGV Escola de Administração de Empresas de São Paulo, Fudan University School of Management, Hitotsubashi ICS, Koç University Graduate School of Business, Lagos Business School, Pontificia Universidad Católica de Chile School of Business, and Sauder School of Business. Over the three days, 15 attendees learned from other faculty about their experiences with different models. They had hands-on opportunities with the technology to experience what it's like both as a student taking and a faculty member teaching the SNOCs. This powerful immersion encouraged faculty to pursue this teaching platform and gave them a forum to share their questions and ideas.

3. BUILDING LEARNING SYSTEMS

As a result of the workshop, faculty from Sauder School of Business are collaborating with Yale SOM faculty to develop a SNOC on the "100 Resilient Cities project," an initiative pioneered by the Rockefeller Foundation. The SNOC will first focus on New Orleans's resilience challenge: *From Hurricane Katrina to frequent "boil water" advisories, New Orleans has unique experience with major urban emergencies.* The Global Network potentially can analyze other designated cities throughout the globe that overlap with GNAM member schools. This work may gain synergies with Yale SOM's work (led by Senior Associate Dean Jeffrey Sonnenfeld) with the Yale Mayors College that brings together about 20 mayors from across the United States, from large, small, and mid-sized cities.

This example may prove that the learning system developed around the "Natural Capital" course is not a one-off outcome. That course has engaged two Yale professional schools, the World Business Council for Sustainable Development, students throughout the Global Network, and a host of companies engaged in environmental challenges. We now more clearly see the potential for GNAM to be an essential component in efforts to inquire deeply and effectively into big problems.

4. GOING FORWARD

Rather than resist globalization and technological change, GNAM embraces these forces and seeks to leverage them. The Global Network can be the most important innovation in management education in the next decade. The Deans and Directors, who forming a distinctive community, are challenging themselves more and more, asking, for example, at the April meeting, "Are we ambitious enough?" They also asked, "Can the Network envision the business school of the future and work more aggressively toward that?"

Yale SOM currently invests more than \$3.2 million annually in its global initiatives; more than 65% of these resources support curricular and programmatic activities that directly benefit and engage global students. Other Global Network schools are committing their own resources to offer the innovative Global Network Weeks, SNOCs, and faculty collaborations. It is encouraging that eight member schools are committing resources to the editorial team for *Global Network Perspectives*. To maintain and accelerate the progress, however, Yale SOM must continue to play



the central role in strengthening the technological infrastructure and in building relationships at multiple levels across the schools. We also need to broaden the range of programs, so that from the perspectives of faculty and students, GNAM becomes a source of deeper and more frequent learning.

The following specific steps will make a big difference:

- a. Bring student leaders together.
- b. Bring student leaders with particular areas of interest together.
- c. Leverage GNAM for a robust range of surveys and polls to gain insights on major issues and trends and to increase GNAM's visibility.
- d. Further develop a core of GNAM faculty with expertise in teaching in Global Network Week programs, SNOCs, etc.
- e. Invest in research collaborations across GNAM on major issues.
- f. Create a GNAM version of Airbnb for faculty to facilitate short-term visits at other Global Network schools.
- g. Engage other knowledge partners.

A significant commitment from the Robina Foundation would enable the Global Network to build out these critical areas. By investing in the most promising innovation in management education, the Robina Foundation would connect top talent around the world, develop global leaders, transform the member schools, and encourage the development of learning systems to address the biggest issues facing business and society from a global perspective.



Appendix A: GNAM Mission Statement

Draft as of July 2015

Mission

In a flat world where differences across countries, cultures, and organizations persist, the Global Network for Advanced Management represents the shift from “partnership” to “network.” GNAM schools are committed to collaboration and innovation, in both learning and research. We will advance global opportunities, develop new programs with unique experiential features, and position our students, faculty, alumni, and external partners to draw new insights into global management and the mega issues facing business and society.

Aspirations

The Global Network for Advanced Management will become recognized as:

1. an institutional innovation in global management- and leadership education;
2. an enabler of experimentation in teaching and learning;
3. a facilitator of distinctive opportunities for research and faculty collaboration;
4. a promoter of global alumni engagement;
5. a potent vehicle for connecting with organizations and thought leaders;
6. a consequential differentiator for each member school; and, quite simply,
7. the world’s preeminent business school network.

Operational Principles

Membership in GNAM is voluntary and non-exclusive, meaning that schools are not required to limit their global work to GNAM. On the other hand, GNAM schools will recognize that GNAM represents a powerful means of innovation and that the more the infrastructure is used, the stronger the Global Network becomes.

The programmatic agenda will be pursued bearing in mind the following four principles:

1. *Comparative advantage*: GNAM schools will design and develop programs that leverage the comparative advantages of individual schools.
2. *Diffuse reciprocity*: the Global Network will minimize exchanges of funds and instead focus on the increases in gains that come from greater involvement.
3. *Network effects*: schools will work to activate nodes, e.g., student leaders, faculty experts, to increase the value of the network in ways that are consistent with Metcalfe’s Law – the number of relevant connections is proportional to n^2 , where n is the number of active nodes.
4. *Isotropy*: relationships among GNAM schools, faculty members, and students will be based on mutual respect.⁴

⁴ By contrast, in a hub-and-spoke model, relationships are not symmetric and network effects are linear, not exponential.

**Appendix B: Recent Activities**GNAM PLANNING, DEVELOPMENT AND COLLABORATION

- At the seventh **Global Network Deans and Directors meeting** held at Hitotsubashi ICS (Japan) in April, representatives from 23 of the 27 Global Network schools discussed the Network's mission and aspirations, membership, and new ways to engage faculty and students. All founding members of the network confirmed their intentions to renew their memberships in the network. The member schools agreed on the advisability of adding a second school from the U.S., as well as schools from Australia, Russia or Eastern Europe. A survey of potential new topics for Global Network Weeks and Courses was discussed. Ideas were generated for building the GNAM community by facilitating more ways to connect students across the network to each other and more ways to allow faculty across the network to visit other schools in the network. The next meeting will be hosted by IIMB in Bangalore, India, November 16-17, 2015.
- Representatives from Asian Institute of Management, ESMT European School of Management and Technology, Fudan University School of Management, HEC Paris, IE Business School, INSEAD, Koç University Graduate School of Business, National University of Singapore Business School, UCD Michael Smurfit Graduate Business School, Universitas Indonesia Faculty of Economics, and Yale SOM attended the **second GNAM Executive Education meeting** hosted by NUS GSB in Singapore. Much of the conversation was on the topic of ways to share best practices among schools and ways to cooperate in the delivery of executive education programs. In addition, the group discussed developing a
 → ☐ GNAM Certificate of Excellence in Global Management. Yale SOM is drafting a proposal that will be circulated to schools for review before the next meeting in April 2016.
- As noted above, a **Global Network Week** for faculty was held at Yale SOM from July 13–15 focusing on developing and teaching Small Network Online Courses. This helped participating GNAM faculty translate traditional courses to this online model, and gave them the skills to implement new SNOCs that they can also share with their colleagues. Other GNAM faculty participated in a 20-hour, self-directed online workshop from June 29 - July 10 hosted by EGADE.
- **Global Network Perspectives**, a new online, ideas-based resource, launched this spring. It amplifies the expertise, research, and opinions of faculty and other contributors from throughout the Global Network. The content (<http://gnp.advancedmanagement.net/all>) is managed by an editorial team of eight member schools, currently including EGADE Business School, ESMT, HKUST, PUC-Chile, Sauder School of Business, UCD-Smurfit, the University of Cape Town Graduate School of Business, and Yale SOM.

CURRICULUM INNOVATIONS

- 18 GNAM schools plus the World Business Council for Sustainable Development (WBCSD) and nearly 650 students participated in the **5th Global Network Week** in March 2015, leveraging the comparative advantages of the host schools. This helps connect top talent



around the world and brings the total number of students who have participated in a Global Network Week to 1,810 since March 2013. The WBCSD is also thinking about ways to scale-up reach to the Global Network via on-line platforms.

- Seven **Small Network Online Courses** were taught in the 2014-2015 academic year, with more than 180 GNAM students participating, for a total of nearly 300 students who have taken a SNOC since 2013, preparing students to thrive in a competitive global marketplace.
- A **new case study** on PEMEX and Bioethanol in Mexico is being developed by EGADE Business School, Tecnológico de Monterrey and Yale SOM.
- EGADE Business School offered a **new SNOC** this spring: International Management and Organizational Structures. The following schools are considering offering SNOCs in the spring 2016 semester: Asian Institute of Management and UCD Michael Smurfit Graduate Business School. In addition, professors from FGV Escola de Administração de Empresas de São Paulo and Hitotsubashi ICS are interested in offering a SNOC in the near future.
- Yale SOM faculty are collaborating with faculty at University of Ghana to offer SOM's Global Social Enterprise (GSE) course next year. The GSE course grows out of the GSE Student Club, which is the only student-run organization at SOM that brings together students interested in social enterprise with opportunities to provide pro bono consulting services to organizations in developing countries. Two SOM MBA students are spending the summer at University of Ghana and helping build this partnership.
- As noted above, Sauder School of Business, Hitotsubashi ICS, and the IIMB are building upon GNAM collaborations and developing a Global Immersion program for their institutions that engages students in cross-institutional collaborative learning-by-doing projects.

STUDENT ENGAGEMENT & MAM ADMISSIONS:

- The 3rd Annual Yale School of Management **Integrated Leadership Case Competition** (ILCC) was held in April and seven out of the 15 teams participating were from Global Network schools. The team from Hong Kong University of Science and Technology Business School (China) won the competition. The ILCC was created to convene the best students from participating universities in developing creative solutions for business challenges that require the integration of multiple disciplines.
- To mark the third anniversary of the founding of the Global Network, Fareed Zakaria '86 B.A. spoke at Yale SOM on April 21st, as noted earlier. This event, along with numerous others this year, was open to the members of the Global Network for Advanced Management via livestream, fostering the Global Network community.



- Plans are underway for a **student competition in stock selection** hosted by the International Center for Finance (ICF) at Yale SOM. Student teams from GNAM schools will develop a portfolio of five investable stock selections from their school's home country market, accompanied by pitches of no more than 300 words for each of the selections. ICF will construct an equal-weighted portfolio using the stocks submitted for the prize competition. This portfolio will be compared to the FTSE All-World Index on a daily basis and available on a website, along with periodic portfolio analytics such as return attribution, factor exposure and the time-series of individual network school portfolio returns. Prizes will be awarded for the risk-adjusted performance over the benchmark.
- The **Master of Advanced Management class of 2016** will consist of 65 students representing 28 countries and 20 Global Network schools – the largest class in the history of the program. The inaugural class four years ago was comprised of 20 students representing 11 countries and 10 Global Network schools. Yale SOM worked closely with Global Network schools to identify and recruit top MBA graduates who aspire to become global leaders for business and society. The growing class size demonstrates the demand for this one-year program.



Appendix C: 2015-16 Global Network Weeks

October 19-23, 2015

- Asian Institute of Management** (Manila, Philippines) “Eco-tourism”
- EGADE Business School** (Santa Fe, Mexico) “Roadmap for Business Management in Latin America”
- Fudan University School of Management** (Shanghai, China) “Business Breakthrough in China’s Economic New Normal: The Evolving Chinese Business Culture in an Ever-changing Global Context”
- IE Business School** (Madrid, Spain) “Europe at a Crossroads: Coping with the Crisis and Deriving Implications for the World”
- Indian Institute of Management Bangalore** (Bangalore, India) “Entrepreneurship and Technology: The Indian Experience”
- Koç University** (Istanbul, Turkey) “From Local to Global: Concepts, Frameworks and Analytical Tools to Develop an Effective Global Strategy”
- Lagos Business School** (Lagos, Nigeria) “Selling Strategies for Consumer Markets: Perspectives from Africa’s Largest Economy”
- Pontificia Universidad Católica** (Santiago, Chile) “Leadership Challenges for a Complex World”
- Sauder School of Business UBC** (Vancouver, Canada) “Clean Energy and Green Infrastructure – Innovation at the Nexus of Politics and Society”
- UCD Smurfit** (Dublin, Ireland) “Executive Decision Making”
- Yale SOM** (New Haven, Connecticut, USA) “Behavioral Economics, Marketing and Finance”

March 14-18, 2016

- EGADE Business School** (Santa Fe, Mexico)
- FGV-EAESP** (Sao Paulo, Brazil)
- Fudan University School of Management** (Shanghai, China)
- Hitotsubashi ICS** (Tokyo, Japan)
- Hong Kong University of Science and Technology Business School (HKUST)** (Hong Kong, China)
- IE Business School** (Madrid, Spain)
- INCAE** (Alajuela, Costa Rica)
- Indian Institute of Management Bangalore** (Bangalore, India)
- Koç University** (Istanbul, Turkey)
- Pontificia Universidad Católica De Chile School of Business** (Santiago, Chile)
- Renmin University of China School of Business** (Beijing, China)
- Sauder School of Business UBC** (Vancouver, Canada)
- Seoul National University GSB** (Seoul, Korea)
- Technion-Israel Institute of Technology** (Haifa, Israel)
- Universitas Indonesia, Faculty of Economics** (Jakarta, Indonesia)
- University of Cape Town Graduate School of Business** (Cape Town, South Africa)
- University of Ghana Business School** (Accra, Ghana)
- Yale SOM** (New Haven, Connecticut, USA)



Appendix D: Global Network for Advanced Management – Member Schools

Asian Institute of Management (The Philippines)
EGADE Business School, Tecnológico de Monterrey (Mexico)
ESMT European School of Management and Technology (Germany)
FGV Escola de Administração de Empresas de São Paulo (Brazil)
Fudan University School of Management (China)
HEC Paris (France)
Hitotsubashi University, Graduate School of International Corporate Strategy (Japan)
Hong Kong University of Science and Technology Business School (China)
IE Business School (Spain)
IMD (Switzerland)
INCAE Business School (Costa Rica, Nicaragua)
Indian Institute of Management Bangalore (India)
INSEAD (France, Singapore)
Koç University Graduate School of Business (Turkey)
Lagos Business School, Pan-Atlantic University (Nigeria)
London School of Economics and Political Science, Department of Management (United Kingdom)
National University of Singapore Business School (Singapore)
Pontificia Universidad Católica De Chile School of Business (Chile)
Renmin University of China School of Business (China)
Sauder School of Business, University of British Columbia (Canada)
Seoul National University Business School (South Korea)
Technion-Israel Institute of Technology (Israel)
UCD Michael Smurfit Graduate Business School (Ireland)
University of Cape Town Graduate School of Business (South Africa)
University of Ghana Business School (Ghana)
Universitas Indonesia Faculty of Economics (Indonesia)
Yale School of Management (USA)

What is network science and why is it important?

Networks consist of objects and the connections between them. *Network Science* elucidates, predicts, and translates how networks give rise to interesting and useful properties. Such networks may encompass social connections among friends, commercial connections among businesses, wires connecting computers, biochemical reactions between proteins, or even bonds that join atoms.

Many of the most challenging problems facing today's scientists, doctors, entrepreneurs, and policymakers originate from interactions within complex systems. Power grids fail not just because of an individual power station, but because of how the whole system is assembled. Illness strikes not just because of problems with individual genes, but because of how our 19,000 genes interact with each other. Social problems arise not just because of how people think and act, but because of how individuals interact with each other, on small and vast scales.

In each case, network science seeks to understand the principles governing the underlying networks on a deep mathematical level. Further, these principles may be applied to catalyze widespread benefits in areas such as health, safety, and business (as summarized in the 2009 book, *Connected*). Indeed, understanding how people are embedded in social networks, and what is happening to the people around them, allows us to predict their risk of health outcomes as diverse as obesity and depression, and to forecast the course of epidemics of germs, ideas, or behaviors.

What is the Yale Institute for Network Science?

Yale is one of the few institutions in the country with the breadth of faculty devoted to network science and the institutional vision and capacity to bring them together within one institute. The Yale Institute for Network Science (YINS, <http://yins.yale.edu>) was launched in 2013 to pioneer and advance the field of network science, through interdisciplinary research initiatives and cutting edge applications to solve important social and health problems. YINS brings together more than 35 scholars from fields as diverse as engineering, mathematics, computer science, biology, neuroscience, sociology, economics, psychology, physics, management, public health, and medicine.

Recognizing the power of this nascent field, Yale recruited Nicholas Christakis who, together with Daniel Spielman, co-direct YINS. Dr. Christakis, the Sol Goldman Family Professor of Social and Natural Science is a physician and sociologist whose research focuses on human social networks. Dr. Spielman, the Henry Ford II Professor of Computer Science, Mathematics, and Applied Mathematics, is a theoretical computer scientist internationally recognized for connecting theoretical and applied computer science in intellectually and socially profound ways.

What might an investment from the Robina Foundation achieve?

YINS is currently well positioned to accelerate its research program and deploy its scientific findings to solve important social and health problems that will have a transformational impact. Our initial challenges would include: (1) accelerating health-related behavior change and innovation (e.g. to improve the survival of newborns in poor villages in Mesoamerica, or to stimulate physicians to adopt procedures that would save lives in the USA); (2) identifying likely victims and perpetrators of gun violence on a metropolitan scale, and devising actual interventions to reduce/prevent such violence; and (3) developing networked communication solutions to predict epidemic outbreaks.

Support from the Foundation would thus leave a lasting impression on the creation of the new field of network science, and give rise to new policies and solutions that improve public well-being, quality of life, and new technologies in ways never before conceived.

White paper prepared for the

Robina Foundation

Robina Foundation Program on Network Science for the Common Good

Yale Institute for Network Science

February 2015

Yale

**Robina Foundation Program on Network Science for the Common Good
Yale Institute for Network Science
for Consideration by the Robina Foundation Board**

Networks consist of objects and, notably, the connections between them. Such networks may encompass social connections among friends, commercial interactions between firms, telecommunications links between servers, neuronal pathways between cells, or even biochemical reactions between proteins.

Many of the most challenging problems facing today's scientists, doctors, entrepreneurs, and policymakers originate from interactions within complex systems. Power grids fail not just because of an individual power station, but because of how the whole system is assembled. Illness strikes not just because of problems with individual genes, but because of how our 19,000 genes interact with each other. Dementia arises not just because of inter-cellular processes, but because of how nerve cell connections are disrupted. Crime and poverty persist not just because of the actions of individuals, but because of the way inter-connected systems of people behave. People cooperate and are kind to each other not just because of who they are, but because of the structure and function of the networks in which they are embedded.

In particular, demanding social problems arise not just because of how people think and act, and not even because of simple interactions among pairs of individuals, but because of complex patterns of connections and interactions among individuals who are embedded in networks, on small and vast scales. Conversely, many social problems may be addressed by exploiting an understanding of networks to identify the most effective interventions.

Network Science seeks to understand the principles governing the underlying networks and the propagation of information and behaviors within them. Such an understanding may be applied to catalyze widespread benefits with respect to social problems in areas as diverse as health, safety, civics, and business.

The Yale Institute for Network Science (YINS) is tackling such complex problems. And our efforts are strongly aligned with several of the Robina Foundation principles, including our efforts directed at:

- (1) advancing fairness and equality (for example, by helping groups to be more cooperative)
- (2) reducing human suffering (especially problems related to health and crime), and
- (3) preparing the next generation of leaders

Yale Institute of Network Science

Yale is one of the few institutions in the country with a significant number of its faculty devoted to network science and with the institutional vision and capacity to bring them together within one institute. YINS (<http://yins.yale.edu>) was launched in 2013 to pioneer and advance the field of network science – through interdisciplinary research initiatives and cutting edge applications to solve important social and health problems.

YINS has three missions: (1) to facilitate interdisciplinary research on network science; (2) to teach and train undergraduates, graduate students, and postdoctoral fellows who will be the next generation of leaders in network science and its applications; and (3) to engage in outreach and to lead efforts to broaden and deepen the impact of network science on industry and government policy. As a consequence, YINS addresses a variety of pressing social problems, several examples of which are provided below.

YINS is co-directed by Nicholas Christakis and Daniel Spielman. Dr. Christakis, the Sol Goldman Family Professor of Social and Natural Science, is an internationally recognized physician and sociologist whose research focuses on human social networks and behavior genetics. Dr. Spielman, the Henry Ford II Professor of Computer Science, Mathematics, and Applied Mathematics, is internationally recognized for his design of algorithms for analyzing large networks and for developing the mathematics used to understand how algorithms behave.

YINS brings together more than 35 scholars (<http://yins.yale.edu/our-people>) from fields as diverse as engineering, mathematics, computer science, biology, neuroscience, sociology, economics, psychology, physics, management, public health, and medicine. The Institute provides a fertile environment (including a computational and data infrastructure) to support research in this area, and it occupies approximately 7,000 square feet of contiguous space, with room for nine residential faculty and related postdocs, students, and support staff.

The resident faculty, while belonging to various home departments, is housed in a common space. Resident faculty members represent many of the disciplines that study network phenomena, such as engineering, computer science, medicine, and sociology. Affiliated faculty members participate in the rich academic environment of YINS while maintaining offices in their home departments. In addition to its faculty, YINS includes programmers and other data scientists able to work with the faculty on grants and projects. The inter-disciplinary, collaborative environment enables investigators to draw on research teams with experience and expertise across a broad array of intellectual domains. Locating programmers and research assistants in close proximity to each other creates a center that is proficient in data analysis and research management.

Proposed New Programs

YINS is currently well positioned to accelerate its research program and deploy its scientific findings to solve important social and medical problems. Below, we sketch our objectives for the new programs that could be developed and carried out with Robina Foundation support. In the following section, we discuss levels of support that we envision would be needed for completing some or all of these proposed projects.

New Research Projects

There are many ongoing and nascent projects at YINS that align with the guiding principles of the Robina Foundation, particularly as they relate to easing human suffering, and advancing human rights, justice, fairness, and equality. These include:

- (1) Identifying likely victims and perpetrators of gun violence on a metropolitan scale, and devising actual interventions to reduce/prevent such violence.** Work by YINS researchers has recently uncovered that gun violence is severely concentrated within small social networks of highly vulnerable individuals, particularly those in high-crime communities and populations. For example, 85% of all fatal and non-fatal gunshot injuries in a Boston community occurred in an inter-connected social network of 763 individuals, that is, in less than 6% of the community's population. This is an entirely new way to see the risk of gun violence, based on who one is connected to, rather than where one lives, or who one is. Such a concentration of gun violence within social networks has important implications for understanding America's gun violence epidemic, and for doing something about it. YINS personnel have already begun to work with police departments and social service agencies around the country to deploy network methods in an effort to reduce murder rates in defined communities. The outcomes of

this project stand to have far-reaching effects on the disproportionate and pervasive problem of gun violence in the most at-risk communities across the United States.

(2) **Developing networked communication solutions to predict epidemic outbreaks.**

Infectious diseases like influenza present major challenges to the health and wellbeing of populations around the globe, affecting individuals from New York to Nairobi. Effective planning for these diseases – by health departments and non-governmental organizations alike – can significantly prevent and/or reduce illness, suffering, and mortality. To significantly reduce the data burden involved in conventional epidemic surveillance approaches used to discern whether the spread of a pathogen will reach epidemic levels, we propose to develop a free, open-source Short Message Service (SMS)-based survey tool. This novel technology will enable healthcare providers to predict epidemics before they reach their peak by using readily available mobile devices and by harnessing our understanding of the structure of human social networks. As such, this project holds the promise to provide healthcare professionals and policymakers with the knowledge necessary to marshal limited resources and manpower effectively to prevent the spread of disease on a large scale.

(3) **Developing an entirely novel approach to forecasting epidemics that uses people in different locations within networks as “sensors.”**

Traditional approaches to preparing for outbreaks and epidemics rely on analysis of reported data from healthcare facilities (when available) in the context of historical data on infection trends. These methods provide public health workers with only some ability to plan ahead, but without real-time predictive data, these workers are operating with a degree of uncertainty while lives hang in the balance. Specifically, building on prior research by YINS faculty, we aim to identify and track the health of individuals most central to social networks, who, for the purposes of tracking the spread of an epidemic, are more likely to show symptoms in advance of the overall network. We expect that tracking the health of such a “sensor network” will provide an early warning system for predicting when an epidemic is about to strike the wider population in which the sensors live, thus enabling public health workers to make informed decisions on how best to prevent and ease the burden of disease in the most vulnerable populations.

(4) **Developing statistical algorithms to make the best possible inferences from data collected in a network.**

Many serious public health challenges, from viruses like HIV to faulty beliefs about the consequences of high-risk behaviors, persist because of their circulation in so-called hidden networks, such as prostitutes and IV drug users. These networks are hard to reach with conventionally used interventions, which might otherwise prove beneficial. This problem is partially solved by using research volunteers to locate others like them to take part in the study (Respondent Driven Sampling), but this approach can lead to many problems related to validity and generalizability of research results. To reduce dependence on these biased approaches, YINS researchers seek to make better use of limited data through the development of improved mathematical methods and statistical algorithms. Ultimately, this project could provide better information for more effective intervention strategies for traditionally underserved at-risk populations.

(5) **Advancing understanding of the sharing economy.**

The sharing economy, or collaborative consumption, represents an economic model that promotes sharing, bartering, and/or renting resources and services. Popular contemporary examples exist for sharing living space (Airbnb), high-end consumer goods (Snapgoods), automobiles (RelayRides), and even pet care (DogVacay). This concept is attracting vibrant interest as the penetration of the Internet and social networking platforms enable novel schemes

of interaction and reshape consumer habits. At the same time, new societal priorities for sustainable and environmentally aware behavior are served effectively by such a model. With Robina support, we propose to create the Robina Innovation in Sharing Economy (RISE) program here at YINS with the objective of developing the methodology and the tools that will allow a quantification of the sharing economy concept and create a firm basis for its development. Issues of incentives, participatory schemes, trust monitoring and security, as well as risk management, are at the basis of sharing economy transactions and will be developed further towards facilitating the basic promise of the sharing economy that is "more-to-more in a sustainable manner." It is our hope that this project will help to promote collaboration, equality, and fairness across many sectors of the economy.

- (6) **Accelerating health-related behavior change and innovation to improve the survival of newborns in poor villages in Mesoamerica.** As one of the earliest projects undertaken at YINS, researchers seek to understand the role of face-to-face social networks in the uptake of, and attitudes towards, public health interventions in resource-poor settings of rural Honduras, and to develop scalable methods to effect population-level behavior change to improve public health using network science. With core support from the Gates Foundation, we have built infrastructure to study the deployment of network methods to improve public health in 160 villages in Western Honduras (with a population of roughly 100,000). With Robina Foundation support, we could invent, evaluate, and deploy new network targeting methods to identify structurally influential people in these villages in order to target them with diverse public health interventions in order to foster the spread of desirable practices in the villages, and change health behavior at scale. This project would bring network science methods to bear on some of the most pressing global problems related to public health, such as child mortality and vaccine adoption, aiming to improve health by optimizing the uptake and impact of public health interventions.
- (7) **Encouraging the use of latrines in rural India by using social network analysis to identify which people in a village to target for subsidies.** Poor sanitation is a persistent and costly problem in the developing world, directly related to the prevalence of many serious illnesses. Solutions often require behavior change at the individual level, but targeting individuals with public health messages has little impact while those individuals remain enmeshed in social groups that must act in concert to solve such problems. Our network-based approach to this problem will determine which subset of people will constitute a "critical mass" that will be effective for creating adequate uptake and inducing significant spread of the use of latrines, which will ultimately curb the spread of fecal and water-borne illnesses.

These projects are important locally, but they also have global implications. Knowledge gained from any one of these projects will have immediate relevance to problems everywhere because they are based on universal network principles. Since all these projects – while seemingly so disparate – rely on network science, and are applied to advancing the common good, they intersect and improve each other. Once developed, our ideas apply broadly; hence, our work in Honduras and India, if successful, can be applied in many other settings, including the USA. For example, if we are able to invent network targeting algorithms that lead to population-level behavior change, and show their applicability in developing world settings, the same algorithms could be deployed to improve vaccination behavior, seatbelt use, or recycling behavior in the USA, or to decrease school bullying, adolescent drug use, or local crime.

These seven projects support the Robina Foundation's guiding principles in a number of ways:

- (1) they fill an important niche in that they translate basic network science into solutions that directly impact people's lives;
- (2) together, they make up a program that invests in leadership in network science research, specifically in social solutions-focused network research;
- (3) they will be sustained through partnerships with other funders, such as the Bill & Melinda Gates Foundation (Project 6), The MacArthur Foundation (Project 1) and Yale itself, leveraging any funding we obtain from Robina to become part of a larger vision for transformative research at YINS.

In addition, consistent with Robina's values, these projects are targeted at easing human suffering and preparing the next generation of leaders in the field of network-based solutions to human problems.

Sketch of Support Needed and Financials

We believe that the impact, variety, and rigor of the foregoing projects is clear. One of YINS' strengths is the inter-disciplinary group of scholars who, despite coming from different areas and tackling different topics, engage deeply with each other. Support from the Foundation would thus leave a lasting impression on the creation of the new field of network science and give rise to new policies and solutions that improve public well-being, quality of life, and new technologies in ways never before conceived.

Below, we outline rough funding needs to accomplish the goals summarized above in three categories: (1) support for academic/research personnel time, (2) support for project administration and staffing, and (3) project-specific support. We present a range of projected expenses related to each category, depending on the number of projects to be undertaken.

Cost of Academic Personnel (\$3-5.5M)

We would welcome support to compensate faculty for their time on the research projects described above and for hiring new junior faculty to work on them as well. New hires would be limited to a number that would be sustainable after the completion of funding for these projects.

In addition, we would seek funds to support five Postdoctoral Associates (PDAs), each for two years over the coming years. These postdocs would be trained broadly within network science and would specialize in the research area of one faculty member. They would also help supervise students, offer courses on network science, and help conduct studies and interventions. Finally, we would use funds to support PhD students who would work, with faculty, in the sort of the cutting-edge programs listed above.

Importantly, support in this area would ensure rigorous academic training and professional development opportunities for a growing cadre of researchers who would be well equipped to become leaders in the emerging field of network science.

Project Administration and Staffing Support (\$1.5-2.5M)

YINS' current administrative infrastructure would need to be expanded in order to support broad initiatives such as those presented here. Personnel to launch and manage such projects do already exist at YINS, but they are deployed for specific projects, supported by other sponsors (such as the Gates Foundation, the Robert Wood Johnson Foundation, the National Science Foundation, and the National Institutes of Health). Robina Foundation support would enable

YINS to have a substantially greater impact on research at Yale and also to develop and extend applications of network science to more "real-world" problems.

Hence, we would welcome support, over five years, for the Deputy Director of YINS (Tom Keegan, PhD), Data Programmers (whose job it would be to help the above faculty, postdocs, and students collect and prepare data); Research Coordinators to assist the academic personnel carry out their aims (e.g., as part of the ARISE project mentioned above); and administrative and outreach staff (e.g., for media relations).

Project-Specific Expenses (\$5.5-12M)

The majority of funds from the Robina Foundation would be used to support the project-specific research activities described above, many of which are labor-intensive and in foreign locales. Project-specific expenses would include establishing and maintaining research operations to carry out interventions and data collection, contracting with local partners in the case of projects outside the US, research materials (such as tablets for social network data collection), and travel.

Project-specific support would cover payments to research participants and/or to data collection firms (e.g., survey firms). It would cover sub-awards to any collaborators outside of YINS deemed significantly beneficial to the success of the projects. For the RISE Sharing Economy Hub, support would cover expenses such those related to bringing together the various stakeholders (private companies, citizen groups, and state agencies), hosting meetings and conferences, and acquiring data related to the center's mission of creating a better understanding of these new key players in economic development.

Sketch of Scope of Work Relative to Financial Support

The table below presents an estimate of how many of the above projects could be carried out given different levels of support and how much time these different levels of engagement might be expected to take.

Level of Robina Financial Support

Total support	\$10M	\$20M
Timeline	4-5 years	6-8 years
Number of projects	3-4 (including 1, 2, and 6)	7 (all)
Academic personnel	\$3M	\$5.5M
Administration	\$1.5M	\$2.5M
Project Expenses	\$5.5M	\$12M

Robina Foundation Program on Network Science for the Common Good

Yale Institute for Network Science

Update July 2015

Addressing Social Problems Using Network Science

Troubling social problems arise not just because of how people think and act, and not even because of how they interact, but also because of the complex patterns of interactions and connections among individuals embedded in social networks, on small and vast scales.

Consequently, many societal problems may be addressed by exploiting an understanding of networks to identify the most effective solutions. Such efforts by the Yale Institute for Network Science (YINS) are strongly aligned with several of the Robina Foundation principles, including YINS efforts directed at:

- (1) Advancing fairness and equality (for example, by helping groups to become more cooperative or to share benefits more widely);
- (2) Easing human suffering (by enhancing health or reducing crime); and
- (3) Preparing the next generation of leaders.

Updates Regarding YINS Projects Since February 2015

Experimenting with Temporary, Small Societies

In the past six months, Nicholas Christakis' Human Nature Lab at YINS has made substantial progress in its versatile software platform ("Breadboard") that allows us to conduct experiments with people recruited from around the world to our online laboratory. We have recruited thousands of subjects to be members of temporary, small-scale, virtual societies, and then explored diverse empirical questions. Many of the resulting projects shed light on concerns of *social justice*. Topics we have explored include:

- (1) *Cooperation*: We explored the circumstances under which people are more likely to be nice to each other, and to cooperate, in a paper published in December of 2014 in *PNAS: Proceedings of the National Academy of Sciences* ("Static Network Structure Can Stabilize Human Cooperation"). This most recent paper builds on several years of related work (also described in papers published in *PNAS*) in which we have demonstrated that, using network science principles, it is possible to arrange a group of people in ways that result in more or less cooperative behavior benefiting the common good. We showed that a tendency toward cooperation is not solely an attribute of individuals, but also of groups. If one takes some people and arranges them in one sort of network, they work together to the group's overall benefit; but if one takes the same people and arranges them in a different way, they behave selfishly in a manner that results in fewer benefits for everyone in the group. (This work was featured in June 2015 in the widely viewed science program *Through the Wormhole with Morgan Freeman*.)
- (2) *Inequality*: We explored the causes and consequences of wealth inequality. In a project currently under review, we manipulated how equally wealth was distributed in our experimental societies, taking the same fixed amount of wealth and distributing it in different ways. In addition, we manipulated whether the wealth of one person was visible to others in his or her networks, or not. We found that making wealth visible,

- especially when it is unequally distributed, reduces overall social welfare – as measured by how cooperative people are, how much total wealth the group accumulates, and how inter-connected they choose to be.
- (3) *Coordination*: We completed recent experiments that show that we can strategically add autonomous, artificial, programmable agents known as “bots” to social systems composed of real people and, in so doing, make it easier for the people to coordinate their activities and work together, enhancing equality and reducing inter-personal “injury.” We are doing frontier research exploring how a distributed network that involves both real people and bots performs, and how interactions with programmed agents affects human behavior at scale. Can we take a group of people interacting online and seed the group with a few bots in such a fashion as to make everyone better off? Yes, we can.
 - (4) *Sharing*: We designed a new class of experiments for studying the ability of people to collaborate and share dormant resources in a fair and efficient fashion (an example of a “dormant resource” is the wifi network in your home when no one is there). Our goal is to explore what conditions render sharing beneficial (a “win-win” situation). We are considering a variety of scenarios – such as sharing renewable energy, food, internet bandwidth, or even sharing the risk in a production process (e.g., in farming). These experiments build on recently completed theoretical work at YINS that proved and quantified the benefits of simple sharing mechanisms over networks.

Large Scale Field Trials of Network Targeting in Honduras

Since February, the Christakis lab has published research related to our substantial ongoing project “Accelerating health-related behavior change and innovation to improve the survival of newborns in poor villages in Mesoamerica.” Our paper, published in *The Lancet* (D.A. Kim et al., “Social network targeting to maximise population behaviour change: a cluster randomised controlled trial,” *The Lancet*, Published online May 5, 2015), reported our first successful randomized controlled trial (RCT) of network targeting involving 4,000 people in 32 villages in Honduras, and demonstrated how network-based targeting strategies can identify structurally influential people and improve uptake and spread of public health practices throughout a community. With Gates Foundation support, we are now continuing this line of work in Honduras, discerning the networks within villages across 500 square kilometers of previously unmapped territory. When completed, we will have network maps and health data from 160 villages (~40,000 people).

Our overall mission here is to invent and evaluate methods of identifying structurally influential people within social networks so that we can effect change in behaviors for large groups of people by creating new, less costly tipping points. This work is relevant to easing human suffering in many contexts around the world – a Robina priority.

Using Network Science to Reduce Gun Violence and Violence-Related Trauma

Over the last six months, spearheaded by Professor of Sociology Andrew Papachristos’ lab, work in this area continues to expand along several fronts. This work is making both important scientific contributions as well as significant strides in bringing network science into the hands of violence prevention experts in their efforts to reduce gun violence victimization and trauma.

YINS affiliated faculty, post-docs, and research assistants working in the Papachristos group are nearing completion of three significant papers. One of the papers describes a project examining how gun violence follows network cascade patterns within networks of connected individuals—literally, how a victim’s associates are more likely to also become victims within short time periods. This paper, perhaps more than any other on the subject to date, demonstrates that patterns of gun violence victimization follow many of the same network

patterns of other public health epidemics and, as such, might also be amenable to networked interventions of the kinds being developed at YINS.

As an example, we recently completed an evaluation of the Chicago Group Violence Reduction Strategy, an effort that explicitly used network analysis to determine individuals and groups that would participate in the program. The results, which are forthcoming in *Criminology & Public Policy*, show a nearly 32% reduction in gunshot victimization among treatment groups as compared to a control group. The results of this evaluation have been presented to practitioners across the U.S. and the U.K. We are currently working with the U.S. Department of Justice to integrate this approach into violence prevention efforts in five other U.S. cities.

Finally, we are continuing our efforts to make network science available to “on-the-ground” professionals in the public service, public health, and criminal justice fields who deal with gun violence and trauma. Presently, we are completing a two-day “hands-on” conference, to be held at YINS in August/September of 2015, that provides violence prevention professionals with an introduction to network concepts as well as exposure to basic analytics and software. The conference, which is free of charge to attendees and funded by the U.S. Department of Justice “COPS” (Community Oriented Policing Services) office, will host representatives from ten U.S. cities at YINS. Participants will take away from the two-day event a basic understanding of network concepts and be given the beta-version of a piece of software developed for us for free release that will allow identification of at-risk individuals. The conference training materials will be converted into a set of free on-line podcasts and training modules to be distributed through the COPS office and the National Network for Safe Communities; training materials from prior years can be found at <http://www.papachristos.org/SNAtraining.html>

Theoretical Models and Practical Solutions for the Modern Sharing Economy

We have recently completed both theoretical and practical studies showing that humans embedded in a social or technological network can efficiently share their unused resources (this could include housing [AirBnB], cars [Lyft, Uber], bandwidth, or online bartering systems). YINS innovations will allow people to share resources better. In particular, Professor of Electrical Engineering Leandros Tassioulas’ group published the paper entitled “Exchange of Services in Networks: Competition, Cooperation, and Fairness” in ACM Sigmetrics, 2015, which proved that interconnected humans (e.g., neighbors, friends, etc.) can follow decentralized policies and achieve a fair and maximally beneficial allocation of their unused resources.

This fundamental result sets the foundation for the design of next-generation sharing mechanisms that are incentive-compatible, and hence workable, and that have provable performance. Moreover, we have proposed, in a number of recent papers, several network mechanisms and economic algorithms that allow sharing of resources in technological systems such as communication networks.

These solutions leverage recent technical advances and propose the collaboration among end-users (and potentially telecommunication companies as well) in order to increase use of scarce network resources. These solutions can yield huge economic benefits for the involved parties and, more importantly, are aligned with the new societal priorities for sustainable and environmentally aware consumption models.

Making the World Better and Advancing the Robina Legacy

Our mission is to advance and deploy cutting-edge network science in order to make the world better – more healthy, cooperative, innovative, wealthy, just, and safe.

As our most recent work continues to show, YINS is currently well positioned to accelerate its research program and deploy its scientific findings to solve important problems. Robina support will allow us to do this, in a way that is entirely aligned with Robina's mission. A network perspective in the social, biological, and physical sciences is having radical effects on our understanding of the natural world, and of related interventions; it is offering novel solutions to existing problems; and it is attracting broad and sustained funding attention from grant-makers.

We would use support from the Robina Foundation to continue, expand, and improve these lines of research by directly supporting academic/research personnel time (faculty, postdocs, and grad students), providing project administration and staffing, and helping to meet project-specific capital needs (as outlined in our prior memos). We would also identify new directions for novel work, and new solutions to diverse challenges facing contemporary society. Support from the Robina Foundation would thus leave a lasting impression on the creation of the new field of network science and give rise to new policies and solutions that improve public well-being, quality of life, and technologies in ways never before conceived. We would welcome the opportunity to explore this with the Robina Foundation.

Static network structure can stabilize human cooperation

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The evolution of cooperation in network-structured populations has been a major focus of theoretical work in recent years. When players are embedded in fixed networks, cooperators are more likely to interact with, and benefit from, other cooperators. In theory, this clustering can foster cooperation on fixed networks under certain circumstances. Laboratory experiments with humans, however, have thus far found no evidence that fixed network structure actually promotes cooperation. Here, we provide such evidence and help to explain why others failed to find it. First, we show that static networks can lead to a stable high level of cooperation, outperforming well-mixed populations. We then systematically vary the benefit that cooperating provides to one's neighbors relative to the cost required to cooperate (b/c), as well as the average number of neighbors in the network (k). When $b/c > k$, we observe high and stable levels of cooperation. Conversely, when $b/c \leq k$ or players are randomly shuffled, cooperation decays. Our results are consistent with a quantitative evolutionary game theoretic prediction for when cooperation should succeed on networks and, for the first time to our knowledge, provide an experimental demonstration of the power of static network structure for stabilizing human cooperation.

Prisoner's Dilemma | evolutionary game theory | economic games | structured populations | assortment

Human societies, in both ancient and modernized circumstances, are characterized by complex networks of cooperative relationships (1–10). These cooperative interactions, where individuals incur costs to benefit others, increase the greater good but are undercut by self-interest. How, then, did the selfish process of natural selection give rise to cooperation, and how might social arrangements or institutions foster cooperative behavior? Evolutionary game theory has offered various explanations, in the form of mechanisms for the evolution of cooperation (10). For example, theory predicts (and experiments confirm) that repeated interactions between individuals and within groups can promote cooperation (11–22), as can competition between groups (23–26).

However, one important class of theoretical explanations remains without direct experimental support: the prediction that static (i.e., fixed) network structure should have an important effect on cooperation (27–40). When interactions are structured, such that people only interact with their network “neighbors” rather than the whole population, the emergence of clustering (or “assortment”) is facilitated. Clustering means that cooperators are more likely to interact with other cooperators, and therefore to preferentially receive the benefits of others’ cooperation. Thus, clustering increases the payoffs of cooperators relative to defectors and helps to stabilize cooperation. Across a wide array of model details and assumptions, theoretical work has shown that static networks can promote cooperation, making spatial structure one of the most studied mechanisms in the theory of the evolution of cooperation in recent years (27–40).

However, numerous laboratory experiments have found that static networks do not increase human cooperation relative to

random mixing (41–50) [in contrast to dynamic networks, where players can make and break ties, which have been shown to promote cooperation experimentally (42, 46, 51)]. One explanation for these findings is that static networks cannot maintain assortment because humans often spontaneously switch strategies (41). This conclusion is a pessimistic one for the large body of theoretical work demonstrating the success of cooperation on such networks.

Here, we propose an alternative explanation. A central theoretical result is that networks do not promote cooperation in general. Rather, specific conditions must be met before cooperation is predicted to succeed. Thus, prior experiments may have failed to find a positive effect of static networks on cooperative behavior because they involved particular combinations of payoffs and network structures that were, in fact, not conducive to cooperation.

To assess this possibility, we conduct a set of laboratory experiments using artificial social networks. We arrange subjects on a ring connected to $k/2$ neighbors on each side (resulting in k total neighbors in the network; Fig. 1) and have them play a series of Prisoner's Dilemma games. In each game, they can defect (D) by doing nothing or cooperate (C) by paying a cost of $c = 10k$ units to give each of the k neighbors a benefit of b units (they must choose a single action, C or D, rather than choosing different actions toward each neighbor). Following each decision, subjects are informed of the decisions of each of their neighbors, as well as the total payoff they and each neighbor earned for the round.

Significance

Human populations are both extremely cooperative and highly structured. Mathematical models have shown that fixed network interaction structures can lead to cooperation under certain conditions, by allowing cooperators to cluster together. Here, we provide empirical evidence of this phenomenon. We explore how different fixed social network structures can promote cooperation using economic game experiments. We find that people cooperate at high stable levels, as long as the benefits created by cooperation are larger than the number of neighbors in the network. This empirical result is consistent with a rule predicted by mathematical models of evolution. Our findings show the important role social networks can play in human cooperation and provide guidance for promoting cooperative behavior.

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Tragic, but not random: The social contagion of nonfatal gunshot injuries

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ABSTRACT

This study investigates the concentration of nonfatal gunshot injuries within risky social networks. Using six years of data on gunshot victimization and arrests in Chicago, we reconstruct patterns of co-offending for the city and locate gunshot victims within these networks. Results indicate that 70 percent of all nonfatal gunshot victims during the observation period can be located in co-offending networks comprised of less than 6 percent of the city's population. Results from logistic regression models suggest that as an individual's exposure to gunshot victims increases, so too do that individual's odds of victimization. Furthermore, even small amounts of exposure can dramatically increase the odds of victimization. For instance, every 1 percent increase in exposure to gunshot victims in one's immediate network increases the odds of victimization by roughly 1.1 percent, holding all else constant. These observed associations are more pronounced for young minority males, and effects of exposure extend to indirect network ties at distances of two to three steps removed. These findings imply that the risk of gunshot victimization is more concentrated than previously thought, being concentrated in small and identifiable networks of individuals engaging in risky behavior, in this case criminal activity.

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1. Introduction

Tragic acts of violence like the Sandy Hook shooting in Newtown, CT or the slaying of 15-year old Hadiya Pendleton in Chicago, IL redirect political and public attention towards gun violence. And, indeed, gun violence remains a pervasive problem. In 2010, the gun homicide rate in the United States (3.2 per 100,000) was more than three times higher than other industrialized democracies such as France (0.22), the United Kingdom (0.04), Canada (0.50), and Australia (0.09) and more akin to rates in countries such as Argentina (3.0), Uruguay (3.2), and Zimbabwe (4.7) (UNODC, 2011). Each year, more than 10,000 people in the U.S. are shot and killed by another person, and another 60,000 are treated for non-fatal gunshot injuries caused by assaults (CDC, 2012).

Statistics like these and images of innocent victims fuel the notion that violence is both pervasive and random. If gun violence can happen in an elementary school classroom or to an innocent adolescent girl standing in a public park with her friends, it can happen anywhere or to anyone. Yet tragic as these events and statistics are, gun violence is far from random. Gun violence is

highly concentrated among particular segments of the population and in particular places. Young, minority males between the ages of 18–24 are the most likely victims of gun homicide, with rates of gun homicide more than fifty times higher than the overall U.S. average and ten times higher than white men in the same age range (Harper et al., 2007; Heron, 2007). Gun homicide also concentrates in small geographic areas within major U.S. cities, especially socially and economically disadvantaged neighborhoods (Braga et al., 2010; Jones-Webb and Wall, 2008; Peterson and Krivo, 2010; Weisburd et al., 2004).

While this uneven distribution by race and place provides insight into factors associated with elevated rates of victimization, it may inadvertently mask further disparities in individual risk. Cohort and cross-sectional studies consistently find that both violent victimization and offending tend to occur within small segments of populations of individuals actively engaged in delinquent and criminal activities (Kennedy, 1996; Loeber and Farrington, 2011; Thornberry et al., 2003; Wolfgang, 1958). Social network studies confirm such findings and further suggest that such populations are (a) fairly homogenous along traditional risk factors, (b) smaller than previously thought, and (c) readily identifiable through observational data (Papachristos et al., 2012a; Papachristos and Wildeman, 2014). Studies such as these imply that while risk factors play an important role in describing the distribution of gun

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The Robina Program in Environmental Diversity at Yale

An endemic problem associated with much contemporary environmental management, both in the US and internationally, is that the poor and the politically disenfranchised often bear a disproportionate share of negative environmental impacts. These issues of social and environmental justice, from exposure to poor air quality and other kinds of pollution, to increased susceptibility to extreme weather events and rising sea levels, have complex causes, but the key step in reversing the current situation is to train diverse researchers, managers and advocates who have strong links to vulnerable communities.

It is precisely here that Yale School of Forestry & Environmental Studies aspires to make an impact: by enhancing the knowledge and skills of diverse students from traditionally under represented populations so that their effectiveness and influence in environmental policy and decision-making is amplified. Over time, this network of highly skilled and well-trained domestic and international leaders will have a multiplier effect, transforming the environmental community as a whole by changing the composition of those who work and govern in environmental organizations, as well as by addressing directly the issues of poor environmental management that impact the health and daily lives of people in disempowered communities.

As the oldest institution of its kind, Yale School of Forestry & Environmental Studies is distinctly poised to succeed in an undertaking of this magnitude. Throughout its 100-year history, the School has been steadfast in its commitment to addressing the most pressing environmental challenges of the day. It is internationally renowned for its excellence on issues ranging from land and water management; to soil pollution and food safety; to air quality and climate change. The School's rich tradition of leadership is best exemplified by its illustrious alumni, who represent the foremost experts in environmental research, policy, and advocacy. Notable alumni include Frances Beinecke, President of the Natural Resources Defense Council; Peter Seligmann, co-Founder and CEO of Conservation International; and Dan Utech, Special Assistant to the President for Energy and Climate Change.

This is an auspicious time for Yale School of Forestry & Environmental Studies to partner with the Robina Foundation on the development and training of a diverse cadre of future environmental leaders. The School is seeking to launch a broad initiative to incorporate diversity into every facet of its enterprise: classroom experiences, on-line offerings, outreach to underrepresented local and global communities, and all aspects of its science and research. To date, the School has made important progress toward this goal by increasing the scholarship funds available for students from traditionally under-represented communities, creating a new Fellowship focused on diversity, and expanding gender diversity among the tenured faculty. However, a significant new investment in diversity at F&ES is needed to effect and catalyze much larger transformative change across the entire environmental movement.

With a major gift from the Robina Foundation, Yale F&ES will build on its unique position of national and international environmental leadership through a strong and more impactful institutional commitment to environmental diversity. Such an approach has thus far been under-emphasized within the scholarly community, but is needed urgently, both in the U.S. and around the world. Yale F&ES will use a major gift from the Robina Foundation to: add new courses, speakers' series, and conferences focused on environmental diversity and justice; provide dedicated master's and doctoral diversity scholarships and internships; recruit new resident faculty and distinguished visiting faculty; and implement targeted diversity recruiting and outreach programs. Such an initiative will catalyze a major transformation of Yale School of Forestry & Environmental Studies, and, in so doing, will contribute substantially to a more diverse and more effective environmental movement.



White paper prepared for the

Robina Foundation

Robina Foundation Diversity and Environmental leadership Program

Yale School of Forestry & Environmental Studies

February 2015

Yale



Robina Foundation Diversity and Environmental Leadership Program

The Yale School of Forestry & Environmental Studies (F&ES) is deeply grateful and honored to be part of the Robina Foundation's "Listening Tour" and to have the opportunity to engage in a conversation about how we might best work together to leverage the assets and profile of our School to catalyze transformative demographic change in the U.S. environmental movement—a change that is necessary to reduce environmental injustice and to lead to better environmental solutions.

This environmental justice issue is of central importance to the future of environmental management in the U.S., particularly as the most vulnerable populations often shoulder some of the greatest environmental burdens. It is also, at its core, a fundamental matter of basic social justice, fairness, and equality. And we believe that these issues are also of critical importance to the Robina Foundation.

Achieving transformative change and nationwide impact will take time and will not be easy. However, as the oldest and perhaps the most influential institution of its kind, we believe that Yale F&ES is distinctly poised to succeed in an undertaking of this magnitude. Throughout its 100-year history, the School has been steadfast in its commitment to addressing the pressing environmental challenges. To address the critical issue of environmental justice, we propose a set of activities that leverages the existing strengths of F&ES while also creating innovative new programming that will not only impact our School, where many of the world's top future environmental leaders train, but also the broader environmental community across the U.S.

Core Program (\$10+ million)

The Robina Foundation Diversity and Environmental Leadership Program at F&ES will provide support for diverse environmental leaders at all stages of their development using both endowed and current use funding. The proposed programs will build upon, and significantly strengthen, current environmental diversity efforts at F&ES. We seek to address the current challenges through a focus on three main areas:

1. Training the Next Generation of Diverse Environmental Leaders: We will purposefully and deliberately encourage more U.S. minority students to pursue environmental careers, in order to address the current dearth of minorities among the ranks of environmental leaders, professionals, and academics. We propose to endow \$5 million for new scholarships in support of masters and doctoral students, as well as post-doctoral fellows. This fund would support 12-14 "Robina Scholars" annually in perpetuity. We will also deploy funds to support a Diversity Recruitment Specialist for five years to focus on building new relationships and networks for recruiting top U.S. minority students from a wide range of backgrounds.

In addition, throughout the same five-year period, the F&ES curriculum will be enhanced to include new courses in environmental justice and environmental health, together with an annual environmental justice speaker series. An annual Robina Visiting Fellow (academic or practitioner) will also be selected to engage with students and faculty, create resources for wider dissemination, and participate fully in the life of the school. We will also host two major environmental diversity/justice conferences in the next five years that will bring together diverse thought-leaders, professionals, and students. The aim will be to raise the profile of environmental justice issues and provide opportunities for shared efforts to develop diverse environmental leaders, professionals, and academics. A Robina Diversity Fellow will join the F&ES staff to oversee and help implement all aspects of the proposed program as well as the Robina Foundation Environmental Leadership Network (below).

2. Building a National Network of Diverse Environmental Leaders: We will encourage greater visibility and mutual support among a network of diverse environmental leaders nationally to inspire collaboration, exchange, and empowerment. Going beyond a virtual network, we will bring together up to 40 diverse

environmental leaders, academics, and professionals every summer over a five-year period for a residential experience designed to provide training, networking, and inspiration. The Robina Foundation Environmental Leadership Network will build mutual trust and support, encourage information-sharing, increase the visibility of environmental diversity and justice concerns, and will work to identify solutions that improve the environment and health of all constituents in the U.S. At the Core Program level of funding, we will engage key faculty, masters, and doctoral students to assist in program implementation. An all-cohort reunion at year five will provide an opportunity for Fellows to re-connect, share experiences, and meet Fellows across cohorts. Through these activities, we hope to cultivate and empower a diverse network of engaged leaders committed to positive environmental change through dialogue and action.

3. Changing the Conversation: Outreach and Communications: Increasing national and international dialogue on environmental justice will be vital to deepening levels of understanding and awareness across cultures and borders. We will tackle this issue through a new "Environmental Story-Telling Project," in which we will use existing F&ES outreach channels to shift the conversation about who and what matters in the U.S. environmental movement and to highlight the key importance of greater social inclusion. Over the next five years, we will direct current-use funding to the School's journalistic and creative outlets to diversify the narratives that they feature. We will leverage our existing financial commitment to further raise the profile of our student-run environmental arts and journalism publication, **Sage Magazine**, as well the **Environmental Film Festival at Yale (EFFY)**, America's premier student-run film festival—both of which engage young professionals and emerging artists in environmental dialogue beyond the traditional environmental movement.

In addition, two other existing programs at F&ES offer opportunities for broader impact. The first, **Climate Connections**, is a budding, nationally syndicated series of 90-second radio programs, which reaches a large audience but could be made more effective. For example, through radio spots in Spanish we could reach a considerable Latino audience. Similarly, **e360**, our award-winning environment magazine, which has over 3 million readers, can increase coverage of environmental diversity and justice topics with issue-based and place-based stories, as well as with regular profiles of diverse environmental leaders.

Core Program Plus (\$20+ million)

Additional funding for the Robina Foundation Diversity and Environmental Leadership Program will allow us to intensify our efforts in two of the three areas outlined above and make one strategic addition, which would further enhance and greatly amplify the power and impact of the overall program:

1. Training the Next Generation of Diverse Environmental Leaders: Attracting and retaining a diverse faculty is key to growing the excellence of the academic community through teaching, scholarship, and service. To ensure academic diversity at Yale F&ES, we will endow a new "Robina Professorship" for \$5 million that is restricted to minority candidates. This will be in addition to current efforts to recruit a diverse junior faculty member that are already underway at F&ES. As we highlighted in our presentation, there is much to be done to diversify the F&ES faculty at both "ladder" and "non-ladder" levels (Appendix 1). A new, endowed diversity professorship would send a strong signal on campus, and also nationally, that we intend systematic change that will help provide role models for aspiring environmental leaders among more diverse populations.

2. Building a National Network of Diverse Environmental Leaders: We will significantly expand the Robina Foundation Environmental Leadership Network by reaching out to the three other Masters programs that also train a disproportionate number of U.S. environmental leaders, and with whom we already work closely on recruiting (Duke University, University of Michigan, University of California Santa Barbara). The combined alumni networks of the four institutions are vast and all institutions share common goals with regard to diversity. Improved collaboration will increase the reach and impact of an effective nationwide program.

3. Developing Emerging Diverse Environmental Leaders: To increase the pipeline of diverse environmental leaders, we will work with our colleagues at other universities/colleges on a new effort to support diverse *emerging* U.S. environmental leaders (high school juniors and seniors, and college freshmen). A two-week program will bring up to 40 participants to campus each summer to explore professional and academic career opportunities in environmental management, education, training, and science. Participants will have mentorship opportunities with F&ES students as well as with the Robina Foundation Environmental Leaders participating in the program. A modest budget will be used to initiate a series of recognition awards for aspiring young and diverse environmental leaders from varied backgrounds. It is our belief that together these initiatives will help to ensure that we continue to inspire a larger and more diverse population of students to pursue academic and professional careers in the environmental sphere.

Appendix 1: Yale School of Forestry & Environmental Studies

Faculty Composition, 2014-2015

All F&ES Faculty (Non-ladder and Ladder Faculty): 66

Women: 18 (27%)

Racial Diversity: 6 (9%)

Non-ladder Faculty: 34

Women: 11 (32%)

Racial Diversity: 4 (12%)

Ladder Faculty (Jr. Tenure Track Ladder and Tenured): 32

Women: 7 (22%)

Racial Diversity: 2 (6%)

Jr. Ladder Faculty: 10

Women: 3 (30%)

Racial Diversity: 0 (0%)

Tenured Faculty: 22

Women: 4 (18%)

Racial Diversity: 2 (9%)

Diversifying the Environmental Movement: Toward Dismantling Social Inequality

An Update for the Robina Foundation

August 2015

Yale School of Forestry & Environmental Studies

We are pleased to submit this update on our proposal to increase diversity and inclusion within our School, and, through that, within the environmental movement as a whole. We will do so by further diversifying the environmental leaders we produce (i.e. our student body), diversifying the School's professorial leadership (i.e. our faculty), building a national network of diverse environmental leaders based here at the School (including many of our alumni), and working to change the conversation around *who* and *what* matters in the environmental community.

In the last eight months we have made significant new commitments to support and foster diversity among our students, faculty, and alumni, as well as to strengthen our collaborations with local and national environmental organizations. We have also continued to refine our strategy to better achieve our goal of more impactful and lasting change. A partnership with the Robina Foundation will be transformative for our School and for the environmental movement, and will thereby contribute to dismantling social inequity.

Our proposal to diversify the environmental movement at a national scale is more urgent than ever. Recent events have reignited the national conversation around issues of racism, discrimination, and inequality. Many prominent figures and community groups have spoken out loudly; effectively issuing a call to action to dismantle structures of injustice. The Yale School of Forestry & Environmental Studies (F&ES) is committed to responding and to working to change the world through inclusive and effective environmental education. F&ES is well known as a leader in the environmental community. We believe that by diversifying our school, we can help to diversify the environmental community as a whole. This will in turn empower the minority communities that so often suffer disproportionately from environmental mismanagement. Addressing environmental inequality will be a vital part of rectifying the broader social inequalities that remain pervasive in our society. The focus of the programs we propose reflects a shift within the school, and within the environmental community as a whole, towards a better and more inclusive understanding of who makes up the constituency for environmental work.

It is well known that people of color are underrepresented in the environmental movement. A recent study by F&ES alumna Dorceta Taylor ('85 M.F.S., '91 Ph.D.) reveals that people of color hold only 12% of leadership positions in environmental organizations, despite making up close to 40% of the nation's population. Our vision is to address this disparity, through a plan that is already underway and that has the full support of the leadership of Yale University.

At F&ES, we envision a future environmental movement that impacts the social well-being of all communities positively, especially those which are most directly affected by environmental problems. Our School has been in the vanguard of producing environmental leaders for more than 100 years. We are now poised to lead Yale University and the environmental movement as a whole toward a more inclusive and equitable future. Over the past year, we have made key investments

toward this goal. With support from the Robina Foundation we intend to catalyze transformative change more quickly and on a larger scale. F&ES has much to gain from a deeper engagement with diversity—but also much to give. We are creating a new generation of environmental leaders who will advocate for better environmental outcomes on behalf of their communities. Therefore it is imperative that our student body, and the faculty that guides them, be representative of the diverse makeup of the U.S. Increasing the diversity of our school is a key imperative in our plan to make the environmental movement more inclusive, just, and relevant.

Our update addresses four key areas:

1. F&ES' Commitment to Diversity
2. F&ES' Major Strategic Initiatives
3. Anticipated Outcomes and Impacts
4. Current F&ES Diversity & Inclusion Programing

F&ES' Commitment to Diversity

F&ES has long recognized the importance of broadening the constituency of the environmental movement, and our commitment to diversity has never been stronger. With leadership from President Salovey, Provost Polak and Dean Crane, and a growing chorus of support from faculty, staff, students, and alumni, the School is poised to act strategically to increase diversity at F&ES and in the broader environmental movement, and has begun to do so through several new initiatives funded by the School during the past eight months. This effort now has significant momentum and we are excited to partner with the Robina Foundation to help us achieve a larger impact, both at Yale and across the nation.

F&ES is uniquely positioned to be a leader on issues of diversity within Yale University. F&ES is disproportionately influential on the Yale campus through its joint degree programs with twelve other graduate programs and professional schools at Yale, including the School of Management and the Law School. F&ES also administers Yale College's undergraduate Environmental Studies program, one of the fastest growing majors at the College. This relationship can provide a strong pipeline of diverse undergraduate students seeking a great variety of academic and professional careers in the environment. By adopting diversity and inclusion as core institutional values, F&ES has the capacity to strongly influence these and many other parts of the University. Our School is considered a leader in developing an aggressively plan to address issues of diversity, and we have the full support of Yale's senior leaders who oversee the University's renewed and far-reaching diversity initiatives. **Appendix A** is a letter from Richard G. Bribiescas, Yale's Deputy Provost for Faculty Development and Diversity, expressing Yale's support for F&ES and our strategic importance in advancing diversity at Yale.

For more than a decade now, F&ES has been actively working to diversify its student body and faculty, with the clear understanding that doing so will enable the School to create more effective solutions that benefit everyone, including those made most vulnerable by environmental problems. In 2005, diversity was included as a primary focus of the School's strategic plan. In 2007, F&ES created a Committee for Diversity and Inclusion, consisting of students, staff, and faculty, which

has worked to identify and address issues of diversity and inclusion within the school community. There have been some notable successes, but the current confluence of factors – stronger institutional leadership and momentum, increased faculty commitment and interest, dedicated staff support focused on diversity, new diversity programming, and new commitments of funds, together with a comprehensive strategy – now put us in strong position to realize our most ambitious goal of diversifying the environmental movement as a whole if additional resources can be made available

F&ES' Major Strategic Initiatives

Since our December 2014 meeting with Robina Foundation representatives, F&ES has been busy continuously refining our environmental diversity strategy, and implementing more than \$1.2 million in new diversity initiatives at the School.

As outlined in our previous submissions, our environmental diversity strategy is based on a framework encompassing three major thematic areas: 1) training the next generation of diverse environmental leaders, 2) building a national network of diverse environmental leaders, and 3) changing the conversation through outreach and communications. **Appendix B** contains our original proposal statement and February 2015 update.

With this framework as a guide, F&ES has continued to refine its strategic thinking by engaging University officials, faculty, alumni and students in conversation. The most significant update to our strategy is in the area of training the next generation of diverse environmental leaders, particularly among our own faculty. We believe it is imperative to create multiple new opportunities at F&ES that will accelerate the pace of recruitment of diverse faculty and their representation among the faculty as a whole.

As described at our December meeting, Yale F&ES has made significant change in diversifying its professorial leadership over the last 10 years, especially with regards to tenured female faculty. However, to accelerate diversity within F&ES and more broadly within the environmental community, we have concluded that we need to (i) build a stronger pipeline for diverse faculty; and, (ii) recruit multiple diverse faculty members ("cluster hiring") in a short period of time to fully embed the necessary culture change at F&ES, and to build more quickly a still more inclusive community.

The importance of "cluster hiring" was underlined at a recent meeting (July 2015) between Dean Crane and a key F&ES alumna, Dorceta Taylor (MFS '85, PhD '91), a tenured professor at University of Michigan's School of Natural Resources and the Environment. Professor Taylor is a prominent thought leader on environmental justice, and the author of Green 2.0's report "The State of Diversity in Environmental Organizations: Mainstream NGOs, Foundations & Government Agencies," the most comprehensive report on diversity in the environmental movement.

As a result of these conversations, we are now more committed than ever to establishing a cadre of diverse doctoral, postdoctoral and faculty members at F&ES through new targeted scholarships, fellowships, and junior and senior faculty positions. We have already invested in some of these new positions, including a new diversity scholarship for our Ph.D. program and a new postdoctoral fellowship, as further described below. But we recognize that we need to bring in more diverse

→ faculty at the tenured or tenure-track level if we want to ensure that the governance of the school is more readily representative of, and better attuned to, our diversifying student body and the changing demographics of our country. To create a critical mass of minority faculty in leadership positions at F&ES, we seek to partner with the Robina Foundation to establish not just one, but two new endowed diversity professorships at F&ES.

As indicated above, as part of our evolving strategy, F&ES implemented a number of new and innovative diversity initiatives during the past eight months to address diversifying our faculty and to begin fulfilling our broader strategic goals. In total, these initiatives represent an investment of more than \$1.2 million in School funds. We hope that these new investments are demonstrative of F&ES' commitment to diversity in the environmental movement, and an indication of how much more can be accomplished in partnership with the Robina Foundation. These new initiatives, further described in **Appendix C**, include:

- A new postdoctoral or junior faculty Fellowship ("Pinchot Fellowship") to bring diverse early-career faculty to our School
- A new diversity scholarship in the F&ES Ph.D. program
- A new diversity scholarship in partnership with the POSSE Foundation in the F&ES Masters program
- A new recruitment plan for diverse masters students
- A new diversity internship program with The Trust for Public Land
- A new multi-ethnic student-alumni interest group
- A new weekly newsletter on diversity called the "Diversity Digest"
- New initiatives to increase outreach to local minority high school students

These new commitments and investments are all integral to our strategy to diversify our leadership and student body, create new partnerships with key national organizations, raise awareness of diversity issues in environmental dialogues, and create new opportunities that can help create a more diverse environmental movement.

Outcomes and Impacts

Our proposal to diversify the environmental movement begins at F&ES and will result in a significant increase of diverse students, courses, speakers, post-docs, and faculty over the next five years. Simultaneously, we will work to create and support a national network of emerging diverse environmental leaders. We will be a leading voice contributing to the national dialogue on the importance of diversity and equity in the environmental movement and throughout our society.

Our graduates go on to leadership positions throughout the environmental community. Our alumni have held prominent positions in organizations such as the Natural Resources Defense Council, the Environmental Defense Fund, Conservation International, The Nature Conservancy, and the U.S. Department of the Interior. Many of them go on to be leaders in academia. By diversifying our student body, our faculty, and our curriculum, we will produce a new generation of environmental leadership that is representative of the country's population and that is intellectually and practically prepared to address the modern environmental issues affecting diverse communities throughout the U.S.

A list of anticipated outcomes and impacts appears in **Appendix D**, as well as a selected list of alumni of color from Yale F&ES who are already making a positive impact in leadership roles throughout the environmental movement.

Current F&ES Diversity & Inclusion Programing

In addition to the new investments F&ES made in 2015, several special programs explicitly addressing diversity and equity took place or are being planned. For example, the Berkley Workshop, F&ES' annual gathering for land conservation professionals, explicitly addressed issues of access to parks and open spaces when it convened in July 2015.

This fall semester, Frances Beinecke ('74 M.F.S.), President Emeritus of the Natural Resources Defense Council and this year's F&ES McCluskey Fellow, will host a weekly lecture series that highlights diverse voices from across the environmental movement. A list of speakers appearing in this lecture series appears in **Appendix E**.

And, for the first time, the School will provide a "Cross-Cultural Communications" workshop for all incoming Masters students during our orientation program in August. The workshop will help students to develop the ability to communicate across difference and work with a broad range of constituencies, skills that they will need as environmental professionals in a diversifying field.

In our appendices, you will find more information on each of the points addressed above. We hope that this information will highlight F&ES' and Yale's commitment to excellence through diversity, as well as the proactive steps we are taking to achieve this goal. We firmly believe that environmental issues are a key aspect of social justice issues, and that the environmental community has a critical role to play in ensuring better justice and equity outcomes for all Americans. F&ES is excited and determined to exert leadership in the environmental community toward that goal, and we look forward to continuing this conversation about how we can do so most effectively in partnership with the Robina Foundation.

Appendices

Appendix A – Letter of Support from Richard G. Bribiescas, Deputy Provost for Faculty Development and Diversity, Yale University

Appendix B – Original Proposal Statement and February 2015 Update

Appendix C – New Diversity Investments in 2015

Appendix D – List Anticipated Outcomes and Impacts

Appendix E – Environmental Leaders' Speaker Series

Appendix A – F&ES' and Yale's Commitment to Diversity

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June 26, 2015

To Whom It May Concern,

courier
2 Whitney Avenue, 4th Floor
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It is with great enthusiasm that I provide the following statement in support of the Robina Foundation proposal being submitted by the Yale University School of Forestry & Environmental Studies. This statement not only expresses my support and commitment as Deputy Provost for Faculty Development and Diversity but also outlines how this proposed initiative strengthens and is vital to the integration of university wide efforts to promote faculty excellence through diversity.

Background

Yale University has long recognized the value and importance of faculty, student, and staff diversity. Over the decades, significant progress has ensued in all these segments of the campus community but overall results have been mixed, especially within the faculty ranks. Similar to other universities, the Yale faculty still faces continued underrepresentation of ethnic and racial minority groups as well as women in many fields. In 1999, then President Richard Levin and Provost Alison Richard initiated Yale University's most comprehensive plan to increase and promote faculty diversity by proactively increasing the number of historically underrepresented minorities and women through aggressive recruitment and removing resource constraints¹. The rationale was two-fold. First, it is well established that diversity, in all its forms, creates a more excellent faculty by broadening scholarly perspectives as well as by identifying previously untapped pools of talent. Second, a diverse faculty is necessary to mirror the demographic realities of our nation as well as to engage effectively on an academic stage that is becoming ever more diversified and globalized. Faculty diversity is central and necessary for advancing the mission of the university. Quoting from their announcement of the 1999 initiative:

We believe that greater diversity will enhance and strengthen a faculty expected to stand in competition with the foremost leaders in their fields throughout the world.

- President Richard Levin and Provost Alison Richard, March 1-8, 1999¹.

In essence, homogeneity is antithetical to scholarly growth, the pursuit of knowledge, and the development of an outstanding faculty. The Levin/Richard faculty diversity initiative continued throughout Levin's presidency as well as across the Provost administrations of Susan Hockfield, Andrew Hamilton, and Peter Salovey. This initiative continued with the appointment of Peter

¹ <http://www.yale.edu/opa/arc-ybc/v27.n23/story1.html>

Salovey as Yale's 23rd President as well as Benjamin Polak as Provost, both in 2013.

The recent recession constricted the university endowment by over 20%, resulting in severely constrained resources for all of the university's initiatives, including those aimed to increase faculty diversity. Nonetheless, faculty diversity remains a priority although it was clear that a revamped strategy was needed to deal with the fiscal realities of a post-recession world. Despite these fiscal challenges, Yale President Peter Salovey reaffirmed the university's commitment to diversity by stating in a recent campus wide message to faculty, students, staff, and alumni that "a diverse faculty is an excellent faculty."²

In February 2014, President Salovey convened a diversity summit that included an invited panel of distinguished scholars and university leaders in order to solicit guidance for best ways forward. Among the recommendations that were made by this distinguished panel was the creation a leadership position that would own the issue of faculty development and diversity on a university wide scale, across all fourteen schools³. Provost Ben Polak asked me to take on this responsibility which I gladly accepted at the beginning of 2015. Among the first orders of business was to develop a revised university wide diversity strategy that would engage all of the schools, including Forestry & Environmental Studies. Although strategic planning of the university wide initiative is not scheduled to be completed until fall of this year, I can share the following outline and vision for how the School of Forestry & Environmental Studies will be a vital participant that is integrated with university wide efforts.

University Wide Efforts and F&ES Engagement

The previous Levin/Richard Diversity initiative focused on the Faculty of Arts and Sciences, which includes the Graduate School of Arts and Sciences and Yale College. However this accounted for only 25% of the faculty. Yale University consists of over 4,000 faculty across fourteen schools, including Forestry & Environmental Studies, each with their own Dean, curriculum, and student body⁴. Therefore the Provost has mandated that a university wide strategy be developed that would engage all of the Yale schools with the Deputy Provost for Faculty Development and Diversity overseeing strategic planning and deployment, reporting directly to the Provost and President.

The scope and effort necessary to identify, recruit, and retain scholars who would diversify the faculty across the entire university is daunting, requiring a combined effort across all schools. At the direction and guidance of the Provost and Deputy Provost for Faculty Development and Diversity, each school has been asked to develop a strategic plan to increase faculty diversity in order to be mindful of the needs and challenges that are unique to each school. I am delighted that Dean Sir Peter Crane is among the university leaders in this effort and was among the first Deans to respond with a clear and committed strategic vision. He has also committed to devoting strategic resources towards the recruitment, development, and retention of scholars who would diversify the university.

A university wide effort that is cognizant of the unique characteristics and constraints of each school requires committed representation and participation. Chaired by the Deputy Provost for Faculty Development and Diversity, a University Wide Council on Faculty Diversity will convene in the fall and meet regularly to plan and deploy our faculty diversity initiative. The Council will consist of representatives from all fourteen schools as well as from the university cultural centers. I am delighted

² <http://president.yale.edu/diverse-faculty-excellent-faculty>

³ <http://provost.yale.edu/sites/default/files/files/Diversity%20Summit%20report.pdf>

⁴ Yale Office of Institutional Research: <http://oir.yale.edu/yale-factsheet>

that Diversity and Sustainability Fellow Ms. Maclovía Quintana will serve as the representative for Forestry & Environmental Studies ⁵.

The goals of the Council are as follows.

- The continuous refinement and development of university wide diversity efforts.
- Researching and identifying promising candidates for recruitment.
- Sharing of strategic information across all schools to address common challenges and share successes.
- Pooling of resources when possible to contribute to faculty development and recruitment.
- Professional development of graduate students and post-doctoral fellows in transition to faculty positions.
- Discussion of the ongoing evolution of what constitutes a diverse faculty, including issues related to Lesbian/Gay/Bisexual/Transsexual community and international scholars.

Forestry & Environmental Studies as a Diversity “Hotspot”

The term “environmental hotspot” serves to bring attention to ecological regions that merit special attention due to their disproportionate importance to conservation of natural resources. Similarly within the issue of faculty diversity, there are also “hotspots” that merit special consideration. Forestry & Environmental Studies is one such “hotspot” since their areas of research are global in nature, engage with numerous other schools across campus, and affect a wide range of people from every race, ethnicity, and socioeconomic class across many nations. Yet historically, scholars and faculty in forestry and environmental studies at Yale and beyond have lacked diversity. The reasons for this lack of diversity are many and complex. The strategic vision outlined in this proposal serves to address this challenge.

From a university wide strategic perspective, Forestry & Environmental Studies is crucial due to their wide engagement with faculty across campus. All Yale schools engage to some degree with other schools through shared faculty appointments and other programs. However Forestry and Environmental Studies, due to its interdisciplinary emphasis, is exceptional in their level of engagement. Despite the relatively small number of faculty compared to the School of Medicine for example, Forestry and Environmental Studies projects a disproportionately large influence on the Yale faculty. This is evident in the many secondary and joint faculty appointments in Engineering and Applied Sciences ⁶, Anthropology ⁷, Medicine ⁸, Law ⁹, and Architecture ¹⁰, just to name a few.

⁵ <https://environment.yale.edu/profile/maclovía-quintana/>

⁶ <http://seas.yale.edu/faculty-research/faculty-directory/julie-zimmerman>

⁷ <http://anthropology.yale.edu/people/michael-dove>; <http://anthropology.yale.edu/people/eric-sargis>;
<http://anthropology.yale.edu/people/kalyanakrishnan-sivaramakrishnan>

⁸ https://medicine.yale.edu/intmed/people/gary_desir.profile

⁹ <https://environment.yale.edu/profile/estry/>

¹⁰ <https://environment.yale.edu/profile/felson/>

Moreover, in addition to their wildly successful graduate programs, interest in the undergraduate major in Environmental Studies continues to skyrocket which presents an opportunity to increase diversity through stoking the interest and passion of the next generation of scholars, especially women and those from historically underrepresented groups.

Strategic Importance

For these stated reasons, increasing and supporting faculty diversity within the School of Forestry & Environmental Studies is of vital strategic importance to the university wide initiative. It also serves to diversify a faculty that is committed to addressing some of the most important challenges facing humanity, such as climate change, resource management, and the leadership in policy development. With constrained resources and competition with other universities for world class scholars, engaging with schools such as F&ES who have a demonstrated commitment to faculty diversity by their leadership is vital. Partnering closely with F&ES not only makes strategic sense but addresses a diversity "hotspot" within academia. F&ES has proactively taken a leadership role with the promotion of faculty diversity. Strategies and lessons from this proposal would be valuable for possible deployment to other schools. I endorse this proposal, fully and without hesitation.

Sincerely,

A handwritten signature in black ink, appearing to read 'Richard G. Bribiescas', with a long, sweeping horizontal line extending to the right.

Richard G. Bribiescas
Deputy Provost, Faculty Development & Diversity
Professor of Anthropology

Appendix B – Original Proposal Statement and February 2015 Update

The Robina Program in Environmental Diversity at Yale

An endemic problem associated with much contemporary environmental management, both in the US and internationally, is that the poor and the politically disenfranchised often bear a disproportionate share of negative environmental impacts. These issues of social and environmental justice, from exposure to poor air quality and other kinds of pollution, to increased susceptibility to extreme weather events and rising sea levels, have complex causes, but the key step in reversing the current situation is to train diverse researchers, managers and advocates who have strong links to vulnerable communities.

It is precisely here that Yale School of Forestry & Environmental Studies aspires to make an impact: by enhancing the knowledge and skills of diverse students from traditionally under represented populations so that their effectiveness and influence in environmental policy and decision-making is amplified. Over time, this network of highly skilled and well-trained domestic and international leaders will have a multiplier effect, transforming the environmental community as a whole by changing the composition of those who work and govern in environmental organizations, as well as by addressing directly the issues of poor environmental management that impact the health and daily lives of people in disempowered communities.

As the oldest institution of its kind, Yale School of Forestry & Environmental Studies is distinctly poised to succeed in an undertaking of this magnitude. Throughout its 100-year history, the School has been steadfast in its commitment to addressing the most pressing environmental challenges of the day. It is internationally renowned for its excellence on issues ranging from land and water management; to soil pollution and food safety; to air quality and climate change. The School's rich tradition of leadership is best exemplified by its illustrious alumni, who represent the foremost experts in environmental research, policy, and advocacy. Notable alumni include Frances Beinecke, President of the Natural Resources Defense Council; Peter Seligmann, co-Founder and CEO of Conservation International; and Dan Utech, Special Assistant to the President for Energy and Climate Change.

This is an auspicious time for Yale School of Forestry & Environmental Studies to partner with the Robina Foundation on the development and training of a diverse cadre of future environmental leaders. The School is seeking to launch a broad initiative to incorporate diversity into every facet of its enterprise: classroom experiences, on-line offerings, outreach to underrepresented local and global communities, and all aspects of its science and research. To date, the School has made important progress toward this goal by increasing the scholarship funds available for students from traditionally under-represented communities, creating a new Fellowship focused on diversity, and expanding gender diversity among the tenured faculty. However, a significant new investment in diversity at F&ES is needed to effect and catalyze much larger transformative change across the entire environmental movement.

With a major gift from the Robina Foundation, Yale F&ES will build on its unique position of national and international environmental leadership through a strong and more impactful institutional commitment to environmental diversity. Such an approach has thus far been under-emphasized within the scholarly community, but is needed urgently, both in the U.S. and around the world. Yale F&ES will use a major gift from the Robina Foundation to: add new courses, speakers' series, and conferences focused on environmental diversity and justice; provide dedicated master's and doctoral diversity scholarships and internships; recruit new resident faculty and distinguished visiting faculty; and implement targeted diversity recruiting and outreach programs. Such an initiative will catalyze a major transformation of Yale School of Forestry & Environmental Studies, and, in so doing, will contribute substantially to a more diverse and more effective environmental movement.



Robina Foundation Diversity and Environmental Leadership Program

The Yale School of Forestry & Environmental Studies (F&ES) is deeply grateful and honored to be part of the Robina Foundation's "Listening Tour" and to have the opportunity to engage in a conversation about how we might best work together to leverage the assets and profile of our School to catalyze transformative demographic change in the U.S. environmental movement—a change that is necessary to reduce environmental injustice and to lead to better environmental solutions.

This environmental justice issue is of central importance to the future of environmental management in the U.S, particularly as the most vulnerable populations often shoulder some of the greatest environmental burdens. It is also, at its core, a fundamental matter of basic social justice, fairness, and equality. And we believe that these issues are also of critical importance to the Robina Foundation.

Achieving transformative change and nationwide impact will take time and will not be easy. However, as the oldest and perhaps the most influential institution of its kind, we believe that Yale F&ES is distinctly poised to succeed in an undertaking of this magnitude. Throughout its 100-year history, the School has been steadfast in its commitment to addressing the pressing environmental challenges. To address the critical issue of environmental justice, we propose a set of activities that leverages the existing strengths of F&ES while also creating innovative new programming that will not only impact our School, where many of the world's top future environmental leaders train, but also the broader environmental community across the U.S.

Core Program (\$10+ million)

The Robina Foundation Diversity and Environmental Leadership Program at F&ES will provide support for diverse environmental leaders at all stages of their development using both endowed and current use funding. The proposed programs will build upon, and significantly strengthen, current environmental diversity efforts at F&ES. We seek to address the current challenges through a focus on three main areas:

1. Training the Next Generation of Diverse Environmental Leaders: We will purposefully and deliberately encourage more U.S. minority students to pursue environmental careers, in order to address the current dearth of minorities among the ranks of environmental leaders, professionals, and academics. We propose to endow \$5 million for new scholarships in support of masters and doctoral students, as well as post-doctoral fellows. This fund would support 12-14 "Robina Scholars" annually in perpetuity. We will also deploy funds to support a Diversity Recruitment Specialist for five years to focus on building new relationships and networks for recruiting top U.S. minority students from a wide range of backgrounds.

In addition, throughout the same five-year period, the F&ES curriculum will be enhanced to include new courses in environmental justice and environmental health, together with an annual environmental justice speaker series. An annual Robina Visiting Fellow (academic or practitioner) will also be selected to engage with students and faculty, create resources for wider dissemination, and participate fully in the life of the school. We will also host two major environmental diversity/justice conferences in the next five years that will bring together diverse thought-leaders, professionals, and students. The aim will be to raise the profile of environmental justice issues and provide opportunities for shared efforts to develop diverse environmental leaders, professionals, and academics. A Robina Diversity Fellow will join the F&ES staff to oversee and help implement all aspects of the proposed program as well as the Robina Foundation Environmental Leadership Network (below).

2. Building a National Network of Diverse Environmental Leaders: We will encourage greater visibility and mutual support among a network of diverse environmental leaders nationally to inspire collaboration, exchange, and empowerment. Going beyond a virtual network, we will bring together up to 40 diverse environmental leaders, academics, and professionals every summer over a five-year period for a residential experience designed to provide training, networking, and inspiration. The Robina Foundation Environmental Leadership Network will build mutual trust and support, encourage information-sharing, increase the visibility of environmental diversity and justice concerns, and will work to identify solutions that improve the environment and health of all constituents in the U.S. At the Core Program level of funding, we will engage key faculty, masters, and doctoral students to assist in program implementation. An all-cohort reunion at year five will provide an opportunity for Fellows to re-connect, share experiences, and meet Fellows across cohorts. Through these activities, we hope to cultivate and empower a diverse network of engaged leaders committed to positive environmental change through dialogue and action.

3. Changing the Conversation: Outreach and Communications: Increasing national and international dialogue on environmental justice will be vital to deepening levels of understanding and awareness across cultures and borders. We will tackle this issue through a new “Environmental Story-Telling Project,” in which we will use existing F&ES outreach channels to shift the conversation about who and what matters in the U.S. environmental movement and to highlight the key importance of greater social inclusion. Over the next five years, we will direct current-use funding to the School’s journalistic and creative outlets to diversify the narratives that they feature. We will leverage our existing financial commitment to further raise the profile of our student-run environmental arts and journalism publication, **Sage Magazine**, as well the **Environmental Film Festival at Yale (EFFY)**, America’s premier student-run film festival—both of which engage young professionals and emerging artists in environmental dialogue beyond the traditional environmental movement.

In addition, two other existing programs at F&ES offer opportunities for broader impact. The first, **Climate Connections**, is a budding, nationally syndicated series of 90-second radio programs, which reaches a large audience but could be made more effective. For example, through radio spots in Spanish we could reach a considerable Latino audience. Similarly, **e360**, our award-winning environment magazine, which has over 3 million readers, can increase coverage of environmental diversity and justice topics with issue-based and place-based stories, as well as with regular profiles of diverse environmental leaders.

Core Program Plus (\$20+ million)

Additional funding for the Robina Foundation Diversity and Environmental Leadership Program will allow us to intensify our efforts in two of the three areas outlined above and make one strategic addition, which would further enhance and greatly amplify the power and impact of the overall program:

1. Training the Next Generation of Diverse Environmental Leaders: Attracting and retaining a diverse faculty is key to growing the excellence of the academic community through teaching, scholarship, and service. To ensure academic diversity at Yale F&ES, we will endow a new “Robina Professorship” for \$5 million that is restricted to minority candidates. This will be in addition to current efforts to recruit a diverse junior faculty member that are already underway at F&ES. As we highlighted in our presentation, there is much to be done to diversify the F&ES faculty at both “ladder” and “non-ladder” levels (Appendix 1). A new, endowed diversity professorship would send a strong signal on campus, and also nationally, that we intend systematic change that will help provide role models for aspiring environmental leaders among more diverse populations.

2. Building a National Network of Diverse Environmental Leaders: We will significantly expand the Robina Foundation Environmental Leadership Network by reaching out to the three other Masters programs that also train a disproportionate number of U.S. environmental leaders, and with whom we already work closely on recruiting (Duke University, University of Michigan, University of California Santa Barbara). The combined alumni networks of the four institutions are vast and all institutions share common goals with regard to diversity. Improved collaboration will increase the reach and impact of an effective nationwide program.

3. Developing Emerging Diverse Environmental Leaders: To increase the pipeline of diverse environmental leaders, we will work with our colleagues at other universities/colleges on a new effort to support diverse *emerging* U.S. environmental leaders (high school juniors and seniors, and college freshmen). A two-week program will bring up to 40 participants to campus each summer to explore professional and academic career opportunities in environmental management, education, training, and science. Participants will have mentorship opportunities with F&ES students as well as with the Robina Foundation Environmental Leaders participating in the program. A modest budget will be used to initiate a series of recognition awards for aspiring young and diverse environmental leaders from varied backgrounds. It is our belief that together these initiatives will help to ensure that we continue to inspire a larger and more diverse population of students to pursue academic and professional careers in the environmental sphere.

Appendix: Yale School of Forestry & Environmental Studies

Faculty Composition, 2014-2015

All F&ES Faculty (Non-ladder and Ladder Faculty): 66

Women: 18 (27%)

Racial Diversity: 6 (9%)

Non-ladder Faculty: 34

Women: 11 (32%)

Racial Diversity: 4 (12%)

Ladder Faculty (Jr. Tenure Track Ladder and Tenured): 32

Women: 7 (22%)

Racial Diversity: 2 (6%)

Jr. Ladder Faculty: 10

Women: 3 (30%)

Racial Diversity: 0 (0%)

Tenured Faculty: 22

Women: 4 (18%)

Racial Diversity: 2 (9%)

Appendix C – New Diversity Investments in 2015

During the past eight months, F&ES has invested more than \$1.2 million in new initiatives to advance diversity at the School and in the environmental movement.

One of our key strategic objectives is to train the next generation of diverse environmental leaders, which includes training and hiring diverse new faculty, creating new diversity scholarships and fellowships, and new diversity internship opportunities. Our progress in this area includes:

1. James & Mary Pinchot Fellowship in Sustainability Studies

F&ES recently created the James & Mary Pinchot Fellowship in Sustainability Studies in order to bring diverse early-career faculty to our school. The Pinchot Fellowship represents our most significant investment in the diversity of our school this year. The Pinchot Fellowship is aimed specifically at U.S. minority academics in the environmental field. The selected fellow will come to the School for up to three years, during which time he or she will have the opportunity to build an academic portfolio through research and publishing, through collaboration with our faculty, and through teaching and mentorship opportunities with students. We received nearly 200 applications for the position, which demonstrates an overwhelming interest in this kind of opportunity. We are currently interviewing our top candidates, and hope to have a Pinchot Fellow at F&ES by January 2016. It is possible that our Pinchot search may also yield candidates who are qualified to join the faculty in tenure-track positions, and if hired by the School in the near-term, could eventually be named as Robina Professors in Environmental Diversity.

We have already identified several very strong candidates for the fellowship, who include a Native American, two African-Americans, and several people of Latino/a descent. Applicants' areas of scholarship include:

- Agriculture, agroecology, food justice, and biodiversity conservation.
- Urban issues, housing, and social justice.
- Climate change, urban policy and marginalized communities within cities.
- Rural livelihoods, environmental governance, and biodiversity conservation.
- Forest health, sustainable yield management, and indigenous ecological knowledge.
- Climate change, vulnerability, and citizenship.

We are looking forward to inviting the top candidates to present to our school community in September, and ultimately to welcoming one or more Fellows to the School. This will greatly enrich the life of the School, and will also help these diverse emerging scholars to be successful in academia.

2. Diversity Scholarship in the F&ES PhD Program

The School has committed multi-year funding in support of a new diversity scholarship in our PhD program in order to increase the rate of matriculation among US minorities within the 2015 incoming class.

3. New Recruitment Plan for Diverse Masters Students

We have developed a new recruitment model with a specific focus on outreach to communities historically underrepresented in the environmental field and in academia. This plan includes two main components: i) increased outreach to targeted public universities with diverse student populations; ii) more deliberate focus on connecting with specific minority-serving institutions — especially in the southeastern and southwestern portions of the United States. The public universities we are targeting this year include University of Massachusetts Boston, University of Maryland Baltimore County, Arizona State University, and University of California Davis. Minority-serving universities with which we will develop recruiting relationships include Howard University, Morehouse College, Spelman College, Clark Atlanta University, and Paul Quinn College.

4. POSSE Foundation Partnership

F&ES has funded a new full-tuition scholarship for alumni of the POSSE Foundation to attend our Masters program. The scholarship will fully fund one POSSE alumnus in each class. The POSSE Foundation is an innovative college-access organization that provides support for low-income and minority students throughout their college careers.
<http://www.possefoundation.org/>

5. Trust for Public Land – Diversity Internship Program

F&ES recently partnered with the Trust for Public Land, a national land conservation organization, to launch a new diversity internship program. Since 1972, the Trust for Public Land (TPL) has established a reputation as a leader in urban parks and open space creation and stewardship. As TPL's work continues to develop in urban areas across the United States, they are interested in building a pipeline of diverse environmental professionals who can help lead the organization forward. This new internship will place diverse F&ES masters students in fully funded internships at TPL offices around the country. The cost of the internships will be shared by F&ES and TPL.

A second key strategic objective is to encourage greater visibility and mutual support among a network of diverse environmental leaders nationally to inspire collaboration, exchange, and empowerment. One area of progress toward our goal of building a national network of diverse environmental leaders has been:

6. Fostering an Alumni-Student Network

Alumni of the F&ES Multi-Ethnic Student Association (MESA) are working with the School to create a greater variety of opportunities for minority alumni-student mentoring. This group is working with the Career Development Office to increase the number of alumni of color participating in the School's Environmental Leadership Mentoring (ELM) program, which connects F&ES alumni with current students for career mentorship. Our minority alumni have also been coordinating with the School to organize an event bringing together minority students and alumni during Reunion Weekend in October. We are also actively connecting our minority alumni to efforts through the Admissions Office to recruit a more diverse student body.

Finally, we have made progress on our goal to increase dialogue and collaboration around diversity and environmental justice in order to deepen understanding and increase empathy:

7. Diversity Digest – Encouraging Conversation Around Diversity and Equity

Maclovía Quintana, the inaugural F&ES Diversity & Sustainability Fellow, began a weekly email newsletter in March 2015 to increase awareness and dialogue around issues of diversity and inclusion within the F&ES community. The digest is sent to all F&ES students, staff, and faculty, as well as to subscribers from outside the School. The newsletter includes updates on diversity measures within F&ES and Yale, events and news from the New Haven community, and “food for thought from around the web,” a section summarizing current national news stories relevant to diversity, justice, and equity.

8. Outreach to Minority Youth in Connecticut

Of children in the New Haven Public School system, 54% are African American and 31% are Hispanic/Latino. F&ES is pursuing several initiatives to increase outreach to local minority high school students. These include: i) workshops on “Green Careers, Women Leaders” for female high school students in the New Haven and Bridgeport school districts; and ii) partnering with the Peabody Museum’s Evolutions Program — a free environmental science after-school program for high school students in the New Haven and West Haven school districts. We are working with Evolutions to host a regional conference for minority youth interested in environmental studies later this month (August 2015).

Appendix D – Anticipated Outcomes and Impacts

In the first 5 years, in partnership with the Robina Foundation, we are committed to:

- 50 diversity scholarships awarded to masters students
- 5 diversity scholarships for doctoral students
- 2-3 diversity post-doctoral positions
- 5-15 diversity internships with leading environmental organizations
- 5-10 new courses incorporating diversity and environmental justice themes
- 20-30 speakers participating in Diversity Speaker Series
- 2 national environmental diversity conferences with 100's of participants
- 10 visiting fellows
- 200 environmental diversity leaders from around the country participating as part of the proposed Robina Environmental Leadership Network (as previously described)
- 50-100 diversity stories, profiles and interviews with environmental diversity leaders appearing in School publications such as e360, Sage Magazine, and Climate Connections
- 2 new endowed diversity professorships

Yale School of Forestry & Environmental Studies
Alumni from Minority Backgrounds in Leadership Positions

Alyssa Arcaya '09 M.E.M., Acting Section Chief, U.S. Environmental Protection Agency, Region 2, National Pollutant Discharge Elimination System Program

Naina Arora '11 M.E.M., Portfolio Manager, U.S. Department of Energy

Terry Baker '07 M.F., District Ranger, U.S. Forest Service, McKenzie River District, Willamette National Forest

Sanjay Baliga '01 M.Phil., Senior Manager, Semiconductor Equipment and Materials International (SEMI)

Gary Barrett '96 M.F., Deputy Director, U.S. Agency for International Development, American Schools and Hospitals Abroad

Nina Bhattacharyya '09 M.E.M., Natural Resources Specialist, U.S. Department of Agriculture, Natural Resources Conservation Service

Jeffrey Blake '99 M.E.S., Director of Health, Safety, and Environment, Barnes Industrial

Cherelle Blazer-Higgins '05 M.E.Sc., Founder, Principal, and Director of Environmental Research and Policy Services, Urban Environmental Company

Nasser Brahim '10 M.E.M., Climate Risk & Resiliency Specialist, Kleinfelder

Gerald Bright '08 M.E.Sc., Manager of Green Infrastructure Maintenance, Philadelphia Water Department, Office of Watersheds; Member, Board of Directors, American Water Resources Association

Adrian Camacho '02 M.F.S., Inventory Arborist, Davey Tree Expert Company

Guillermo Castilleja '83 M.F.S., '91 Ph.D., Chief Program Officer, Environmental Conservation, Gordon and Betty Moore Foundation

Melisa Chan '05 M.E.M., Contract Attorney, Adams & Martin Group

Yenyen Chan '94 B.A., '02 M.E.M., Park Ranger, Yosemite National Park

Cindy Chang '09 M.E.M./M.B.A., Senior Consultant, Rebound Solutions

Donald Chen '98 B.A., '99 M.E.S., Director of Metropolitan Opportunity, Ford Foundation

Duncan Cheung '07 B.A., '08 M.E.M., Director of Product Innovation, Cleantech Group

Nicole Chevalier '99 M.E.S., Program Director, Emily Hall Tremain Foundation

Brandi Colander '07 M.E.M., Counselor to the Assistant Secretary for Land and Minerals Management, U.S. Department of the Interior

Kimpton Cooper '08 M.E.M., District Ranger, U.S. Forest Service, Angelina and Sabine National Forests

Stephanie Day '09 M.E.Sc., Environmental Consultant, Tennessee Department of Environment and Conservation

Aja DeCoteau '07 M.E.M., Watershed Department Manager, Columbia River Inter-Tribal Fish Commission

Rebecca de Sa '13 M.E.M., Sustainability Manager, PepsiCo

Derrick Dease '07 M.E.M., Environmental Manager, Holcim

Michael Dorsey '96 M.F.S., Interim Program Director, Energy & Environment Program, Joint Center for Political and Economic Studies

Tania Ellersick '12 M.F.S., Natural Resources Specialist, U.S. Forest Service, Forest Management

Emily Enderle '07 M.E.M., Chief Environmental Policy Advisor, U.S. Senate

Bryan Garcia '00 M.E.M., President and CEO, Connecticut Green Bank

Olivia Glenn '03 M.E.M., South Jersey Metro Regional Manager, New Jersey Conservation Foundation

Alfred Gonzalez III '96 M.F.S., Tenured Professor of Biological Sciences, Evergreen Valley College

Carlos Gonzalez '97 M.E.S., '03 Ph.D., Head of Global Regulatory Affairs, Novus International

Victor Gonzalez '77 M.F.S., President, Windmar Renewable Energy

Aliya Haq '12 M.E.M., Special Projects Director, Climate & Clean Air Program, Natural Resources Defense Council

Drena Howard '06 M.E.M./M.P.H., Director of Global Retail Environmental, Health, and Safety, The Estée Lauder Companies Inc.

Salima Jones-Daley '11 M.E.M., Founder and Consultant, Daley Bread Consulting

Kathayoon Khalil '10 M.E.Sc., Director of Evaluation, Natural History Museum of Los Angeles County

Maisah Khan '12 M.E.M., Special Advisor, U.S. Department of Energy, Office of International Affairs

Helen Kim '72 M.F.S., Associate Professor of Pharmacology and Toxicology and Director of 2-D Proteomics Laboratory, University of Alabama at Birmingham

Monika Kumar '05 M.E.M., Environmental Specialist, World Bank, Corporate Responsibility Program

Michelle Lewis '13 M.E.Sc./M.Div., Pastor, East Berlin (Connecticut) United Methodist Church; Chaplain, Hartford Hospital

Angela Lott-Aguilera '08 M.E.M., Senior Environmental Policy Specialist, Pacific Gas and Electric Company

Nicole Maywah '03 M.E.M., Environmental Specialist Consultant, World Bank

Nuria L. Muniz-Miret '92 M.F.S., Brownfields Coordinator, U.S. Environmental Protection Agency, Region 5

Thomas Murray '89 B.A., '95 M.E.S./M.P.P.M., Chief Operating Officer, Edgar Lomax Company

John Perez-Garcia '91 D.For., Professor, University of Washington, College of the Environment

Carlos Pineda '00 M.E.M/M.B.A., Co-Founder and CEO, Foresight Renewable Solutions

Christie Pollet-Young '00 M.F.S., Director, Greenhouse Gas Verification Program, SCS Global Services

Shyla Raghav '09 M.E.M., Director of Climate Policy, Conservation International

Nalini Rao '02 M.E.Sc., Economist and Water Resources Advisor, Conservation International

Steve Rhee '00 M.E.Sc., '06 Ph.D., Program Officer, Sustainable Development, Ford Foundation

Phil Rigdon '02 M.F., Deputy Director, Department of Natural Resources, Yakama Nation; President, Intertribal Timber Council

Kevin Samy '12 M.E.M., Chief Speechwriter, U.S. Environmental Protection Agency

Philip Santiago '13 M.E.M., Knowledge Center Program Manager, Association of Climate Change Officers

Abigail Sarmac '01 M.E.Sc., Program Officer, Lemelson Foundation

Bhavna Shamasunder '99 M.E.S., Assistant Professor, Urban and Environmental Policy
Department, Occidental College

Panah Stauffer '09 M.E.M., Enforcement Officer, U.S. Environmental Protection Agency, Region
9, Safe Drinking Water Act and Federal Insecticide, Fungicide, and Rodenticide Act
Programs

Jeffrey Stewart '97 M.E.S., Director Energy Program Development, Lawrence Livermore National
Laboratory

Dorceta Taylor '85 M.F.S., '91 Ph.D., Professor of Environmental Sociology, University of
Michigan, School of Natural Resources & Environment

Veda Truesdale '03 M.E.M., Senior Research Specialist, National Center for Neighborhood &
Brownfields Redevelopment, Rutgers University

Ryan Valdez '96 M.F.S., Senior Manager, Conservation Science and Policy, Clean Air, and
Climate, National Parks Conservation Association

Theo Varns '13 M.E.M., Forest and Land Use Consultant, Climate Focus

Mary Verner '92 M.E.M., Deputy Supervisor, Resource Protection & Administration, Washington
State Department of Natural Resources

Ray Wan '01 M.E.M., Creative Director, Earthjustice

Laura Washington '07 M.E.M., Fish and Wildlife Biologist, District of Columbia Department of the
Environment

Steven Williams '11 M.E.Sc./M.P.H., Global Environmental, Health, and Safety Manager, Amazon
Lab126

James Woodworth '01 M.E.M., Director of Tree Planting, Casey Trees

Lesley Yen '10 M.E.M./M.A., Acting Deputy District Ranger, U.S. Forest Service, Mammoth and
Mono Lake Ranger Districts, Inyo National Forest

Kim Yuan-Farrell '09 M.E.M., Executive Director, The Park People

Appendix E – Environmental Leaders' Speaker Series

Environmental Leaders: Diverse Voices on Climate Change and the Environment

Frances Beinecke and Peter Crane

Tuesday 5.30pm – 7.30pm

1 hour presentation followed by discussion

- Tuesday 8th September – Class 1 – May Boeve, Executive Director, 350.org
- Tuesday 15th September - Class 2 – Frances Beinecke
- Tuesday 22nd September - Class 3 – Adriana Quintero, Founder, Voces Verde
- Tuesday 29th September - Class 4 – Reverend Lennox Yearwood, President and CEO of the Hip Hop Caucus
- Thursday 8th October - Class 5 – Dorceta Taylor, Professor, Environmental Justice Field of Studies Coordinator, University of Michigan
- Tuesday 13th October - Class 6 – Margie Alt, Executive Director, Environment America
- Tuesday 20th October - Class 7 – Jon Carson, Senior Director of Solar Ambassadors, Solar City
- Tuesday 27th October - Class 8 – Aaron Mair, President, Sierra Club
- Tuesday 3rd November - Class 9 – David Sandalow, Inaugural Fellow, Columbia University's Center on Global Energy Policy
- Tuesday 10th November - Class 10 – Heidi Cullen, Chief Scientist Climate Central
- Tuesday 17th November - Class 11 – Manny Diaz, Senior Partner, Lydecker Diaz (Former Mayor of Miami)

CFR Listening Tour Debrief

March 4, 2015

General Comments about CFR

- Listening Tour at Yale re-confirmed Robina involvement there; new opportunities revealed in CFR meetings;
- Meetings elevated view of importance of CFR's role in foreign affairs;
- Over-arching question is "what kind of legacy do we want to leave at CFR?"
- Perhaps we could deal with legacy in connection with the capital campaign;
- Question is "What influence do we want to have?" CFR does not "need" Robina the way Allina and the U of M Law School do;
- CFR does not collaborate well with others;
- One option might be to give CFR funds without direction as to use;
- Could provide funds to address "Emerging Threats to the International Order" (e.g. \$X million in a wasting endowment or a matching grant);
- Important to understand what Richard Haass wants.

International Institutions: Global Governance

- Mixed view of performance of IIGG to date and importance going forward: priority #1 vs. no interest in additional funding; *#20 M - Burger Center Endow*
- Not as much progress/impact as would have expected; *\$8M endow chr. + prog. activities*
- Work of IIGG has been key to important changes within CFR; Stewart Patrick has been excellent; *\$2M / yr. for 10 yrs.*
- IIGG is core to CFR; will continue regardless of Robina support.

Global Health and Development Initiative

- Laurie Garrett is fabulous – well-known so could attract other funding; *\$8M - endow chr.*
- Top priority for several Board Members; *\$800k / yr. for unit.*
- If go forward with Global Health, need to understand what others are doing: scan issue, *\$8M to endow Fellow.*
- identify CFR's special role; major players, etc. *\$3M Mid-Career Fellowship*

Rule of Law Initiative

- Excellent leader; *\$6M over 5 yrs.*
- Mixed views on importance/priority: top vs. bottom of Board Members' lists.

Countering Violent Extremism Initiative

- Important niche; fits Robina Guiding Principles; *\$5M over 5 yrs.*
- Dynamic leader, but not a team player;
- Distinctive point of view – not clear how connects with others;
- Many actors in space;
- Collaboration required, which is not CFR's approach;
- Work dependent on others;
- Robina legacy not possible;
- Could provide modest funding to determine first steps to begin initiative.

International Affairs Fellowship

- Key operating program; central to CFR's work; *\$15M endowment*
- Somewhat less intriguing than other initiatives, but important to CFR and could be structured to fit Robina's priorities;
- Fellowships easily tied to naming opportunities;
- Robina could add two fellowships; *CoC - important*
- Could tie to diversity, perhaps in connection with Capital Campaign. *Global Rept. Card*

Support for Diversity Initiatives

- Could ask CFR for proposal, but CFR resists directives; *Jean Dassin Evaluation*
- People in the trenches of CFR human resources are interested; *Franklin Williams*
- This may be an area where we have leverage. *Fellows*

Tab 8 other book



International Institutions and Global Governance Program

February 2015

Seven years ago, the Robina Foundation chose to invest in CFR's International Institutions and Global Governance (IIGG) program. This proved to be a sound investment. Today IIGG is the world's foremost source for new ideas about today's transnational challenges and one of its most prominent venues for debating how to respond to them.

The logic that motivated the Robina Foundation in 2008 is even more compelling today. Existing institutions are straining to confront new threats, from global warming to financial crises to terrorism. They are struggling to incorporate emerging powers like China, India, and Brazil. And they are fighting to marshal sustained political backing in even the wealthiest parts of the world—not least the United States. Our divided and turbulent world urgently needs new thinking about how best to mitigate the downsides of globalization and seize new opportunities to advance mutual security and prosperity. For the past seven years, this is precisely what IIGG has provided, informing and influencing U.S. and global policies in positive directions.

IIGG's approach has been analytic, pragmatic, and catalytic. From climate change to peacekeeping to cybersecurity, IIGG has helped identify the main gaps in current international rules and institutions. It has worked with the dominant players in academia, business, civil society, and government to formulate policy recommendations that are at once innovative and practical. It has mobilized support at home and abroad for cooperative approaches to threats that no one country can confront alone. Finally, it has transformed CFR itself, by exposing the Council's influential membership to an expanding global agenda and by forging new connections among regional and issue experts in the David Rockefeller Studies Program. This work has repeatedly provided essential policy options for governments that deliver tangible benefits to citizens.

To inject new policy options into debates outside the United States, IIGG has built from scratch the only international network of think tanks dedicated to enhancing global cooperation: the Council of Councils. Recognizing that policymakers cannot act without support from citizens, IIGG has also invested in educational tools to inform domestic and international audiences about critical global problems and promising solutions to them. The interactive Global Governance Monitor and the *Internationalist* blog are the most comprehensive, engaging, and accessible resources for people seeking to learn more about global governance, and IIGG's creative marketing strategies have transmitted their insights to people around the globe. The forthcoming CoC Report Card on International Cooperation will expand IIGG's global reach even farther.

We are proud of this record of accomplishment. At the same time, our work has underscored that political convulsions, economic dislocations, and technological revolutions are raising the barriers to global cooperative action, even as they render it more essential than ever. Senior officials at the National Security Council, State Department, and other U.S. agencies increasingly turn to IIGG for assistance in designing strategies to overcome these hurdles. Our partners in the Council of Councils echo our concerns and are committed to helping CFR build an enduring, powerful coalition to design and disseminate policy options in the world's most influential countries.

To capitalize and build upon past successes, we propose to deepen and expand our work in four areas requiring policy attention, institutional innovations, and international cooperation:

- (1) improving collective security, notably the rules governing the use of force;
- (2) building a resilient and open world economy that can withstand both sudden shocks and protectionist pressures;
- (3) conserving the global environment as climate change and natural resources competition accelerate; and
- (4) addressing threats from illicit non-state actors, including terrorists and criminal groups.

Our objective in all of these issue areas will be to identify and promote more effective responses to the dilemmas created by the world's growing security, economic, ecological, and moral interdependence. In each case, we will ask: What are the main political and institutional obstacles to more effective international cooperation? What institutional reforms and cooperative strategies will surmount these hurdles and deliver better governance for citizens? What are the prospects for building bipartisan domestic constituencies in favor of constructive U.S. global leadership? How can CFR leverage its global networks to help overcome international divides, including those between established and rising powers?

(1) The Robina Foundation could build on IIGG's legacy of achievement in one of three ways. The first would be to make an endowment gift of \$20 million to support the establishment of a James H. Binger Center for Global Policy. A permanent Center would assist U.S. and international policymakers in managing critical challenges for decades to come. Such an endowment would permit the hiring of an additional fellow on global policy to support the work of a director, in addition to sustaining the program's publications, meetings, outreach, and other associated activities. The second would be to endow a chair (\$8 million) to support a director/senior fellow as well as ongoing programmatic activities. The third would be to provide the program with ten years of operating funds at \$2 million per year, which would continue the initial support the Robina Foundation has given IIGG.

We look forward to working with the Robina Foundation board to determine an appropriate way to ensure that CFR continues to conduct pioneering research, craft innovative proposals, and develop political strategies to advance effective international cooperation.

Global Health and Development Initiative

February 2015

Health and development are inextricably linked. A healthier public can work harder and longer, be more productive, and generate higher levels of economic growth. But most developing countries struggle to meet the health-care needs of their citizens. Global health programs have made enormous progress treating HIV/AIDS, preventing childhood illnesses, and improving maternal health, but as the recent Ebola epidemic shows, much more remains to be done. At the same time, the prevalence of diabetes, cancers, cardiovascular disease, respiratory ailments, and other noncommunicable diseases (NCDs) is rising rapidly in low- and middle-income countries. Once viewed as a problem afflicting affluent countries, NCDs are now the leading cause of death in the developing world. The chronic nature of NCDs means patients are sick longer and require more medical care. The resulting economic costs are high and escalating. In short, if the threat that infectious and noncommunicable diseases pose isn't met head on, many of the hard-won development victories of recent decades could be lost.

The Global Health and Development Initiative looks to inform policymakers and the public of the link between health and development and to identify the concrete, actionable steps governments and international organizations can take to ease the suffering and improve the health and prosperity of millions of people around the globe. The initiative would explore broad and consequential questions. They include: 1) What are the best practices in low- and middle-income countries for ensuring that health care is widely available and effective?

- 2) How can ongoing advances in biological research be harnessed to improve the lives of people in low- and middle-income countries and to protect them from new dangers? 3) What are the implications of unprecedented rates of urbanization occurring in Asia and Africa, along with changes in international trade and travel, agriculture production, and consumer product markets, for health-care outcomes on both continents? 4) What can be done to alleviate the acute shortage of skilled health-care personnel in most low- and middle-income countries? The initiative would produce a robust array of meetings, publications, and digital products that it will aggressively distribute to policymakers and the public, both in the United States and abroad, through traditional media such as print and television and social media such as Twitter and Facebook.

The Global Health and Development Initiative would build on the pioneering work done by CFR's Global Health Program. Over the last decade, it has become the world's go-to resource for global health policy innovations. The program has established cross-cutting networks that bridge the gap between health and foreign policy experts, developed trend-setting frameworks for studying global health, persuaded U.S. officials to develop pandemic preparedness plans, and increased public awareness of global health issues with innovative products such as the widely praised and viewed Vaccine-Preventable Outbreaks map and the Noncommunicable Diseases interactive.

The Global Health and Development Initiative can make a pivotal difference in global health outcomes for three reasons. First, CFR is unapologetically nonpartisan. CFR does not accept government funding, and it does not speak on behalf of any special interests. There are no questions it cannot ask, and no answers it cannot share. Second, CFR has unmatched convening power. Government officials, business and religious leaders, technical experts, journalists, and policy advocates around the globe and across the ideological spectrum participate in CFR activities, rely on its work, and act on its recommendations. Third, CFR has

diverse and unrivalled expertise. The Global Health and Development Initiative would draw on the deep and broad reservoir of knowledge of both CFR's senior fellows and its members. No other think tank or university approaches the array of talent that CFR can muster.

The health challenge for development requires new thinking and new solutions. But just as the need for well-researched policy analysis and guidance is increasing, foundation support for such efforts has dwindled. Across the developed world, funds have been increasingly channeled into scientific research and direct-service programs while support for sustained policy-based research critical to understanding how such efforts can reach their full potential has declined. This shift in funding priorities has dissuaded most think tanks from entering the global health field or to leave it if they did. The result is a significant and growing gap between need and effort.

The Robina Foundation could support the Global Health and Development Initiative in two possible ways. The first would be to endow a chair for a Senior Fellow for Global Health and Development (\$8 million). The endowment would support the senior fellow as well as the program's publications, meetings, outreach, and other associated activities. The second would be to provide the program with ten years of operating funds at \$800,000 per year.

The Robina Foundation could provide additional momentum to the program by endowing (\$3 million) a Global Health and Development International Affairs Fellowship that would enable talented mid-career professionals from academia or the private sector to spend a year in government working on health and development issues or mid-career government officials to spend a year at CFR. The Global Health and Development International Affairs Fellowship would be modeled on CFR's International Affairs Fellowship, which has more than five hundred alumni including former Secretary of State Condoleezza Rice, current U.S. Ambassador to the United Nations Samantha Power, and current Chairman of the National Intelligence Council Gregory Treverton. The goal of the Global Health and Development International Affairs Fellowship would be to develop a network of scholar-practitioners capable of translating path-breaking ideas on health and development into actionable policies.



Rule of Law Initiative

February 2015

Over the last three decades the world has seen heartening advances for electoral democracy. In many formerly non-democratic nations, free and fair elections have transformed the executive and legislative branches, helping to open up once closed processes and bureaucracies. Yet holding elections has done little to change the third branch of government—the judiciary—or to create democratic rule of law more generally. Unfortunately, in too many countries, violence, oppression, and corruption operate unchecked, curtailing equality, justice, and basic human rights while limiting individual opportunity and overall economic growth.

The repeated failure of elections alone to produce justice has focused renewed attention on the centrality of the rule of law. At the very least, the rule of law is critical to allowing citizens to exercise their rights freely and thereby realize the true meaning of democracy. But the importance of the rule of law, with its implicit notion of limits on power, likely goes beyond that. Promoting the rule of law may, in fact, be the best way to protect human rights and encourage democratic transitions that don't stop at periodic elections. If so, rule-of-law initiatives not only strengthen existing democracies, they lay the foundation for transitions to true democracy and the attendant benefits of freedom, justice, and equality.

Academics and policymakers have responded to the growing recognition of the centrality of rule of law by proposing and trying new ways to strengthen legal protections, including domestic truth and reconciliation processes, local and national justice reforms, and broader educational initiatives. Multilateral organizations and civil society groups are working to reduce corruption, end impunity, and hold governments accountable. These efforts have produced much good, but they have largely proceeded in isolation from one another. No systematic attempt has been made to bring these efforts together to find and share best practices, despite the clear advantages of developing “lessons learned” for ensuring life, liberty, and equality before the law.

The Civil Society, Markets, and Democracy (CSM&D) program at the Council on Foreign Relations (CFR) seeks to address this critical gap in our understanding of how to promote human rights and stable constitutional democracy with its Rule of Law Initiative. Established in 2011, CSM&D has championed forward thinking about the successes of, and challenges to, Western political and economic models of democracy and liberal capitalism. With the Rule of Law Initiative, CSM&D would launch a consciously *comparative* inquiry into efforts to promote justice, equality, and the protection of human rights, with the goal of identifying effective ways to promote and strengthen democratic governance.

The Rule of Law Initiative would leverage CFR's existing expertise, interdisciplinary approach, convening power, and unrivalled reach to generate actionable ideas that policymakers and civil society groups could use to improve the lives of people around the world. The initiative would actively involve policymakers, practitioners, academics, activists, and other experts in the conduct of its research rather than just viewing these groups as targets for its conclusions.

The Rule of Law Initiative would focus on three issues critical to strengthening democracy and promoting justice:

① *Ensuring Human Rights.* The basic political and civil liberties vital for democracy, economic prosperity, and personal well-being are absent or threatened in many countries. CSM&D would work to highlight innovative efforts to encourage broader recognition of these universal liberties, to grapple with past abuses, and to promote processes that encourage governments to protect their citizens from abuses.

② *Promoting Justice and Police Reform.* Countries around the world are experimenting with how to make their justice systems more effective, transparent, and impartial. There are also efforts to transform local, state, and federal police—in some places moving away from authoritarian or military pasts, in others professionalizing weak or disorganized civilian forces. Important lessons can be gained in comparing these diverse efforts—what has worked, what hasn't, and what intended and often unintended consequences they have triggered. These lessons can, in turn, inform the efforts of major donor countries to promote rule-of-law efforts.

③ *Curtailling Corruption.* Corruption is regrettably pervasive and destructive in emerging democracies and economies. It undermines justice, economic opportunity, and substantive democracy. CSM&D would create digital "corruption trackers," modeled on the widely praised Nigeria Security Tracker, to track anti-corruption efforts in countries that are leaders in their region, with the aim of inspiring similar efforts elsewhere. CSM&D would also analyze efforts to increase transparency and accountability through judicial, law enforcement, and bureaucratic reforms, drawing out lessons learned and best practices to better inform current and future efforts.

The Rule of Law Initiative would leverage CFR's current scholarship in these three areas, including work by Josh Kurlantzick on Southeast Asia, John Campbell and Jendayi Frazer on Africa, Shannon O'Neil on Latin America, and continuing the work of Senior Fellow Mark Lagon (who recently departed to lead Freedom House) on human rights. The Rule of Law Initiative would also enlist the talents and expertise of CFR's unmatched membership, which include leaders from government, business, academia, and civil society groups. CSM&D would develop and promote its insights through publications, digital interactives, roundtables and workshops, and an annual symposium focusing on the challenges that specific countries face. As with all other CFR initiatives, CSM&D would consciously design its work and outreach to inform and influence high-level policy debates and the broader public.

Full support for the Rule of Law initiative would require roughly \$6 million over five years. This would enable CSM&D to galvanize and expand the scholarship already underway on Africa, the Middle East, Southeast Asia, and Latin America. CFR would hire a full-time senior fellow on human rights and create a fellowship, modeled on CFR's successful International Affairs Fellowship, to bring a distinguished thought leader or activist on rule-of-law issues to spend a year in residence in CFR's offices in either New York or Washington, DC. CSM&D would aggressively disseminate its findings through traditional media, CFR's award-winning website, and social media.



Countering Violent Extremism Initiative

February 2015

The recent shootings in Denmark, the Charlie Hebdo massacre in Paris, and the attacks by lone gunmen in Sydney and Ottawa highlight the threat that jihadi extremists pose to the West. It is a threat that has already metastasized in parts of the Middle East and Africa. ISIS has seized control of parts of Iraq and Syria, importing foreign fighters and just as importantly sending them back home. The Pakistani Taliban is waging war against both the Pakistani government and their Shiite co-religionists, adding fresh instability to an already fragile country. Boko Haram terrorizes Nigeria and attacks neighboring countries. ISIS disciples in Libya brutally execute Coptic Christians. All signs point to the list of countries wracked by jihadist violence growing rather than shrinking.

Most discussions of defeating jihadist groups turn immediately to military responses, improved intelligence, and better law enforcement. While all three steps are necessary, they are not sufficient to meet the jihadist threat. It is just as important to challenge and discredit the very ideas that fuel the jihadist cause. Violent Islamic extremists recruit followers by manipulating ideas that resonate with many Muslims. These ideas stress the West's innate hostility to Islam, the moral duty to fight Islam's enemies, and the heavenly reward that awaits those who fulfill their duty. Until these ideas are delegitimized, jihadist groups will continue to operate, and even grow, no matter how many of their fighters are killed or captured.

Governments and civil society organizations around the world have increasingly come to recognize the need to actively counter the jihadist narrative. The result has been a flurry of programs, centers, and initiatives looking to generate counter-radicalization strategies (keeping people from joining jihadist groups) and deradicalization strategies (encouraging jihadists to renounce violence). What is unclear; however, is precisely which if any of these efforts work.

The Countering Violent Extremism (CVE) Initiative seeks to fill this knowledge gap by examining the critical questions of how countries can prevent their citizens—largely, but not solely, young men—from being recruited to join jihadist groups and what steps they should take to deradicalize those who have embraced radical ideologies. The initiative will examine and assess strategies being deployed in both the West and in Muslim-majority countries in the Middle East and in South and Southeast Asia. Given that the recruitment strategies of extremist groups share many similarities regardless of their ideologies, the initiative will also examine the strategies that have been used to discredit and delegitimize non-Islamic extremist groups. In pursuing both avenues of analysis, the initiative will actively involve a wide range of policymakers, academics, activists, and other experts in its research. The goal will be both to solicit their insights and to encourage them to share the initiative's findings with a broader global audience. ✱

The CVE Initiative would build on the pioneering work that CFR has done in the field of combatting extremist violence. In 2011, CFR collaborated with Google Ideas on the Summit Against Violent Extremism, the first meeting of its kind to examine the recruitment tactics used by a range of extremist groups, from jihadists to neo-Nazi skinheads to gangs in American cities. In 2013, Senior Fellow Ed Hussain, a former Islamist himself, proposed the creation of a "Global Fund" to support local efforts to counter jihadist narratives and promote deradicalization. That proposal prompted the U.S. State Department, working with friendly countries, to

launch the Global Fund on Community Engagement and Resilience later that year. It supports efforts by local groups to promote alternatives to radicalization. Adjunct Senior Fellow Farah Pandith previously helped the U.S. State Department design strategies for how U.S. embassies in Europe can work with host countries to counter jihadist ideology.

Full support for the CVE Initiative would require roughly \$5 million over five years. This would enable the initiative to produce a broad range of written publications and digital products. It would also enable CFR to host an annual high-level symposium examining the success of CVE efforts around the world, as well as "flashpoint workshops" intended to allow U.S. government officials and regional experts to examine jihadist dynamics in specific countries. Each year, the CVE Initiative would invite a distinguished thought leader or activist in the fight against violent extremism to spend a term in residence at the Council's offices in either New York or Washington, DC. CFR would aggressively disseminate the findings of the CVE Initiative through traditional media, CFR's award-winning website, and social media.



International Affairs Fellowship

February 2015

Over the past forty years, CFR's International Affairs Fellowship (IAF) program has established itself as a training ground for the next generation of foreign policy leaders. Each year it gives eight to ten talented individuals between the ages of twenty-seven and thirty-five the opportunity to hone their analytical capabilities and to broaden their foreign policy experience at a pivotal time in their careers. Candidates from academia and the private sector are selected by a committee of CFR members for one-year fellowships that they spend in government at places such as the departments of state, defense, and treasury or the World Bank. Similarly, rising stars in government are given the opportunity to spend one year in a scholarly setting such as a think tank or university, free from the day-to-day pressures faced by bureaucrats.

More than 550 individuals have participated in the program since it was established in 1967. Former Secretary of State Condoleezza Rice, U.S. Ambassador to the United Nations Samantha Power, Chairman of the National Intelligence Council Gregory Treverton, Undersecretary of State Rose Gottemoeller, former Deputy Secretary of State James Steinberg, and former Undersecretary of State Joan Spero are just a few of the many accomplished figures who are part of this alumni network. At the 2013 IAF Conference, an annual event that highlights the work of each year's class of fellows and attracts more than 150 attendees, then U.S. Ambassador to NATO Ivo Daalder described his IAF placement at the National Security Council nearly two decades earlier as "a career changing experience . . . I started to appreciate not only policy from a different angle, but policymaking. It changed the way I taught. . . . It changed the way I wrote. . . . It did exactly what you want the IAF to do." Today the fellowship continues to produce an extraordinary cadre of scholar-practitioners who are prepared to undertake work that is relevant and applicable to the full range of foreign policy challenges facing the United States and the world.

The deep and talented applicant pool and the high demand for IAF fellows by government agencies shows that CFR is fulfilling a clear need with the IAF program. But following initial investments by the Ford Foundation and others during the program's early years, funding for mid-career fellowships such as the IAF has become scarce. As a result, it is becoming increasingly difficult to sustain the current eight to ten fellowships and the fellowship stipend has become less competitive. The White House Fellowship, the IAF's only peer competitor, offers an annual salary (with health benefits) of \$114,000, compared to the IAF's annual stipend of \$85,000.

CFR is looking to establish an endowment that will sustain the IAF program at this level in perpetuity. An endowment gift on the order of \$15 million would make that possible, and CFR would be honored to name this prestigious Council program the James H. Binger International Affairs Fellowship. Such an endowment would make it possible to maintain the IAF stipend at a level comparable with the White House Fellowship. It would also allow CFR to significantly enrich the IAF program by restoring the travel grants it once offered to each fellow. IAFs are routinely invited to speak at high-level events, but CFR has been unable to provide travel funds as the result of cost-cutting measures. Travel grants would substantially boost the visibility of fellows and enrich their experience. Finally, an endowment gift of this size would significantly enhance current IAF programming and provide additional networking events for current and former IAFs throughout the year.

Diversity

Abbott Northwestern Hospital/Allina Listening Tour Debrief

April 28, 2015

Abbott Northwestern Hospital / Allina: *LifeCourse*

\$25M over 5 yrs

Pluses:

- End-of-life care is a hugely important issue; *LifeCourse* could make a big difference;
- Overall initiative is well thought-out; looks promising - this could be a real winner;
- Impressive, talented team willing to make corrections;
- Involved national board working closely with *LifeCourse* leadership team;
- Involvement of Penny Wheeler as visible spokesperson.

Concerns:

- Need clear proof of concept before major expansion effort;
- No clear goals and successful approach to increase the diversity of the initiative despite Robina prodding and questions;
- Continue to have questions about communications and outreach strategies;
- Need additional information about efforts made and goals, including detailed plan to overcome historic issues.

Improve Group
Evaluation

Robina LifeCourse – Allina Health Delivering ‘What Matters Most’ in Late Life

“The moral test of government is how that government treats those who are in the dawn of life, the children; those who are in the twilight of life, the elderly; and those who are in shadows of life, the sick, the needy, and the handicapped.” — Hubert H. Humphrey

To build on the spirit of Senator Humphrey’s powerful call-to-action, Allina Health is asking the Robina Foundation to consider a 5-year philanthropic investment of \$25 million to implement a deeper, more comprehensive and expansive activation of LifeCourse. In doing so, the Robina Foundation will:

- Demonstrably change the arc of living for individuals with serious illness by attending to quality of life, and by restoring dignity and control in the final years of life.
- Provide compassionate and informed support to families and friends of those patients.
- Transform a part of the health care delivery system that is currently failing this critical patient cohort in both cost and care, via an evidence-based model anchored in clinical study and rigorous financial analysis.
- Lead an urgently needed national conversation around the health care of aging.
- Influence the policy decisions necessary for a higher performing healthcare delivery system.
- Create long-term impact on the healthcare system and profound short-term impact on countless individual lives.

Background

The Robina LifeCourse program, founded in 2012, set out to address the limitations in existing end-of-life arrangements and the upstream challenges people face when reaching the final stages of serious progressive illness. LifeCourse focuses on the institutional and societal changes needed to effectively care for ‘what matters most’ to people in the end. By building collaborative relationships, we are changing the conversation and developing the means to systematically improve late life care.

Why Now

Late life has become a focus of national attention with Atul Gawande’s bestselling book *Being Mortal*, IHI’s Conversation Project, and Ken Burns’ series on cancer, *The Emperor of All Maladies*. Two of our LifeCourse national advisors are engaged in dialog at the federal level as contributors to the Institute of Medicine’s most recent publication, *Dying in America*. The time is ripe to exploit this rise in national consciousness and come forward with a pragmatic, comprehensive, evidence-based model – LifeCourse. LifeCourse can uniquely contribute to the local and national need for supports and solutions that address the time in individual’s lives after chronic disease has set in and before end of life, so as to positively affect quality of life and experiences and elicit patient-centered care and utilization.

LifeCourse Today

The LifeCourse approach is to listen and care for people ‘where they are at’ and honor their story across systems. LifeCourse is delivered in-person and in-home, connecting patients, their caregivers, and their care system teams. Outcomes thus far are consistently positive and approaching statistical significance, demonstrating a slower rate of decline in quality of life (and in some areas, improvement) among patients as compared to controls; improved patient and caregiver experience as compared to controls; and a 17% reduction in total cost of care, coupled with increases in utilization of hospice and inpatient palliative care. To date, one publication and presentations at 4 Minnesota conferences and 8 national conferences are confirmed for this year, with another 13 publication submissions and 6 conference submissions in the queue. National conversations with Mayo (V. Montori), Dartmouth (G. Elwyn), and Yale (M. Tinetti) reinforce the innovative value of the LifeCourse approach.

The LifeCourse team, with Twin Cities Public Television, has aired 6 documentaries with 3 more to air this year (available, along with our public engagement activities, at www.LifeCourseMN.org). In addition, KMOJ, in partnership with LifeCourse, hosted a community conversation on April 23 for the African American community, with continuing broadcasts by AMPERS across diverse public radio stations. On June 3 and November 19, the team will host additional stakeholder conversations for leaders in community, faith-based, health, and public sectors with broadcasts on public television following the events.

Accelerating Impact

LifeCourse holds enormous promise as a bold, ambitious and evidence-based change agent. The model is demonstrating positive clinical outcomes, improved patient wellbeing, and the potential for cost savings. The imperative, however, is to scale the model, by finding productive business models and driving awareness, acceptance, and behavior change. Meaningful impact will require broad and deep adoption at many levels – by payers, providers, and policymakers – in order to establish structures and systems for implementation, and to drive engagement by patients and key friends and family members.

The expanded Robina investment will enable development of the pathways reasonable and practical payer models and the community engagement necessary to drive behavior change among providers, patients, and their key friends and family. LifeCourse plans for 2016 – 2020 revolve around implementing the program across Allina Health, accompanied by a payer integration strategy for sustainable reimbursement, and engagement of the local and national community aiming for lasting impact through broad dissemination, adaptation and ongoing evaluation.

Integration of LifeCourse across Allina Health will require an implementation process that allows for any eligible patient to receive support through any individual mechanism they rely upon to connect with the organization (e.g., primary care relationship, specialty provider support, hospital discharge). As LifeCourse is expanded to scale, payment streams for improved cost-effective results will lag the real-time loss in hospital revenue. Robina Foundation funds will be vital during the payment transition, as reimbursement shifts more toward pay-for-performance and value-based purchasing. Allina Health will take advantage of its position as a Pioneer Accountable Care Organization with the Centers for Medicare and Medicaid Services to champion further risk-sharing contracts, as well as explore numerous additional payment options, the assembly of which will yield sufficient coverage for transition away from philanthropic support internally and yield replicable payment models for other early adopters.

Broad engagement locally should yield opportunities for dissemination and deployment of LifeCourse in other organizations, including other provider groups, assisted living, public housing, faith-based and community-based organizations. Micro grants will support early adopters especially around bridging socio-economic and racial barriers. Further seed opportunities, such as enlisting caregivers who could be trained as care guides, will also be explored.

The impact of LifeCourse will be enhanced through community engagement as well as broad dissemination across the Twin Cities and nationally. Increasing awareness of LifeCourse and late life options through media engagement and outreach will be a key activity, including carrying forward the message of a better approach to late life. Expanding the message about LifeCourse beyond the Twin Cities and tying our media approach to the national dialogue will help spur discussion and adoption of LifeCourse and generate greater conversation nationally around how late life care is delivered. A strategic communications plan will allow for the connection of seminal publications and national presentations to key healthcare publications and mainstream media outlets, maximizing the ripple effect of LifeCourse. Such a strategic plan, with proper pacing and sequencing of messaging, allows us to influence the five key levers in healthcare decision-making – patients, payers, providers, policymakers, and key friends and family members, all toward a profound impact on those in the twilight of life.

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A graduate of Davidson College and the University of North Carolina at Chapel Hill School of Medicine, she completed her internal medicine residency, chief residency and geriatric fellowship at the University of Alabama at Birmingham (UAB). She is a board certified geriatrician and palliative care physician and has a long-standing experience in clinical care delivery models, medical home care and advanced illness research. She is a recipient of an NIA-funded Geriatric Academic Leadership Award in Advanced Illness and Multimorbidity. She is also an inaugural member of the NIH-funded national Palliative Care Research Cooperative. She is an Associate Editor for the Journal of Palliative Medicine, serves on the Editorial Board of the Journal of Gerontology: Medical Sciences and is on the Board of the American Academy of Hospice and Palliative Medicine. Dr. Ritchie serves on the Public Policy and Research Committees of the American Academy of Homecare Physicians, has built and directed integrated health care programs that included medical house calls and has previously created a highly successful medical registry for managing patients with advanced chronic obstructive pulmonary disease in two health care systems.

Dr. Ritchie's goal is to build a research program at UCSF at the interface of palliative care and geriatrics that seeks to improve quality of life and patient outcomes for those experiencing complex serious illnesses. Emphasis areas are in the area of chronic serious illness, multimorbidity, symptom burden and patient care complexity. She is currently studying the impact of symptom burden on health care utilization in individuals with multiple chronic conditions including cancer. She is also evaluating how patient-centered monitoring technology can be used to support patients and families with serious illness in their transition from the hospital to home.

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Program Evaluation for The Robina Foundation: An
Environmental Scan of LifeCourseTM

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EXECUTIVE SUMMARY

To examine how LifeCourse: Late Life Supportive Care (LLSC) is different or similar to other supportive care initiatives and how it fits into the current landscape of initiatives seeking to transform late life care, Tideswell at UCSF, with in the Division of Geriatrics, conducted an environmental scan of the current landscape of initiatives. We defined supportive care programs as programs that provide person-centered care and are informed by the philosophy of palliative care.

LifeCourse, an initiative of Allina Health, is a person-centered approach to late life care aimed at improving supportive care for patients, their families, and caregivers. The program is unique in that trained lay health workers, Care Guides, work with patients and families to design a person-centered approach to address complex medical and nonmedical needs. Preliminary findings of LifeCourse suggest modest impact on quality of life, increased use of hospice services, increased completion of advance directives, and reduction in healthcare utilization.

Tideswell at UCSF utilized two primary strategies to conduct an environmental scan of exemplary supportive care programs and knowledge in this area, including: email and phone interviews with key stakeholders and a comprehensive scan of the literature.

Our evaluation revealed that the LifeCourse program shares several common key elements with other current initiatives in the field. These common elements included the use of comprehensive assessments, focusing on a target population, and developing care plans with patient-centered goals. The majority of the programs utilized home visits to some degree, and had an interdisciplinary team to both provide care and address domains of distress (physical, emotional, social/financial, and spiritual). A unique feature of LifeCourse was the use of Care Guides. No other programs appeared to utilize trained lay health care workers to provide regular and structured care visits aimed at whole-person care. Based on the available information, there were also several key elements not identified in the LifeCourse program, including the use of novel telehealth technologies (i.e., videocare), regular involvement of volunteers, attention to housing issues, and efforts focused on continuous quality improvement,

→ In the future, LifeCourse and similar programs may benefit from increased attention to quality improvement efforts that identify and address unmet needs, and delineation of program characteristics most relevant for success and replication. Utilizing an evaluation framework, such as RE-AIM (Reach Effectiveness Adoption Implementation Maintenance) or another similar framework could foster increased knowledge of the program elements necessary to promote dissemination, long-term impact and sustainability.

INTRODUCTION AND OVERVIEW OF LIFECOURSE

There is a growing interest in identifying ways to improve the quality of supportive care for patients with life-limiting illnesses and their families. This report is in response to The Robina Foundation's interest in better understanding the current status of supportive late life care model programs as they relate to and differ from LifeCourse: Late Life Supportive Care (LLSC). For the purpose of this report, we define supportive care as person-centered care for persons with advanced illnesses that is informed by the philosophy of palliative care.

The evaluation was conducted by Tideswell at UCSF in the Division of Geriatrics, at the University of California San Francisco. Tideswell at UCSF focuses on improving the quality of care for older adults with chronic conditions and functional limitations living in our communities through evaluation, leadership development and training.

LifeCourse: Late Life Supportive Care (LLSC)

The overall goal of LifeCourse has been to develop and test a model of late life supportive care for patients, their families and caregivers. This multiyear study (2012 to current) aims to create a care model that supplements hospice and palliative care initiatives by providing comprehensive and holistic care. LifeCourse aims to accomplish the following goals:

1. Address patients' and families' wishes and goals by reflecting the needs of the whole person;
2. Improve the overall quality of life for patients and their families;
3. Improve the care experience of individuals and their families;
4. Improve the utilization of palliative care and hospice, with a focus on avoiding undesired hospital admissions;
5. Lower total healthcare costs; and
6. Improve the job satisfaction of the LifeCourse team members.

One of the unique and key aspects of the LifeCourse model is its focus on the use of trained lay health workers or "Care Guides." Care Guides meet with patients and their families monthly to deliver whole-person care through the use of structured interviews, assessments and activities, including individualized goals and care planning, decision-making, and advance care planning. Care Guides receive specialized training to aid them in guiding patients and families to better understand their needs and strengths in ways that create a supportive care environment and leverage healthcare and community resources.

LifeCourse utilizes, in their words, "an expanded set of palliative care domains to explore whole personhood, guiding principles to support ongoing relationship and engagement, and five key activities that provide structure to the daily work – whole person, storytelling, individualized planning, normalizing and collaborating." The LifeCourse model is comprised of the following three concepts:

1. "The Guiding Principles" aimed at ensuring that both patients and their families are respected and involved partners in the care plan;
2. A focus on the whole person in order to address their medical and nonmedical needs; and
3. Structured care guide's visits using best practice protocols and key activities (whole person, storytelling, individualized planning, normalizing and collaborating).

ENVIRONMENTAL SCAN METHODOLOGY

Tideswell at UCSF conducted an environmental scan of supportive care initiatives similar and different to Allina's LifeCourse Program. The environmental scan focused on the current status of community-based palliative and supportive care programs. The methodology used for the environmental scan included in-depth interviews with several key stakeholders, a literature review of current (within the past 10 years) supportive care initiatives (including websites, published documents, and online resources), and a brief email survey to several leaders of some of the identified programs and initiatives.

Key Informant Interviews

Penny Hunt from the Robina Foundation assisted in identifying the initial key informants in the field of palliative care with broad knowledge of notable supportive care programs. The snowball sampling approach involved asking the initially identified informants to identify additional key initiatives that were considered exemplary programs and/or contacts that were highly knowledgeable of the field. We conducted semi-structured interviews with a subset of these informants; the interviews were focused on identifying program elements deemed responsible for the success of innovative programs providing supportive care.

Identifying Exemplary Supportive Care Programs

After identifying the major elements and program components of the Allina's LifeCourse Program from past annual reports and publications, we utilized two sources of information to identify other exemplary supportive care programs being implemented nationally: (1) Peer-reviewed literature, and (2) the Gray Literature (academic materials not formally published).

For the peer-reviewed literature search, we conducted a search of keywords, including the terms: palliative care, end-of-life care, community, patient-centered, advanced illness, and home-based care, as well as the previously identified program or the program director's name. Using these keywords, the team searched for related, peer-reviewed articles. PubMed and Google Scholar were used to identify both descriptive qualitative and quantitative studies. With respect to the gray literature, we scanned websites, news articles, reports, conference proceedings and other online sources for details on the initiatives' program components. This included reviewing materials from the Coalition to Transform Advance Care (C-TAC), the California Healthcare Foundation, and the Center to Advance Palliative Care's (CAPC).

FINDINGS

We emailed surveys to 8 leaders in palliative and supportive care, some of whom also were leads of exemplar programs: Robert Arnold, MD, The UPMC Palliative and Supportive Institute, University of Pittsburgh School of Medicine; David Casarett, MD, Penn Medicine's CLAIM: Comprehensive Longitudinal Advanced Illness Management; Deb Gleason, Optio Health Services; Michael Jasperson, At Home Support, Hospice of Michigan; Joan Karnas, United Healthcare Advanced Illness Care Management Program; Dana Lustbader, MD, ProHEALTH Care Support; Donna Stevens, OACIS Services at Lehigh Valley Hospital; and Jeanne Twohig, Promoting Excellence in End of Life care and on the Duke Institute. We then interviewed a subset of 5 informants by phone (including LifeCourse External Advisory Board members Joanne Lynn, MD, Altarum's Center for Elder Care and Advanced Illness; and Diane Meier, MD, the Center to Advance Palliative Care) in order to obtain further details about the exemplary initiatives' services and program components. Key informants were largely affiliated with universities/colleges, hospitals and other health-related agencies.

Through our discussions with key informants and the literature review, we identified 22 exemplary programs (see Tables 1 and 2) that were currently providing late life supportive care for individuals with advanced illnesses. These programs came from a range of health care delivery environments.

In our interviews, surveys and review of these exemplary programs, we identified 16 key elements that appeared to contribute to the success and effectiveness of these programs in providing supportive care to those with serious illness. Not all of these elements appeared to be present in any one program. However, these elements were noted by both informants and in the literature as relevant to high-quality supportive care.

Key Elements

1. *Comprehensive assessment*—involving the use of a range of assessments to measure the physical, emotional, social, spiritual, financial wellbeing of the patient, as well as the caregiver and their families.
2. *Careful selection of the target population*—referring to identification of patients using clearly defined criteria that includes patient/caregiver needs, prognosis and use of healthcare services.
3. *Development of a comprehensive care plan*—involving the creation and implementation of a holistic, personalized care plan.
4. *Patient-driven goal setting and alignment*—involves clarifying goals of care through a process of shared decision-making and assuring that every aspect of the care plan aligns with these goals.

5. *Effective symptom management*—assessing and managing physical symptoms throughout the patient's life course.
6. *Addressing nonmedical domains of distress/suffering* (emotional, social/financial, spiritual)—providing care in a holistic way that meets the patient's, caregivers', and families' needs and wishes.
7. *Advance care planning*— supporting patients in understanding and sharing their personal values, life goals, and preferences for future medical care.
8. *24/7 coverage*—providing access to continuous clinical support to patients and caregivers in person or via telephone.
9. *Telephonic/videocare support*—using telemedicine to optimize access to and interaction between patients and caregivers.
10. *Home visits*—providing medical and social services in the patients' home.
11. *Interdisciplinary care that includes nursing/social work*—using interdisciplinary teams to provide supportive care.
12. *Lay health workers*—involves training individuals with no professional health degree to provide functions related to supportive care for patients and their families. Also sometimes referred to as community health worker, peer counselor, lay health advisor, peer health advisor, and peer leader.
13. *Use of volunteers*—utilizing volunteers to address patients and families' physical, emotional, social and other health needs.
14. *Geographic-focused*—attending to geographic constraints by effective use of clustering, telemedicine, and community workers.
15. *Attention to housing*—leveraging services to prevent homelessness, evictions, etc., as well as addressing issues around the built environment (e.g., neighborhood safety).
16. *Continuous quality improvement*—collecting, analyzing and actively utilizing performance data to improve the quality of services and to better understand undesirable or adverse patient outcomes.

Common Elements in Programs

The majority of the exemplary programs (especially those with widely published findings) provided comprehensive assessments, targeted a high-need population, and developed a thoughtful care plan based on patient-driven goals (Tables 1 and 2). With regards to assessments, the majority of programs conducted a medical history, medication review,

physical assessment, and some of the programs conducted a home safety assessment. Many programs defined their target populations as older individuals with specific advanced illnesses (i.e., congestive heart failure, cancer, dementia) and a prognosis of 1 year or less.

Further, most of the programs addressed various domains of distress, engaged in advance care planning, provided telephonic support, and offered home visits. Interdisciplinary care, including the use of social workers, nurses, clergy, psychologists, homecare aides and other health workers was also common. While the majority of initiatives utilized home visits, the extent of home visits also varied across the identified programs. Some programs offered home visits at prescribed intervals while others provided visits as needed. For instance, SHARP Transitions Program offered a tiered level of home visits, with 4-6 home visits during the active phase (1 to 3 months) and then followed with 1-2 visits per month plus telephonic support during the maintenance phase.

While the majority of programs provided 24/7 care support via telephone, it was difficult to ascertain the extent of continuous access to clinical evaluation and treatment provided by programs. Similarly, it was difficult to ascertain the nature of 24/7 support provided by LifeCourse. Further, the training or expertise of the individuals providing 24/7 care support was often unclear. For instance, some programs offered 24/7 telephone services, which could include a 24/7 helpline or more extensive 24/7 care provided by nurse care managers or physicians. Also some programs offered 24/7 after-hours home visits, such as Kaiser Permanente's In-Home Palliative Care program.

The majority of programs were geographically focused unless they were part of a larger health system. For instance, some programs required that patients reside within a predefined geographic distance from the hospital in order to make home visits more feasible. Others had less defined geographic parameters, but often these programs had a limited scope of services.

Unique Elements in LifeCourse

A relatively unique element of LifeCourse is its use of lay health workers or "Care Guides" to provide the majority of routine care support (e.g., assessments, care and goal planning, attention to multiple domains of distress, advance care planning, etc.). Lay health workers, or sometimes referred to as community health workers, have been defined as the use of individuals from the community who have no professional health degree. Lay health worker typically receive job-related training to perform various functions important for health care delivery. No other programs could be identified that utilized lay health workers in a similar way to LifeCourse. However, many of the identified programs utilized trained health professionals such as nurses, social workers, or health educators to provide care support. For instance, Kaiser's Advance Illness Coordinated Care (AICC) Program relied on social workers and health educators to provide a 6-session program to provide non-health specific counseling, education and care coordination. Another program, Hospice of Michigan's At Home Support, utilized nurses and social workers to provide motivational interviewing-based health coaching to better engage caregivers in health care decision-making.

We identified several other programs that utilized a lay health workers model to provide care, but they were not focused on supportive care or the same population as LifeCourse (See references on lay health workers). For instance, one recent study utilized lay health workers to provide tailored care to low-income patients with chronic conditions who were being discharged from the hospital (Kangovi et al., 2014). These lay health workers were from a similar socioeconomic background as patients, and they were trained to provide care support in 3 stages: goal setting, goal support, and connecting patients to primary care services. Compared to the control arm, patients with lay health worker support were more likely to obtain timely post-hospital primary care, reported higher quality communication with care providers, showed improvements in mental health, and a reported taking a more active role in their care plan.

Key Elements Not Identified in LifeCourse

While the majority of the programs identified, including LifeCourse, utilized an interdisciplinary team to provide routine care support, very few of the programs relied on volunteer support. Three programs (Aetna's Compassionate Care Program, CLAIM and Hospice of Michigan's At Home Support) were identified that utilized volunteers to enhance the provision of social and emotional support to patients and their families. Volunteers may help to extend the presence of the care teams, and could be an untapped resource for other programs.

Based on available information and input of key informants, very few of the programs identified were utilizing technologies such as videocare or Skype-like services to assist in clinical care consultations. Only one program (ProHealth Care Support) described the use of Skype-like virtual visits to provide medical care to people with advanced illness in their home. This technology allowed the care support program to leverage their physicians' expertise and provide 24/7 clinical support. Additionally, not all programs offered clinical symptom management. It was unclear whether clinical symptom management was an integral part of LifeCourse, especially given the "lay healthcare worker status" of the Care Guides.

Limited information was available on LifeCourse and other program's engagement in continuous quality improvement. Continuous quality improvement often monitors processes and outcomes, including patient recruitment, dropout, and other outcomes that could be important for refining the target population, adjusting the intervention, and accounting for unanticipated and adverse outcomes. While LifeCourse is collecting data on quality of life, cost and utilization outcomes, it is less clear how they are evaluating the root causes for attrition (among those enrolled). It was also difficult to ascertain how adverse events and unintended outcomes were being evaluated. LifeCourse and other programs in the field may benefit from examining patterns of frequent rehospitalizations and care that results in high costs and trying to better understand (through both chart abstraction and patient/family interviews) potential causes for these events.

Attention to housing was another key element that was not mentioned by LifeCourse or other initiatives. This includes efforts to prevent evictions/homelessness, partnering with programs to address neighborhood safety, and other issues of the built environment. It was also unclear whether programs partnered with homeless service providers, or provided care in other supportive environments, such as transition to supportive housing. A few current duals demonstration projects are incorporating housing into their programs. These projects may offer insights to supportive care programs in the future.

During the environmental scan we also identified several programs that were no longer operating or had to scale down their services. We did not identify a sustainability plan for LifeCourse or many of the other exemplary supportive care programs. This finding raises the important issue of developing a business case to continue programs after external funding ceases. Programs that have been able to successfully maintain and/or expand services tend to have a diverse financial portfolio, supplementing Medicare fee-for-service with philanthropic and grant funding or taking advantage of payer support from integrated care delivery models.

SUMMARY AND RECOMMENDATIONS

LifeCourse has already demonstrated promising findings from its analysis of its outcomes to date. Although it shares many common key elements utilized by other exemplary practices, its effective use of lay health workers offers a model of care delivery that warrants replication and evaluation in other settings.

As LifeCourse considers replication, it may benefit from using the **RE-AIM** (Reach Effectiveness Adoption Implementation Maintenance) or another similar framework to translate their model into broader community practice (Demiris, Oliver, Capurro, & Wittenberg-Lyles, 2014; Glasgow, Vogt, & Boles, 1999). While other frameworks in field of implementation science may work equally as well for framing the impact and replication of the LifeCourse model, we recommend RE-AIM because of its wide use, potential for aligning well with this intervention, and its focus on translation and long-term adoption of interventions into other settings.

The RE-AIM framework is comprised of five factors:

1. **Reach**—Identifies the target population, the number of eligible participants and extent of their participation.
2. **Effectiveness**—Measures the impact of the intervention on participants who participated in the program, examines process and primary outcomes, and measures the positive (or negative) effects, such as quality of life.
3. **Adoption**—Measures the proportion of intervention staff or settings, such as clinics or hospitals, who will adopt the intervention.
4. **Implementation**—Examines the extent to which various program components are delivered as intended (fidelity) as well as the cost of delivery.

5. **Maintenance**—Determines the extent to which the intervention components are modified, continued or institutionalized.

Some potential strategies to incorporate RE-AIM into the LifeCourse evaluation are as follows:

Reach: Clarity around the target population will enable LifeCourse to both plan for expansion and assess barriers to engagement or ongoing participation. In the pilot work to date, among the 333 intervention patients, 71 are inactive; among the intervention key friends and family members (KFFs), 221 are inactive. Understanding (besides the death of patients) what led to inactive participation may assist with either target or intervention refinement.

Effectiveness: Already LifeCourse is engaging in extensive efforts aimed at measuring the program's impact. In addition to assessing healthcare utilization and cost, LifeCourse may benefit from conducting a "deeper dive" into the characteristics of the patients or care associated with hospitalizations, pain and symptom control and the use of urgent after hours care. Other adverse patient outcomes, such as medication errors, adverse drug reactions, falls, and other events, may also offer insights into potential for intervention enhancement.

Adoption: As LifeCourse considers expansion and replication, clarity around both key intervention elements and processes necessary for adoption of the program will be important. The use of qualitative methods such as in-depth interviews or focus groups with both patients and staff from all levels to identify barriers and facilitators of the intervention may elucidate critical organizational factors required for success.

Implementation: In addition to examining costs of care, additional understanding may be gleaned by assessing costs of both the fixed (personnel) and variable (e.g. training) time spent on direct care, travel maintenance of technologies, and other resources) costs in order to guide future business planning and sustainability. To assess program fidelity (consistency of implementation), training and intervention audits (e.g. how Care Guides are used in training and in care visits) may also be helpful.

Maintenance: Much of LifeCourse's current evaluation by the LifeCourse team will influence future continued adoption and sustainability. That being said, continued dialogue with key stakeholders will offer insights as to whether the program can be sustained over time without having to continually find additional resources.

Summary

We found that the LifeCourse program shared several common elements with other key initiatives. The use of lay health workers (Care Guides) represents a novel model that warrants further study to determine if it could be utilized by other programs and in different settings. LifeCourse may want to consider whether other program elements should be incorporated, such as the use of novel technologies to support its geographic

focus and leveraging volunteers to support patients' social and emotional needs. Finally, LifeCourse may also benefit from additional quality improvement strategies and the use of an evaluation framework, such as RE-AIM, focused on the translation of this innovative model to other settings.

TABLES

Table 1. List of Supportive Care Exemplary Programs - Peer-Reviewed Publications

Key Initiatives	Comprehensive Assessment	Clear Target Population	Care Plan	Patient-Driven Goals	Clinical Symptom Management	Addressing Emotional, Social/Financial, Spiritual Domains of Distress	Advance Care Planning	24/7 Coverage	Telephonic/Videocare Support	Home Visits	Interdisciplinary Care That Includes Nursing/Social Work	Lay Health Workers	Use of Volunteers	Geographic-Focused	Attention to Housing	Continuous Quality Improvement
Allina Health's LifeCourse Program	•	•	•	•		•	•	•	•	•	•	•				
Aetna's Compassionate Care Program (ACCP)	•	•	•	•		•		•				•				
Care Transitions Program (CTI)	•	•	•	•	•		•	•	•							
CareMore	•	•	•	•	•	•	•	•	•	•			•			
Kaiser's Advance Illness Coordinated Care (AICC) Program	•	•	•	•	•		•	•	•	•		•				
Kaiser's In-home Palliative Care (IHPC) program	•	•	•	•	•		•	•	•	•						
Hospice of Michigan's At Home Support	•	•	•	•	•	•	•	•	•	•		•	•			
MedStar Medical House Call Program	•	•	•	•	•	•	•	•	•	•			•			
Optimizing Advanced Complex Illness Support (OACIS)	•	•	•	•	•	•		•	•	•			•			
Sharp Healthcare's Transitions Program	•	•	•	•	•	•	•	•	•	•			•			
Sutter Health Advance Illness Management (AIM)	•	•	•	•	•	•		•	•	•			•			
Transitional Care Model (TCM)	•	•	•	•	•	•	•	•	•	•			•			
VA Home Based Primary Care	•	•	•	•	•	•	•	•	•	•			•			

Table 2. List of List of Supportive Care Exemplary Programs - Non-Published

Key Initiatives	Comprehensive Assessment	Clear Target Population	Care Plan	Patient-Driven Goals	Clinical Symptom Management	Addressing Emotional, Social/Financial, Spiritual Domains of Distress	Advance Care Planning	24/7 Coverage	Telephonic/Videocare Support	Home Visits	Interdisciplinary Care That Includes Nursing/Social Work	Lay Health Workers	Use of Volunteers	Geographic-Focused	Attention to Housing	Continuous Quality Improvement
Adventist Health Out-Patient Palliative Care: Health Options	•	•	•	•	•	•			•	•			•			
Comprehensive Longitudinal Advanced Illness Management (CLAIM™)	•	•	•	•	•	•	•	•	•	•		•				
Highmark Advanced Illness Services (AIS) Program	•	•	•		•	•			•		•					
Independence at Home Demonstration	•	•		•	•			•	•	•				•		
Optio Health Palliative Care At Home	•	•	•	•	•	•	•	•	•	•				•		
ProHealth Care Support	•	•	•	•	•	•	•	•	•	•		•	•			
Regence's Personalized Care Support Program		•		•		•		•	•	•						
United Healthcare Advanced Illness Care Management Program		•	•			•		•	•							

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Key Initiatives Websites and Other Online Resources

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<https://www.adventisthealth.org/nw/pages/services/palliative-care/out-patient-palliative-care.aspx>

Aetna's Compassionate Care Program

<https://www.aetna.com/individuals-families/member-plans-benefits/compassionate-care-program.html>

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Care Transitions

<http://caretransitions.org>

<http://caretransitions.org/about-the-care-transitions-intervention/>

CareMore

<http://www.caremore.com/About/How-We-Do-It/Integrated-Health-Delivery.aspx>

<http://www.chcf.org/~media/MEDIA%20LIBRARY%20Files/PDF/C/PDF%20CINQtrMtnReportJun2012.pdf>

<http://www.academyhealth.org/files/2013/tuesday/kedansky.pdf>

CLAIM (Comprehensive Longitudinal Advanced Illness Management)

<http://www.pennmedicine.org/homecare/services/claim/>

Gundersen Health System Respecting Choices Advance Care Planning System

<http://www.gundersenhealth.org/respecting-choices>

Highmark Advanced Illness Services (AIS) Program

<https://www.highmark.com/hmk2/newsroom/presskits/seniorMarketsSeriouslyIll.shtml>

<https://www.bcnepa.com/Providers/FreedomBlue/AdvIllSrvs.pdf>

Hospice of Michigans' At Home Support

<http://aahpm.org/inform/at-home-support>

<http://www.hom.org/hospice-of-michigan-expands-at-home-support-inks-first-partnership-with-ohio-provider/>

Independence at Home

<http://www.iahnow.com/IAHlegislation.htm>

<http://innovation.cms.gov/initiatives/independence-at-home/>

Kaiser's Advanced Illness Coordinated Care Program

https://mydoctor.kaiserpermanente.org/ncal/facilities/region/sanjose/area_master/departments/all_services/aicc.jsp

Kaiser's In Home Palliative Care

<https://innovations.ahrq.gov/profiles/home-palliative-care-allows-more-patients-die-home-leading-higher-satisfaction-and-lower>

Lay Health Workers

<https://www.chausa.org/docs/default-source/health-progress/pathways-model-aligns-care-population-health.pdf?sfvrsn=2>

<https://www.chausa.org/publications/health-progress/article/may-june-2015/pathways-model-aligns-care-population-health>

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http://nursing.jhu.edu/faculty_research/research/projects/completed/coach/

LifeCourse

<http://www.lifecoursemn.org>

MedStar's Medical House Call Program

<http://www.medstarwashington.org/our-services/internal-medicine/treatments/primary-care/geriatrics/medical-house-call-program-at-medstar-washington-hospital-center/#q={>

Optio Health – Palliative Care At Home

<http://www.optiohealth.org/OurServices/Pages/Optio-Palliative-Care-at-Home.aspx>

ProHealth

<https://www.capc.org/ipal/ipal-icu/>

Regence's Personalized Care Support Program

https://www.regence.com/web/regence_provider/personalized-care-support

Sharp Healthcare's Transitions Program

<http://www.sharp.com/hospice/transitions-advanced-illness-management-program.cfm>

Sutter Health Advanced Illness Management (AIM®) Program

<http://www.sutterhealth.org/quality/focus/advanced-illness-management.html>

Transitional Care Model

<http://www.transitionalcare.info/essential-elements>

<http://evidencebasedprograms.org/1366-2/transitional-care-model-top-tier>

http://www.nhchc.org/wp-content/uploads/2012/12/Policy_Brief_Care_Transitions.pdf

United Healthcare Advanced Illness Care Management Program

<http://www.uhc.com/employer/group-retiree-solution/products-services/additional-programs-services>

VA Home Based Primary Care

http://www.va.gov/geriatrics/Guide/LongTermCare/Home_Based_Primary_Care.asp

Other Online Resources

CAPC - Improving Outpatient Palliative Care

<https://www.capc.org/ipal/ipal-outpatient-palliative-care-services/>

California Health Care Foundation: Care Models for Complex (and Costly) Populations

<http://www.chcf.org/~media/MEDIA%20LIBRARY%20Files/PDF/C/PDF%20CINQtrMtnReportJun2012.pdf>

C-TAC's The Advanced Care Project Report

<http://www.thectac.org/wp-content/uploads/2015/06/ACP-Report-6-18-15-FINAL.pdf>

Presentation from the 2015 National Summit on Advanced Illness Care

<http://www.thectac.org/resources/key-documents/>

REVIEW ARTICLE

Edward W. Campion, M.D., *Editor*

Palliative Care for the Seriously Ill

Amy S. Kelley, M.D., M.S.H.S., and R. Sean Morrison, M.D.

PALLIATIVE CARE IS THE INTERDISCIPLINARY SPECIALTY FOCUSED ON IMPROVING quality of life for persons with serious illness and their families. Over the past decade,¹ the field has undergone substantial growth and change, including an expanded evidence base, new care-delivery models, innovative payment mechanisms, and increasing public and professional awareness.

CORE CONCEPTS

In the United States and increasingly in most countries, palliative care and hospice have distinct meanings. Palliative care is interdisciplinary care (medicine, nursing, social work, chaplaincy, and other specialties when appropriate) that focuses on improving quality of life for persons of any age who are living with any serious illness and for their families.² By treating pain, other symptoms, and psychological and spiritual distress, by using advanced communication skills to establish goals of care and help match treatments to those individualized goals, and by providing sophisticated care coordination, palliative care provides an added layer of support to patients, their loved ones, and treating clinicians. Ideally, palliative care is initiated at the time of diagnosis and is provided concordantly with all other disease-directed or curative treatments (Fig. S1 in the Supplementary Appendix, available with the full text of this article at NEJM.org).

Hospice, by contrast, is a formal system of interdisciplinary care that provides palliative care services to the dying in the last months of life. It was first developed in 1967 by Dame Cicely Saunders to provide a setting and model of care for people dying from advanced cancer. Today, the settings for hospice care and payment mechanisms vary across countries. In the United States, unlike most other countries, hospice is a relatively separate system of care for the terminally ill. Eligibility criteria are defined by insurance benefits and federal programs (Medicare, Medicaid, and Veterans Affairs), and Medicare-certified hospices are subject to strict regulatory requirements. Currently, patients qualify for hospice if they have a prognosis of survival of 6 months or less and are willing to forgo curative treatments. Under Medicare, this decision includes relinquishing Part A services.

Table 1 outlines the differences between hospice and palliative care in the United States. In this article, we use the term “hospice” to describe the U.S. health care delivery system that provides palliative care under the Medicare hospice benefit, “palliative care” to describe the interdisciplinary specialty, and “palliative medicine” to describe the formal subspecialty of the American Board of Medical Specialties.

CORE COMPONENTS OF PALLIATIVE CARE

The core components of palliative care include the assessment and treatment of physical and psychological symptoms, identification of and support for spiritual

From the Brookdale Department of Geriatrics and Palliative Medicine, Icahn School of Medicine at Mount Sinai (A.S.K., R.S.M.), and the National Palliative Care Research Center (R.S.M.), New York, and the James J. Peters Veterans Affairs Medical Center, Bronx (A.S.K., R.S.M.) — both in New York. Address reprint requests to Dr. Kelley at the Department of Geriatrics and Palliative Medicine, Icahn School of Medicine at Mount Sinai, 1 Gustave L. Levy Pl., Box 1070, New York, NY 10029, or at amy.kelley@mssm.edu.

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allina

Nancy Gilberg

From: Leah G. Moses <Leah@theimprovegroup.com>
Sent: Friday, June 26, 2015 2:44 PM
To: Penny Hunt; Stacy M. Johnson; Maria Moeller
Cc: Nancy Gilberg
Subject: RE: Robina Foundation / Evaluation of LifeCourse
Attachments: developmental evaluation strategy.docx

Hi Penny! I hope you've had a wonderful trip. I'm looking forward to hear a bit about it when we catch up!

Attached is a suggested strategy for the developmental evaluation. You'll see I suggest some follow-up discussion items for when you have had a chance to review.

Warmly,
Leah

Leah Goldstein Moses

Founder & CEO

TheImproveGroup

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From: Leah G. Moses
Sent: Thursday, June 11, 2015 10:49 AM
To: 'Penny Hunt'; Stacy M. Johnson; Maria Moeller
Cc: Nancy Gilberg
Subject: RE: Robina Foundation / Evaluation of LifeCourse

Thank you so much, Penny! Now, have a fantastic trip!

Leah Goldstein Moses

Founder & CEO

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From: Penny Hunt [<mailto:pennhunt@gmail.com>]
Sent: Thursday, June 11, 2015 9:52 AM
To: Leah G. Moses; Stacy M. Johnson; Maria Moeller
Cc: Nancy Gilberg
Subject: Robina Foundation / Evaluation of LifeCourse

Leah, Stacy, and Maria,

As we discussed, I'm sending you the various reports the Robina Foundation has received in connection with the *LifeCourse* initiative. Lots of reports!

I look forward to reviewing your proposal when I return from my trip and to our meeting on July 8 in your offices. Please let me know if you have trouble accessing the attachments or have any other questions.

Warm regards,
Penny

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

June 26, 2015

Dear Penny,

Welcome back! I hope you had a wonderful trip and are feeling rested and inspired. Stacy, Maria, and I greatly enjoyed meeting with you by phone earlier this month. We are excited for the opportunity to work with you on a developmental evaluation of the LifeCourse initiative. Developmental evaluations have several benefits that are relevant to the current stage of the:

- Developmental evaluations are intended to be constructive learning opportunities for initiatives that are still being refined
- Developmental evaluations explore the relationship between resources (e.g., staffing, use of volunteers, materials used), practices (e.g., how families are engaged, what issues are addressed), outcomes (what changes do people experience as a result of the initiative), and impact (potential broader implications of the initiative, such as return on investment)
- Developmental evaluation mindfully meets the needs of multiple stakeholders. In this case, both Robina Foundation and Allina will learn from the evaluation, including ideas for program improvement and how the initiative fits with the foundation's overall funding strategies

Below you will find (1) a suggested approach for evaluating LifeCourse, including a few options to consider; (2) what you can expect; (3) an estimated budget; (4) skills we will bring to this work; and (5) suggestions for our discussion after you have reviewed and on July 8.

Suggested approach

We suggest a thoughtful, sequenced process to the developmental evaluation.

Context, scope & design: As we begin the project, we will meet with you and any stakeholders you care to invite to get to know each other and establish priorities. In these 1-2 meetings and through follow-up emails, we will:

- Establish a working relationship: Determine how you would like to be involved in the study, how often you prefer to meet, and what role you hope to play in the study. We will learn about key stakeholders and their needs and preferences.
- Confirm the study scope: determine who will be included in the study and review the questions that we will ask them. Determine what style and format of products will best meet your needs.
- Design: prepare the interview tools, sampling, and consent procedures as well as any other materials needed for the study.

Gather data: We anticipate that we will rely on several sources for the developmental evaluation, which we will confirm in our design phase:

- Interviews: Staff, volunteers, advisory committee members, family members, current participants and any Robina Foundation leaders who have observed the initiative will be interviewed.

- Document review: Several reports have already been prepared about the initiative. These will provide valuable insights about how the initiative has evolved.
- Outcomes review: The quantitative outcomes for this initiative are already being tracked. We will facilitate a discussion about what resources and practices are most associated with those outcomes, and the potential for broader impact.

Shared interpretation: We have found an iterative, collaborative approach that results in findings that are accurate, comprehensive and useful. We will use three steps in our analysis:

- We will start with a thematic analysis of the interviews, documents, and outcomes using rigorous qualitative methods.
- Then, we facilitate a workshop for stakeholders from the Robina Foundation and Allina. At the workshop, we will present initial findings, and gather input to strengthen our interpretation, explore additional questions, and begin developing implications for future work.
- Using the workshop results, we will finalize our analysis.

Presentation of results: We will prepare a concise, specific report sharing the successes of LifeCourse and opportunities for continued development. We will also present results in an in-person presentation to Robina Foundation's board.

Transition: After we have completed the developmental evaluation, we will meet with you to close the project. At this meeting, we will discuss the successes and challenges of the project, implications for your work moving forward, and potential ongoing evaluation needs.

What you can expect

You will work most closely with Stacy Johnson, Research and Evaluation Director at The Improve Group. You will also have the opportunity to meet her team members: Senior Analyst Jill Lipski Cain and Research Analysts Dillon Balthaser, Courtney Clingan, and Amy Cyr. Stacy and her team are collaborative, responsive and thoughtful. She will ask you several questions along the way to make sure the team knows enough about your board, strategies and organizational culture to represent your priorities when they are conducting interviews. In addition, Stacy's team takes pride in delivering excellent products that respond to our clients' preferences.

At the end of this project, you will have:

- Insights from a wide array of stakeholders
- Reflections about the implications of those findings
- A report that details the findings
- A slide deck and facilitated conversation about results

In addition, we could provide the following if useful to Robina Foundation or Allina:

1. Recommendations for ongoing evaluation: a proposed evaluation strategy that will provide ongoing insights to Allina and Robina Foundation
2. A detailed process analysis of specific activities to identify opportunities for improved efficiency or impact

Estimated budget

Our estimated budget for the scope proposed is \$21,000. If the additional tasks above are also desired, we will work with you to develop a scope of work that includes those tasks.

Skills we bring to this work

Our evaluators have several talents that are specifically relevant to this work:

1. Experience in developmental evaluations focused on learning and growth
2. Ability to set people at ease and ask important questions during interviews
3. Content knowledge in health care, particularly long-term care
4. Meeting the needs of both funders and program staff

The following are among the dozens of evaluations conducted by Stacy and her team. They will help provide additional context for this work:

- An evaluation of the MNsure Navigator and Outreach programs, gaining deeper understanding of what support people needed and received as they enrolled in health insurance
- Support for Store to Door's leaders to articulate and measure their services impact on independence for aging Minnesotans
- Identification of key health and mental health measures for the Guild, Inc. to use in its mental health day support programs
- Extensive work with state and county agencies in their long-term care programs in multiple projects

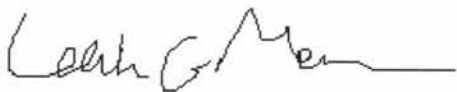
Suggested next steps

After you have reviewed this proposal, we would like to talk briefly by phone to answer any questions and affirm that the scope of work is aligned with your expectations. We can also begin the contracting process. Then, at our meeting on July 8, we can focus on launching the project, addressing:

- Questions to answer through the evaluation
- Potential interviewees and things we should know about their style, availability, preferences, etc.
- Preferences about report style, tone, and presentation
- Initial tasks for the evaluation, such as introducing the evaluation to key stakeholders

We are very excited to work with you on this project, learn more about LifeCourse, and get to meet your colleagues. Thank you so much for the opportunity!

Warmly,



Leah Goldstein Moses, President & CEO

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allina

Nancy Gilberg

From: Penny Hunt <pennhunt@gmail.com>
Sent: Thursday, July 02, 2015 3:13 PM
To: Leah G. Moses
Cc: Stacy M. Johnson; Maria Moeller; Nancy Gilberg
Subject: Robina Foundation / LifeCourse Evaluation
Attachments: Improve Group Memo 07.02.15; Untitled attachment 00018.htm

Hi Leah,

I'm sorry to be so slow in providing you with feedback on your June 26 letter describing the ImproveGroup's approach to preparation of an evaluation of Allina's *LifeCourse* initiative supported by the Robina Foundation.

Attached is a memo with my thoughts on the items in your letter and the evaluation. I hope this is helpful. I suspect my delayed response may make it impossible for us to talk before our Wednesday meeting, but I could talk between 10:30 and 2:00 on Tuesday, if that works for you. Let me know. If you prefer, you can email me with your questions and comments.

I look forward to our meeting and our discussion of your work for the Robina Foundation.

Warm regards,

Penny

Penny A. Hunt
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ROBINA FOUNDATION

TO: Leah Goldstein Moses, Stacy Johnson and Maria Moeller

FROM: Penny Hunt

RE: Robina Foundation / ImproveGroup Proposal

DATE: July 2, 2015

Your letter dated June 26, 2015 provides helpful information to start our conversation about a developmental evaluation of Allina Health's *LifeCourse* initiative supported by the Robina Foundation. Following are my comments and questions concerning your suggested approach for preparation of the evaluation.

Suggested approach

Context, scope & design

At this point, no other representative from the Robina Foundation needs to be involved in the development of plans for the evaluation. I will confer with one or two Robina Foundation Board Members once we are a little further along, and will speak with the leadership team of *LifeCourse* prior to the start of your work.

- I do not anticipate the need for ongoing meetings with the ImproveGroup team once we agree on the process and you begin your work;
- See my comments below regarding interviews and involvement of Allina personnel;
- Regarding questions for participants in the evaluation: it would be helpful if you could identify possible questions to start our conversation.

Following are questions that describe information the Robina Foundation is interested in learning from the evaluation. These should inform the questions/interviews, etc. that take place during the evaluation:

Is Allina successfully developing and implementing the model envisioned in the proposal? Is the model sustainable?

Has *LifeCourse* leadership built an effective team to manage the initiative?

What issues, if any, do you see in the development and/or the implementation of the model? (e.g. Have appropriate processes and standards been developed and implemented? Is the interdisciplinary care team properly constituted and integrated into the Allina system?)

Care Guides:

Is the role of the Care Guides clearly defined?

How effective is their work? Are they working effectively within the interdisciplinary care team and within the scope of the position and their experience? Are they adding value to the work of the team?

What are the major strengths of the initiative at this point in its development? What are its shortcomings? How could they best be addressed?

What advice would you give Allina? The Robina Foundation?

- Style and format of products: I am interested in understanding the options that might be appropriate.

Gather Data:

Interviews: I suggest the following interviews

- *LifeCourse* leadership team;
- Several (perhaps 3) Care Guides;
- Members of a care management team, probably together;
- Selected members of the *LifeCourse* National Advisory Committee;
- Perhaps Dr. Steve Schroeder, Robina Foundation Board Member (interview by phone);
- *LifeCourse* patient or family member, if possible.

Outcomes review: I believe a conversation with Heather Britt and perhaps Paige Bingham will help you understand the quantitative information *LifeCourse* is gathering.

Shared Interpretation

While I do want you to share your initial findings with Allina and the Foundation, I would like to eliminate the workshop from the process. I believe you anticipate the availability of initial findings by the end of August.

Presentation of results: As we discussed, I am not certain that there will be the opportunity for you to present your initial or final results to the Robina Board. While Board Members, three of whom do not live in the area, will meet on September 1 and 2 in Minneapolis, the agenda for the meeting is quite full, so an in-person meeting is doubtful. A written summary of your evaluation for consideration at that meeting will be important.

Transition: It seems to me that the items you propose to discuss in a meeting could be included in your report.

What you can expect

I should be able to describe the Robina Board, how we operate, etc. during our July 8 meeting or in a follow-up call with Stacy.

I am not certain that we need a slide deck and facilitated conversation about the evaluation results. At this point, I do not believe that we need the two additional items you describe.

Estimated Budget

I hope that the changes I am suggesting will reduce your estimated budget and welcome other changes that might result in a reduced budget.

Suggested Next Steps

- Questions to answer through the evaluation: I've outlined a few under the heading "Context, scope & design" above. Perhaps based on your review of the *LifeCourse* material, you can prepare additional questions for discussion at our meeting.
- Potential Interviewees: Information on some of the interviewees is provided below. I can fill you in on their role, style, etc. when we meet or in a follow-up email.
- Report style, etc.: The Robina Board appreciates short, concise reports that include an executive summary with key findings and recommendations. Board Members are experienced executives who read carefully and thoroughly. They will challenge conclusions that aren't supported by the evidence.
- Initial tasks for the evaluation, such as method to introduce the evaluation to key stakeholders: once we have determined the scope, process, etc. for the evaluation, I would like you to prepare a short introduction, including information on the ImproveGroup personnel who will conduct the evaluation and the timing of the work, that I can send to the *LifeCourse* team and others. They are aware that the evaluation will be conducted this summer.

Potential Interviewees:

Allina Health

Penny Wheeler, President & Chief Executive Officer, Allina Health, Executive Sponsor, LifeCourse; penny.wheeler@allina.com; 612-262-0605 (Asst: Dee Kong; 612-262-0602; dee.kong@allina.com)

Eric W. Anderson, MD, Principal Investigator, LifeCourse; eric.worden.anderson@allina.com; 612-262-7029

Sandy Schellinger, Co-Investigator, LifeCourse; sandy.schellinger@allina.com; 612-262-1444

Paige Bingham, Director, LifeCourse; paige.bingham@allina.com; 612-262-0700

Heather Britt, Co-Investigator, LifeCourse; heather.britt@allina.com; 612-262-6023

Selected Members of the LifeCourse National Advisory Committee

Diane Meier, MD; diane.meier@mssm.edu; 212-659-8552 (Asst: Anna Millhiser, anna.milhiser@mssm.edu; 212-241-6796)

Eric Coleman, MD; eric.coleman@ucdenver.edu, 303-724-2456

TheImproveGroup

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

July 13, 2015

Dear Penny,

Thank you so much for meeting with Stacy, Becky and I last week! We appreciate the detailed feedback you provided and the opportunity to collaborate on an approach. It was particularly helpful to hear your priority to do the project within a \$15,000 budget, as well as your ideas for people that would be most important to include in the interviews.

Below you will find (1) an updated approach for evaluating LifeCourse; and (2) a revised budget. These have also been incorporated in to the accompanying contract.

Questions to be answered in this evaluation

In order to keep the project within the desired scope, we will work with you in the first phase to prioritize and finalize the questions to be answered. The ones that have emerged so far in emails and in our conversations are:

- What are the major strengths and successes of the initiative so far?
- To what extent is the *LifeCourse* model is being implemented as planned?
- What issues/challenges have there been in the development and/or the implementation of the model?
- How can (or were) these issues/challenges be addressed? What modifications have been made to improve the program?
- To what extent is the team managing the initiative effective? Is there correct representation and roles? What are the strengths and gaps?
- To what extent are the care teams effective in providing a supportive care approach for patients? Is their currently the right mix of staff (care guides and clinicians) on care teams? To what extent are staff working effectively within the interdisciplinary care team? Are roles and responsibilities appropriate?

Suggested approach

Context, scope & design: As we begin the project, we will meet with Penny Hunt, possibly in collaboration with one or two members from the Allina team, to finalize the evaluation questions and approach. In this meeting and through follow-up emails, we will:

- Design: prepare the interview tools, sampling, and consent procedures as well as any other materials needed for the study.
- Plan out the logistics: who will be interviewed, and when.

Gather data: We anticipate that we will rely on several sources for the developmental evaluation, which we will confirm in our design phase:

- Interviews: Conduct up to 12 interviews with leaders, care guides and patients and families.
- Document review: Several reports have already been prepared about the initiative. We will review to see how the initiative has evolved.

- Outcomes review: As part of our interview with the Principal Investigators, we will review outcomes data and understand how the work has led to outcomes.

Potential interviewees:

Organization	Informant	Method
Robina	1 board member who has been most closely involved in initiative	Phone interview (30-60 minutes)
Allina (All interviews to be scheduled on one day if possible)	CEO	On-site, in-person interview
	Principal and Co-investigators	On-site, in-person group interview
	LifeCourse Director	On-site, in-person interview
	Care Guides (2-3)	On-site, in-person group interview
LifeCourse Advisory Committee	2 committee members who have been most closely involved in initiative	Phone interview (30-60 minutes)
Participants	3-4 patients and/or families	Phone or on-site interviews; (30-45 minutes)

Shared interpretation: We will conduct an initial analysis of findings. We will then meet with Penny Hunt and one or two representatives from Allina to share preliminary findings. During this meeting, we will gather additional questions that will be used in our final analysis.

Presentation of results: We will prepare a concise, specific report sharing the successes of LifeCourse and opportunities for continued development.

Transition: After we have completed the developmental evaluation, we will meet with you to close the project. At this meeting, we will discuss the successes and challenges of the project, implications for your work moving forward, and potential ongoing evaluation needs.

Estimated budget

Our estimated budget for the scope proposed is \$15,000.

Warmly,



Leah Goldstein Moses, President & CEO

Direct: 651-315-8916 | Main: 651-315-8919 | Email: leah@theimprovetgroup.com

allina

Nancy Gilberg

From: Leah G. Moses <Leah@theimprovetgroup.com>
Sent: Wednesday, July 15, 2015 8:40 PM
To: Penny Hunt
Cc: Nancy Gilberg; Samantha R. Hagel; Stacy M. Johnson
Subject: RE: Robina Agreement

I'm fine with the signature as is, but want to just run it by Samantha, who tracks all of our contracting. She's out for the day, but I'll confirm tomorrow whether or not the electronic signature works.

Do you want to send us some days when you'd be available to fine-tune the evaluation questions with Stacy?

Thanks, Penny!

Leah Goldstein Moses

Founder & CEO

TheImproveGroup

Creative. Insightful. Irrepressible. Committed to a better world.

Direct: 651-315-8916 | Main: 651-315-8919 | Email: leah@theimprovetgroup.com

700 Raymond Avenue | Suite 140 | St. Paul, MN 55114

www.theimprovetgroup.com

Connect with The Improve Group:



Now celebrating 15 years sharing the joys and benefits of evaluation! #IG15

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

Sent: Wednesday, July 15, 2015 11:36 AM

To: Leah G. Moses

Cc: Nancy Gilberg

Subject: Robina Agreement

Leah,

I am delighted to sign the attached agreement on behalf of the Robina Foundation. The only problem is that I don't have a scanned version of my signature to apply to the document and don't have access to a scanner. Let me know if you are uncomfortable with the way I signed this agreement, I will provide a written version.

I look forward to start work with Stacy next week and am particularly eager to develop a one-page description of the evaluation process to provide to LifeCourse leadership.

Thank you very much for being flexible about the format of our agreement. I think we landed in a good place and hope you agree. As provided in the agreement, we will send you our \$1,500 initial payment next week when both Nancy and I are in the Robina office.

Please feel free to contact me if you have questions or concerns.

Warm regards,

STATEMENT OF WORK

Start Date: July 20, 2015

End Date: October 31, 2015

Scope of Services (research, custom designed products, data analysis, project assessment, trainings, etc.)

1.1 Questions to be answered in this evaluation

In order to keep the project within the desired scope, we will work with you in the first phase to prioritize and finalize the questions to be answered. The ones that have emerged so far in emails and in our conversations are:

- What are the major strengths and successes of the initiative so far?
- To what extent is the *LifeCourse* model is being implemented as planned?
- What issues/challenges have there been in the development and/or the implementation of the model?
- How can (or were) these issues/challenges be addressed? What modifications have been made to improve the program?
- To what extent is the team managing the initiative effective? Is there correct representation and roles? What are the strengths and gaps?
- To what extent are the care teams effective in providing a supportive care approach for patients? Is their currently the right mix of staff (care guides and clinicians) on care teams? To what extent are staff working effectively within the interdisciplinary care team? Are roles and responsibilities appropriate?

1.2 Suggested approach

Context, scope & design: As we begin the project, we will meet with Penny Hunt, possibly in collaboration with one or two members from the Allina team, to finalize the evaluation questions and approach. In this meeting and through follow-up emails, we will:

- Design: prepare the interview tools, sampling, and consent procedures as well as any other materials needed for the study.
- Plan out the logistics: who will be interviewed, and when.

Gather data: We anticipate that we will rely on several sources for the developmental evaluation, which we will confirm in our design phase:

- Interviews: Conduct up to 12 interviews with leaders, care guides and patients and families.
- Document review: Several reports have already been prepared about the initiative. We will review to see how the initiative has evolved.
- Outcomes review: As part of our interview with the Principal Investigators, we will review outcomes data and understand how the work has led to outcomes.

Shared interpretation: We will conduct an initial analysis of findings. We will then meet with Penny Hunt and one or two representatives from Allina to share preliminary findings. During this meeting, we will gather additional questions that will be used in our final analysis.

Presentation of results: We will prepare a concise, specific report sharing the successes of LifeCourse and opportunities for continued development.

Transition: After we have completed the developmental evaluation, we will meet with you to close the project. At this meeting, we will discuss the successes and challenges of the project, implications for your work moving forward, and potential ongoing evaluation needs.

Estimated Time Frame for Completion of Services:

Type of Service	Estimated Timeline
Design	July-August 2015
Gather data	August-Sept 2015
Shared interpretation	August-Sept 2015
Presentation of results	September 2015
Transition	September-October 2015

Project Budget

As compensation for this work, the Robina Foundation will pay The Improve Group a fee of \$15,000, payable as follows:

- \$1,500 non-refundable fee payable upon contract execution
- \$5,500 payable upon presentation of results (September 2015)
- \$7,500 payable upon project completion (October 2015)

This Statement of Work and the attached Exhibit A Terms of Service, attached hereto and incorporated herein, represent the full agreement between the Robina Foundation and The Improve Group, Incorporated, concerning the work to be performed.

CLIENT

THE IMPROVE GROUP, INCORPORATED

ROBINA FOUNDATION



By: Penny Hunt

By: Leah Goldstein Moses

Its: Executive Director

Its: CEO

EXHIBIT A
TERMS OF SERVICE

This Terms of Service Agreement ("Agreement"), dated the 13 day of July, 2015 is entered into by and between The Improve Group, Incorporated, a Minnesota corporation, ("TIG") and Robina Foundation ("Client") (TIG and the Client are collectively referred to herein as the "Parties").

RECITALS

WHEREAS, TIG provides Services, as defined herein, to clients, including but not limited to, custom designed products, consulting services, research, data analysis, project assessment, reports, evaluation, planning, coaching, facilitation, and training;

WHEREAS, the Client desires to engage TIG to provide the Services; and

WHEREAS, the Parties desire to specify in this Agreement the terms and conditions of the provision of those Services.

NOW THEREFORE, in consideration of the promises, mutual covenants and agreements set forth herein, and for good and sufficient consideration hereby acknowledged by both Parties, Client and TIG do hereby contract and agree as follows:

I. TERMS

1. Services.

a. *Services Provided.* The Services to be provided are summarized in the above Statement of Work. The term "Services", as used in this Agreement, collectively includes the services included in the phases described in the Statement of Work.

b. *Additional Services.* From time-to-time during the term of this Agreement, Client may request, and TIG may provide, services in addition to those listed on the Statement of Work and not otherwise included in this Agreement ("Additional Services"). The Additional Services shall be memorialized in a writing executed by both Parties in a form substantially similar to the Change-Order form attached hereto as Exhibit B.

2. Fees and Costs.

a. *Fees for Services.* The fees for the provision of the Services by TIG are as stated on the Statement of Work.

b. *Initial Payment of Fees.* Client shall pay a non-refundable fee Ten Percent (10%) ("Initial Fee") within 10 days of the date of this agreement. The Initial Fee shall be applied against invoices to Client from TIG until the Initial Fee is exhausted.

c. *Additional Payments.* Client shall pay additional fees at intervals as outlined in the Scope of Work.

d. *Fees for Additional Services.* Client shall be billed for any Additional Services provided by TIG under Section I(1(b)) hereof ("Additional Fee") separately from, and in addition to, the fees included in the Statement of Work.

e. *Payment Terms.* TIG will provide invoices for all Fees and Costs due under the terms of this Agreement. All invoices for Fees and Costs due under the terms of this Agreement are due upon receipt and are non-refundable.

3. Work Product. Several work products will be used and created under the terms of this agreement.

a. *Customized Work Products.* "Customized Work Products" are defined as intellectual property created or conceived as part of the Services by TIG and/or any employee, contractor or other person or entity working for or under TIG customized for delivery to Client These include the final and full reports, survey questionnaires, focus group or interview protocols, workshop materials, analysis plans, and other documents or materials whether existing on paper, in electronic or other form or media (collectively, the "Customized Work Product").

b. *Base Work Products.* "Base Work Products" are defined as the foundational materials, products, and plans (the "Base Tools") from TIG that use its general knowledge, skills and experience related to the Services and in creation of the Customized Work Products. It is further understood that TIG has created, acquired or otherwise has rights in various concepts, ideas, methods, processes, know-how, models, templates and information. This is including but not limited to, survey, interview or focus group questions, workshop agenda and materials, report designs, and analysis plans (collectively, the "Base Work Products").

4. Ownership and Licensing of Work Product. For purposes of this Agreement, "Intellectual Property Rights" means worldwide ownership of all copyrights, all rights of authorship, all patent rights, all rights of inventorship, all trademark and service mark rights, all rights in trade secret and proprietary information, all rights in data and compilations of data, all rights of attribution and integrity and other moral rights, and all other intellectual property rights of any type under state or federal law, as well as all rights in applications for registration of these rights and all licenses to these rights. All Customized Work Products, except as specifically excluded in this Agreement, will be deemed "work-made-for-hire" under the United States Copyright Act of 1976 as amended.

a. *Ownership of Customized Work Products.* To the fullest extent possible, Client will be the owner of all Intellectual Property Rights and other property rights in and to the Customized Work Product, and intellectual property created or conceived by TIG and/or any employee, contractor or other person or entity working for or under TIG for delivery to Client in connection with and/or as part of the Services. TIG grants to Client a worldwide, transferable, perpetual, non-exclusive, royalty free, fully paid, license to use, reproduce, and/or create derivative works from, any of TIG Customized Work Product. Client may not create modified or derivative works from the Customized Work Product that imply or otherwise suggest an endorsement of the Client's work by TIG.

b. *Ownership of Base Work Products.* TIG shall retain all ownership, rights, and interest in the Base Work Products. To the extent that TIG uses any of its intellectual or other property in connection with the performance of the Services and/or such Base Work Product is incorporated into or embedded in the Customized Work Product or used in providing the Services and in connection with the development of the Customized Work Product, such property will remain the property of TIG and, except for the licenses expressly granted in this Agreement, Client will not acquire any right, title or interest in or to such Base Work Product.

c. *License to Work Product.* TIG shall retain a limited license to the Customized Work Product solely for promotional purposes. No Confidential Information of Client shall be used for promotional purposes; all Confidential Information or similar information of Client shall be redacted and/or removed when used for promotional purposes. TIG grants to Client a worldwide, transferable, perpetual, non-exclusive, royalty free, fully paid, license to use, reproduce, perform, display, modify, and/or create derivative works from, any of TIG Work Product, in connection with the use, display, operation,

modification, distribution and/or commercial exploitation organizational use of the Customized Work Product. Commercial exploitation is not permitted.

d. *Work Product and Data Retention.* Upon Completion of the Services, and upon Client's written request within 30 days of said completion, TIG will turn over all Customized Work Product and data related thereto within thirty (30) days ("Deliverables"). The Deliverables shall be provided to Client on a hard drive or other convenient tangible form as requested by the Client and at the Client's expense. One hundred and twenty (120) days after the Completion of the Services, TIG will permanently delete same without further notice, unless otherwise specifically agreed to in writing by the Parties.

5. Termination. This Agreement and TIG's engagement hereunder may be terminated as follows.

- a. Immediately upon the written agreement of the Parties;
- b. By TIG or Client, without cause, upon fifteen (15) days prior written notice;
- c. At the option of either Party, immediately upon the voluntary or involuntary liquidation or dissolution of the other Party;
- d. By TIG at any time if Client fails to timely pay any fees owing when due, provided that TIG gives Client written notice of its failure to pay, after which Client shall have fifteen (15) days in which to deliver payment in full.
- e. Upon Termination of this Agreement, all Fees and costs payable, which accrued prior to the effective date of such termination, shall become immediately due and payable.

6. Relationship of Parties. Client and TIG agree that the relationship created hereby shall be that of Client and TIG as independent contractors, and no other relationship shall be inferred or construed. Additionally, the relationship between Client and TIG shall not be fiduciary, partnership or a joint venture. TIG shall not be, or be deemed to be, an employee or agent of Client. Client shall define the scope and outcome(s) to be achieved by TIG, the manner and means shall be determined solely by TIG subject only to (i) Client's timing requirements regarding completion of the work to be performed by TIG, and (ii) industry standards of performance and quality. None of the benefits provided by Client to its employees, including, but not limited to, workers' compensation insurance, unemployment insurance, and health and welfare benefits, shall be available to TIG or its employees. TIG shall be solely responsible for its conduct and that of its employees and agents.

7. Confidentiality and Solicitation.

a. *Confidentiality.* In connection with the performance of the Services it may be necessary for TIG to have access to information which is confidential or proprietary to Client whether or not Client designates such information as confidential, and regardless of the means of transmission to and/or receipt by TIG. TIG agrees that it will not, directly or indirectly, divulge to any person or entity any information which is confidential or proprietary to Client and that, upon termination of this Agreement, it will make no further use of such information.

b. *Confidential Information.* Confidential Information, as used herein, includes, without limitation, all specifications, samples, reports, plans, forecasts, current or historical data, financial statements, and all other technical, financial or business data of Client, together with all analyses, compilations, forecasts, studies or other documents prepared utilizing the same.

c. *TIG Employee Solicitation.* If during the term of this Agreement or within a period of one (1) year following termination of this Agreement for any reason, Client directly or indirectly hires an employee

of TIG, or hires any such employee who has left the Company's employment within one year of termination of such employment ("Solicited Employee"), Client shall pay TIG a Solicitation Fee upon hiring a Solicited Employee. The Solicitation Fee shall be the equivalent of Twenty-Five Percent (25%) of the Solicited Employee's annual compensation, whether salary or hourly, regardless of actual hours worked/duration of employment.

8. Limitations of Liability.

a. NEITHER PARTY WILL BE LIABLE FOR ANY INDIRECT, INCIDENTAL OR CONSEQUENTIAL DAMAGES, OR FOR LOSS OF PROFITS, REVENUE OR DATA, WHETHER IN AN ACTION IN CONTRACT, TORT, PRODUCT LIABILITY, STATUTE OR OTHERWISE, EVEN IF ADVISED OF THE POSSIBILITY OF THOSE DAMAGES. TIG WILL NOT BE LIABLE FOR DIRECT DAMAGES CAUSED BY LATE DELIVERY, OR ANY OTHER CAUSE EXCEPT AS EXPRESSLY PROVIDED HEREIN.

b. *Maximum Liability.* TIG's liability to Client with respect to this Agreement will not exceed the total amount of any Fees paid to TIG by Client under this Agreement, even if any term of this Agreement fails of its essential purpose.

9. Taxes. TIG agrees to be solely responsible for all taxation and employment levy responsibilities and/or liabilities for its employees related to TIG's performance hereunder, including but not limited to payment of state and federal income tax, worker's compensation, FICA and other employment or payroll based taxes. TIG agrees to reimburse and indemnify Client and hold Client harmless from any resulting liability, cost, harm or loss, including reasonable attorney's fees and legal costs associated with TIG's failure to pay such taxes.

II. MISCELLANEOUS

1. Amendment or Modification. No amendment, modification, termination or waiver of any provision of this Agreement will be effective unless the same is in writing and signed by the Parties.

2. Assignment. This Agreement and all of the provisions hereof will be binding upon and inure to the benefit of the Parties hereto and their respective successors and permitted assigns.

3. Severability. Any provisions of this Agreement which are prohibited or unenforceable will be ineffective only to the extent of such prohibition or unenforceability without invalidating the remaining provisions.

4. Entire Agreement. This Agreement, the terms in the Statement(s) of Work, and any Change-Order(s) constitute the entire agreement between the Parties with respect to the transactions contemplated hereby and supersedes all prior agreements and understandings, if any, with respect to the subject matter hereof unless rescinded.

5. Notices. Any and all notices, demands, or other communications required or desired to be given hereunder by any Party shall be in writing and shall be validly given or made to another Party if personally served, or if deposited in the United States mail, certified or registered, postage prepaid, return receipt requested. If such notice or demand is served personally, notice shall be deemed constructively made at the time of such personal service. If such notice, demand or other communication is given by mail, such notice shall be conclusively deemed given five (5) days after deposit thereof in the United States mail addressed to the Party to whom such notice, demand or other communication is to be given as follows:

If to TIG:

The Improve Group
Attn: Leah G. Moses
700 Raymond Avenue, #140
St. Paul, Minnesota 55114

If to Client:

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

Any Party hereto may change its address for purposes of this paragraph by written notice given in the manner provided above.

6. No Waiver. Except to the extent expressly modified herein, the Parties retain all rights that they may now have, or acquire in the future, with respect to items not addressed in this Agreement.

7. Successors and Assigns. All of the provisions of this Agreement shall be binding upon and inure to the benefit of the Parties hereto and their respective heirs, if any, successors, and assign.

8. Headings. Section headings are not to be considered a part of this Agreement and are not intended to be a full and accurate description of the contents hereof.

9. Knowing and Voluntary. The Parties agree that they have read and understand the terms of this Agreement and that they voluntarily entered into this Agreement, having discussed all the terms and conditions with their respective legal counsel.

10. Corporate Authority. The representative of each Party that executes the Statement(s) of Work, and Change-Order(s), if any, states that, by affixing his or her signature to said documents, he/she is stating that he/she has the authority to act, and enter into contracts on behalf of such Party.

11. Dispute Resolution. TIG and Client shall attempt in good faith to resolve any dispute arising out of or relating to this Agreement promptly by negotiation. Either Party may give the other written notice that a dispute exists ("Notice of Dispute"). The Notice of Dispute shall include a statement of such Party's position. Within ten (10) days of the delivery of the Notice of Dispute, the Parties shall meet at a mutually acceptable time and place to attempt to resolve the dispute. If the dispute has not been resolved within thirty (30) days of the delivery of a Notice of Dispute, or if the Parties have failed to meet, the Parties shall endeavor to settle the dispute by mediation and mutually agree on a mediator. If the Parties are still unable to resolve their dispute, the Parties may then attempt to resolve the controversy as they deem appropriate, including seeking relief in a court of competent jurisdiction pursuant to Section II(12) of this Agreement.

12. Choice of Law and Waiver of Jury Trial. The laws of the State of Minnesota shall govern the validity of this Agreement, without regard to its principals of conflicts of law. Any claim brought by one Party against the other, relating to this Agreement, shall be brought in the state or federal courts, located Ramsey County, Minnesota. The Parties hereby irrevocably waive any objection that they may now or hereafter have to the laying of venue of any such dispute brought in such court or any defense of inconvenient forum in connection therewith. Further, the Parties agree to waive trial by jury for any claim related to or arising from this Agreement.

13. Attorney's Fees. In the event that either Party takes action to enforce any provision of the Agreement, the parties agree to pay the prevailing Party, in such action, all costs of such enforcement, including reasonable attorney's fee.

EXHIBIT B

CHANGE-ORDER

The Parties to the Terms of Service Agreement and the Statement(s) of Work dated _____, 20____ (collectively the "Agreement"), hereby agree to the following changes, modifications, and/or additions contained in this Change-Order. Any and all terms and conditions in the Agreement not specifically modified by this Change-Order shall remain in full force and effect.

Change in Duration of Project: _____

Fee Schedule Changes: _____

Amount	Due Date

Change in Scope of Services (Additional Services and/or modifications to the Services)

Modified Estimated Time Frame for Completion of Services:

Type of Service	Estimated Completion Date

IN WITNESS WHEREOF, the Parties hereto have executed this Change-Order addendum to the Terms of Service Agreement and Statement of Work dated _____, 20__.

CLIENT

THE IMPROVE GROUP, INCORPORATED

By: _____

Its: _____

By: _____

Its: _____

EXHIBIT C

PRIMARY CONTACTS

Finance Contact for Client	Finance Contact at the Improve Group
Nancy Gilberg, Administrative Consultant Robina Foundation; 80 South 8th Street, Suite 4900; Minneapolis, MN 55402	Samantha Hagel, Chief Administrative Officer samanthah@theimprovegroup.com 651-315-8919 700 Raymond Avenue, Suite 140 St Paul, MN 55114
Primary Project Contact	Research and Evaluation Director at the Improve Group
Penny Hunt, Executive Director Robina Foundation; 80 South 8th Street, Suite 4900; Minneapolis, MN 55402	Stacy Johnson, Research and Evaluation Director stacyj@theimprovegroup.com 651-315-8923
	Contracting contact
Penny Hunt, Executive Director Robina Foundation; 80 South 8th Street, Suite 4900; Minneapolis, MN 55402	Leah Goldstein Moses, CEO leah@theimprovegroup.com 651-315-8916 700 Raymond Avenue, Suite 140 St Paul, MN 55114

allina

Nancy Gilberg

From: Bingham, Paige E <Paige.Bingham@allina.com>
Sent: Tuesday, July 28, 2015 3:33 PM
To: Penny Hunt; Wheeler, Penny; Anderson, Eric W; Schellinger, Sandra; Britt, Heather R
Cc: Nancy Gilberg
Subject: RE: Robina Foundation / Evaluation of LifeCourse

Hi Penny,

Thank you for engaging The Improve Group. We look forward to working with Stacy Johnson and the Improve team to "improve" and strengthen *LifeCourse*. The evaluation description you sent provides a helpful outline and set of questions for this engagement.

We have assembled an initial set of information to share with The Improve Group and look forward to connecting with them in August.

All the best, Paige

From: Penny Hunt [mailto:pennhunt@gmail.com]
Sent: Tuesday, July 28, 2015 3:11 PM
To: Wheeler, Penny; Anderson, Eric W; Schellinger, Sandra; Bingham, Paige E; Britt, Heather R
Cc: Nancy Gilberg
Subject: Robina Foundation / Evaluation of LifeCourse

Greetings,

In various meetings and emails I have mentioned that the Robina Foundation planned to engage outside evaluators to help us understand Allina's development and implementation of *LifeCourse*. I believe most of you know that we decided to engage The Improve Group, a local evaluation organization, to conduct the evaluation.

Attached is a description of plans for the evaluation. As you can see, although the evaluation will be quite wide-ranging, we have developed specific questions The Improve Group will address. We anticipate that the Improve Group will make recommendations to both Allina and the Robina Foundation concerning the initiative.

I have found Stacy Johnson and others at The Improve Group to be very responsive and easy to work with and think you will share that view during the evaluation process. You will be contacted by Stacy or others at The Improve Group in early August, but please feel free to contact me if you have questions or concerns at this point.

I hope all of you are enjoying our beautiful summer — the second best according to weather experts!

Warm regards,

Penny

LifeCourse Evaluation

Purpose

The Robina Foundation has partnered with The Improve Group to evaluate the *LifeCourse* initiative in order to learn about the implementation process and better understand what has worked well and what has been challenging. We anticipate that Allina will be able to use evaluation findings to build upon current strengths, learn from challenges, and address potential issues as it plans for the future.

Evaluation Questions

The following evaluation questions will guide the evaluation of the *LifeCourse* initiative.

The first set of questions focus on the design and implementation of *LifeCourse* from an operational perspective.

1. To what extent is the *LifeCourse* model being implemented as planned? What changes have been made since inception and for what reasons? Are further changes anticipated?
2. What are the successes and challenges resulting from the addition of Care Guides to Care Teams?
3. What are the successes and challenges resulting from the efforts to expand the impact and diversity of *LifeCourse* through communication and outreach strategies?
4. What are the major strengths and successes of the initiative so far?
5. Is the initiative well positioned or ready for expansion? Why or why not?

The second set of questions focuses more closely on the roles and responsibilities of those involved with the *LifeCourse* initiative and the results and experiences from the perspective of supportive care for patients.

6. Does the team managing the initiative have the right people with appropriate authority to be effective?
7. Are the care teams working effectively together to improve patient care?
 - a. Is there currently the right mix of staff (Care Guides and clinicians) on care teams?
 - b. Are roles and responsibilities appropriate and clearly defined?
 - c. To what extent do Care Guides bring added value to the care team?

Timeline

The Improve Group will begin contacting evaluation participants in early August to schedule an interview. Interviews will be conducted mid-August through early-September. A report of findings will be completed by the end of September.

The Improve Group

The Improve Group conducts rigorous studies to help organizations make the most of information, navigate complexity, and ensure their investments lead to meaningful, sustained impact. Based in St. Paul, Minnesota, The Improve Group provides research, evaluation, capacity-building, needs assessment, strategic planning, and policy and systems thinking for organizations locally, nationally, and internationally. More information at www.theimprovegroup.com

Stacy Johnson, Research and Evaluation Director at The Improve Group, will be the lead and primary contact for the project. Any questions about the evaluation process can be directed to her at stacyj@theimprovegroup.com or 651-315-8923. In addition, Amy Cyr and Courtney Clingan, Research Analysts will be primary members of the evaluation team and may be reaching out for interviews during the evaluation process.

University of Minnesota Law School Listening Tour Debrief

April 29, 2015

University of Minnesota

Center for New Americans

\$25M Endowment

- Fabulous, imaginative, comprehensive program;
- Effective leveraging of resources within the Law School, the University and the community;
- Determined staff is "hitting on all cylinders";
- Potential for profound impact on students' lives, as well as on immigration law and the Twin Cities' immigrant community;
- Remarkable execution since the idea first presented.

Public Interest Scholars Program & Bridge Fellowship Program

Board Members asked Hunt to follow up with the Law School to clarify whether current Robina funding of the *Public Interest Scholars* program ends with students entering in the fall 2014 or 2015 and to learn the Law School's current tuition and the average debt of students who take out loans to finance their attendance at law school.

Note: Follow-up information from Dean Wippman:

1. Public Interest Scholars: Robina support for *Public Interest Scholars* program ends with students entering this fall. The University would like to request \$3,956,752 payable over 5 years to support 2016 incoming students.
- 2. Bridge Fellowship Program: The Law School would also like Robina to consider \$750,000 over 5 years to provide fellowships.
3. Current Tuition: \$50,000 non-resident tuition; \$44,000 resident tuition.
4. Average debt of students who borrow: \$90,000 - \$100,000



Center for New Americans

We look forward to Robina's visit to the Law School on April 29th. You will see first-hand some of the impressive early results we have achieved through our collaborative new model for clinical legal education. By working together with our law firm and non-profit partners we are already driving transformational change in U.S. immigration law and legal education—change that stands to benefit countless immigrants and law students.

We are pleased to provide this brief summary of our progress, along with an update on emerging trends that impact our priorities. We also offer our vision for a permanent Binger Center for New Americans, with an estimate of the resources needed to make that vision a reality. An agenda and other information for the April 29th visit are attached.

CURRENT PROGRESS AND EMERGING TRENDS

- **Building the Center for New Americans:** Our new immigration clinics are now finishing their first full academic year and we continue to integrate them with the existing Immigration and Human Rights Clinic. All three clinics were fully enrolled this year, as well as next year, with significant waiting lists. This year the Center also teamed with the Advocates for Human Rights to launch a new year-long Immigration Education and Outreach externship course. In all, the Center for New Americans has quadrupled the number of immigration-related experiential learning opportunities from 10 to 40.
- The **Federal Immigration Litigation Clinic** continues to engage students and our partners in cutting-edge litigation before courts across the country, and we have reached our year-two benchmark by collectively handling over 18 cases. Students played key roles in our first U.S. Supreme Court case, *Mellouli v. Holder*, and enjoyed the unprecedented opportunity to attend the oral argument in January with our litigation team, led by Faegre Baker Daniels and joined by the Immigrant Law Center of Minnesota. Other students are leading prominent asylum litigation, challenging the U.S. government's policy of deporting Central American youth who are fleeing persecution from criminal gangs. Our asylum litigation has drawn *amicus curiae* support from Harvard University, the American Immigration Lawyers Association, and other national allies. Dorsey & Whitney joined the clinic this year to develop new resources for immigrants and bring *habeas corpus* actions challenging their unlawful detention.
- **Detainee Rights Clinic** students are working with our partners to expand representation for detained immigrants. Together we are on track to meet or exceed our year-two benchmarks for representation in bond hearings (50) and merits hearings (40). Our students won important victories for jailed immigrants suffering from mental illness and

led training for over 30 area attorneys representing mentally ill detainees. Our new Legal Orientation Program has provided 100 detainees with early access to legal advice.

- Our **Education and Outreach Program** teaches noncitizens about their rights and trains lawyers to provide high-quality pro bono services to New Americans, working with an impressive network of allies within the Law School, across the university, and in the community. Our Translation and Interpretation Program boasts over 90 volunteers fluent in 16 languages. Medical school faculty are now evaluating our asylum clients as part of their new forensic psychiatry residency program. In January, we hosted our first Federal Immigration Litigation conference for over 50 pro bono attorneys. In April, we co-hosted an immigration policy symposium with The Advocates for Human Rights, the Humphrey School of Public Affairs, and the Immigration History Research Center, drawing 300 attendees. With the Law School's Tax Clinic we have launched a new program to educate low-income immigrants on avoiding tax scams.

While we expect to meet or exceed our benchmarks, two interrelated trends have altered the needs of our partners and the immigrant communities we serve. The first is the Obama Administration's plan to use prosecutorial discretion to protect from deportation millions of undocumented youth and parents of U.S. citizen children. As new enforcement priorities are implemented, the number of detained immigrants scheduled for hearings in local courts has declined, while those who remain detained tend to have more challenging profiles of criminal history and eligibility for relief from deportation.

The second is a simultaneous surge of Central American families and unaccompanied children arriving at our southern border. The federal government has detained tens of thousands of vulnerable individuals and placed them in deportation proceedings. Many are eventually released on bond or to family members across the country, with hundreds of cases now pending before the immigration court in Minnesota. This has created a severe spike in demand for pro bono legal help. The Center is assisting our partners in a collective effort to meet this demand through collaborative outreach and education and we intend to shift some of our resources into direct representation of these clients.

OUR VISION: THE BINGER CENTER FOR NEW AMERICANS

Consistent with the original proposal for the Center, as we approach the fourth year of our pilot period the Law School plans to request an additional \$25 million to permanently endow the program. Our original budget is attached here as appendix C, although we may make some modifications to that budget in light of the trends described above.

In an era of declining law school applications and increased emphasis on experiential learning, the Center for New Americans provides a model for a new generation of high-impact law clinics. The collaborative approach to legal education and public service that defines the Center sets it apart from all other law school clinics. We believe our progress is extraordinary and that we are building the premiere clinical immigration program in the U.S. The investments of our partners are a powerful statement of their long-term dedication to this project. The pro bono legal services that our three partner law firms have invested in the

Center already exceed one million dollars, while our non-profit partners have contributed invaluable time and expertise to our cases and outreach efforts.

A permanent Binger Center for New Americans will be an extraordinary legacy for generations of law students and help transform immigration law to the benefit of countless immigrants and their families in decades to come.

APPENDICES

- Appendix A –** Agenda for April 29th visit
- Appendix B –** Information about participants
- Appendix C –** Budget for endowment of a permanent Binger Center for New Americans.

Foundation : 20043

BINGER CENTER FOR NEW AMERICANS

1701-10806-20023 UMF0020043

	Year 1 2014	Year 2 2015	Year 3 2016	Year 4 2017	TOTAL
N. Cook: 50% buy out (salary @ \$153,240)	108,003	111,244	114,581	118,018	451,846
Ben Casper	170,800	175,924	181,202	186,638	714,563
Linus Chan	170,800	175,924	181,202	186,638	714,563
Co-Partner: Immigrant Law Center of Minnesota (ILCM)	50,000	50,000	50,000	50,000	200,000
Co-Partner: Advocates for Human Rights (Advocates)	50,000	50,000	50,000	50,000	200,000
Co-Partner: Mid-Minnesota Legal Assistance (MMLA)	50,000	50,000	50,000	50,000	200,000
Teaching Fellows (2 @\$70,000)	193,740	193,740	193,740	193,740	774,960
Meghan Heesch					
Katherine Evans					
Adjuncts (6 @\$6,000)	36,000	36,000	36,000	36,000	144,000
Student Clinic Directors (8 @\$2,500)	20,000	20,000	20,000	20,000	80,000
Program Associate (@ \$50,000)	70,050	77,055	77,055	77,055	301,215
Outreach Activity (Includes Web based activity)	30,000	30,000	30,000	30,000	120,000
General Supplies/Operations	50,000	50,000	50,000	50,000	200,000
Space Renovations	350,000	3,000	6,090	9,272	368,362
SUBTOTAL	1,349,393	1,022,887	1,039,869	1,057,361	4,469,510

ENDOWMENT AMOUNT	25,000,000
4.5% payout	1,125,000



Robina Public Interest Scholars Program & Bridge Fellowship Program

We look forward to discussing with the board two related and highly successful Robina-funded programs—the Public Interest Scholars Program and the Bridge Fellowship Program—that we hope to continue in the future with the Foundation’s support. We have invited current Robina Public Interest Scholars and alumni to discuss their experience with this program: how it drew them to the Law School and made possible the realization of their public interest career goals. We will also discuss the critical role bridge fellowships play in assisting many graduates’ transition to full-time employment. Together, these programs have positioned the Law School as a committed training ground for public interest lawyers, as well as a national model for supporting students in pursuing their long-term career goals.

PROGRESS TO DATE AND EMERGING TRENDS

Robina Public Interest Scholars Program: We have just finished our third year of the Robina Public Interest Scholars Program. The program offers students scholarships, summer internship funding, post-graduate fellowships, and loan repayment assistance. With 36 current Scholars and two classes of graduated Scholars, the Program has demonstrated remarkable success in attracting to the Law School exceptionally talented students committed to public service, moving those students into public interest careers, and making those careers affordable.

- **More students now choose public interest careers.** Almost 25% of our graduates now enter public service or public interest work. This is up from just under 15% of our graduates in 2012. Additional graduates enter public service after a post-graduate judicial clerkship.
- **The Program has enhanced the Law School’s reputation for supporting public interest.** The program has attracted high-quality students who are securing competitive public interest positions. These students are deeply engaged in the School and in the local nonprofit and government community, increasing the visibility of the Law School’s support for public interest to employers, prospective students, and alumni. The Law School has supplemented the Robina Scholars program with strong experiential learning, clinical, and pro bono programs, which allow students to graduate with significant experience in their field of interest.
- ➔ • **The Program has attracted other public interest donors.** The success of the Robina Public Interest Scholars Program has inspired other donors to support public interest opportunities. We have received a number of gifts for summer internships and a large gift to create the Sacks Fellowship program. The Sacks program will allow students an opportunity to work full time at a government agency or nonprofit for credit during their

third year of Law School and will ensure them a paid, year-long post-graduate fellowship at the same organization.

Bridge Fellowship Program: We are in our sixth year of the Bridge Fellowship Program, which provides graduates with short-term post-graduate fellowships at a government agency or nonprofit organization, launching students' careers in public service while they are waiting for bar exam results. This bridge program enables many students still seeking employment to transition successfully to high quality, full-time paid positions. Last year, we awarded 40 Bridge Fellowships to graduates and we anticipate doing so again this year.

- **Most Bridge Fellows continue in public service careers.** Almost 75% of bridge fellows enter public service careers after their fellowship ends. Many of these graduates work in states that hire public defenders and government attorneys after bar results in late fall. Other fellows obtain prestigious late-breaking fellowships, such as the Equal Justice Works AmeriCorps Legal Fellowships.

PROPOSED EXTENSION OF THE ROBINA PUBLIC INTEREST SCHOLARS AND BRIDGE FELLOWSHIP PROGRAMS

The Robina Foundation's philanthropy has allowed the Law School to support passionate students as they pursue public interest careers. We are attaching proposed budgets that would extend both the Robina Public Interest Scholars Program and the Bridge Fellowship Program. The last three years has greatly increased the number of our graduates entering public service and has given the Law School a national reputation as a strong supporter of public interest careers. Funding for the Bridge Fellowship Program has already ended, and funding for the Public Interest Scholars Program will end soon. Extending both programs for five years would allow us to support even more high-quality graduates in public service work and provide our local and national public interest community with passionate, long-term leaders.

Because we believe the Public Interest Scholars program has the potential to attract even more committed students than we can currently fund, our budget requests an increase in the number of Scholars funded from twelve to eighteen.. Each year, around 60 applicants apply to be Robina Scholars, with 20-30 of them very strong candidates. Increased scholarship support would allow us to admit more students into the Law School as Robina Scholars. Our budget also requests additional funding for summer fellowships and conference funding, since we have found those components of the program to be very successful in moving students into quality public interest positions.

We have omitted a request for additional LRAP funding and decreased the budget line for post-graduate fellowship support, because we have found these components of the program to be less important than we originally anticipated. The program has been so successful in attracting highly talented students that the graduates are mostly finding paid public interest positions without need for Law School funding for their initial post-graduate year. Similarly, with paid employment and assistance from their own employers' LRAP programs, there is also less need for Law School LRAP support than we originally expected.

→ We also seek support to extend the Bridge Fellowship Program, so that we can continue to offer recent graduates \$5,000 for 400 hours of unpaid work at a government agency or nonprofit organization. Our Career Center would continue to work with individual students and employers to find strong placements for our fellows. Fellowships would begin in early fall, after the bar exam, and continue throughout the fall. We would require regular check-ins with the Law School's Career Center to provide support for the graduate's job search.

An extension of the Robina Public Interest Scholars Program and Bridge Fellowship Program would provide our committed public interest students the financial support and other resources they need to embark on transformative careers in public service.

Appendices

Appendix A – Speakers

Appendix B – Proposed Budget – Robina Public Interest Scholars Program – Extended

Appendix C - Proposed Budget – Bridge Fellowship Program – Extended

Appendix B: Proposed Budget – Robina Public Interest Scholars Program – Extended

	Year 1 FY 2017	Year 2 FY 2018	Year 3 FY 2019	Year 4 FY 2020	Year 5 FY 2021	TOTAL
<u>Public Interest Scholarships</u>	270,000	540,000	810,000	810,000	540,000	2,970,000
Class of 2018 (12@ \$10,000 for 3 years)	in current	in current				
Class of 2019 (18@ \$15,000 for 3 years)	270,000	270,000	270,000			
Class of 2020 (18@ \$15,000 for 3 years)		270,000	270,000	270,000		
Class of 2021 (18@ \$15,000 for 3 years)			270,000	270,000	270,000	
Class of 2022 (18@ \$15,000 for 2 years)				270,000	270,000	
<u>Summer Internships</u>	0	100,000	100,000	100,000	100,000	400,000
Rising 2L & 3L (20 @ \$5,000)	in current	100,000	100,000	100,000	100,000	
<u>Post-Graduate Public Interest Fellowships</u>	0	0	70,000	70,000	70,000	210,000
(\$35,000/graduate, 2 graduates May 2018)			70,000			
(\$35,000/graduate, 2 graduates May 2019)				70,000		
(\$35,000/graduate, 2 graduates May 2020)					70,000	
<u>Program Support</u>	0	86,688	94,188	96,688	99,188	376,752
Program Coordinator 100% full time	in current	86,688	89,188	91,688	94,188	
Conference funding and other networking activities	in current	in current	5,000	5,000	5,000	
TOTALS	270,000	726,688	1,074,188	1,076,688	809,188	3,956,752

[illegible]

SUMMARY OF FUNDING OPTIONS

Yale University

Program	Amount
Gilder Lehrman Center for Study of Slavery, Resistance, and Abolition	\$1.2M payable over 4 years
Yale Law School	\$1M annually
Human Rights Fellowship Initiative	\$20M to endow at current level
Yale School of Management Transforming Global Management Education	\$11M or \$23M <i>over 5 yrs.</i>
Yale Institute for Network Science Robina Foundation Program on Network Science for the Common Good	\$10M payable over 4-5 years \$20M payable over 6-8 years
Yale School of Forestry & Environmental Studies Robina Foundation Diversity and Environmental Leadership Program	Core Program - \$10+M Core Program Plus - \$20+M

Council on Foreign Relations

International Institutions and Global Governance	\$20M to endow Binger Center for Global Policy \$8M to endow Chair and support programmatic activities \$2M/year for ten years for operation of initial IIGG program
Global Health and Development Initiative	\$8M to endow Chair for a Senior Fellow for Global Health and Development \$800,000/year for ten years for Global Health and Development Initiative \$3M to endow Fellowship for mid-career professionals from academia or private sector to spend a year in government or at CFR working on health and development
Rule of Law Initiative	\$6M payable over five years
Countering Violent Extremism Initiative	\$5M payable over five years
International Affairs Fellowship	\$15M endowment

Allina Health

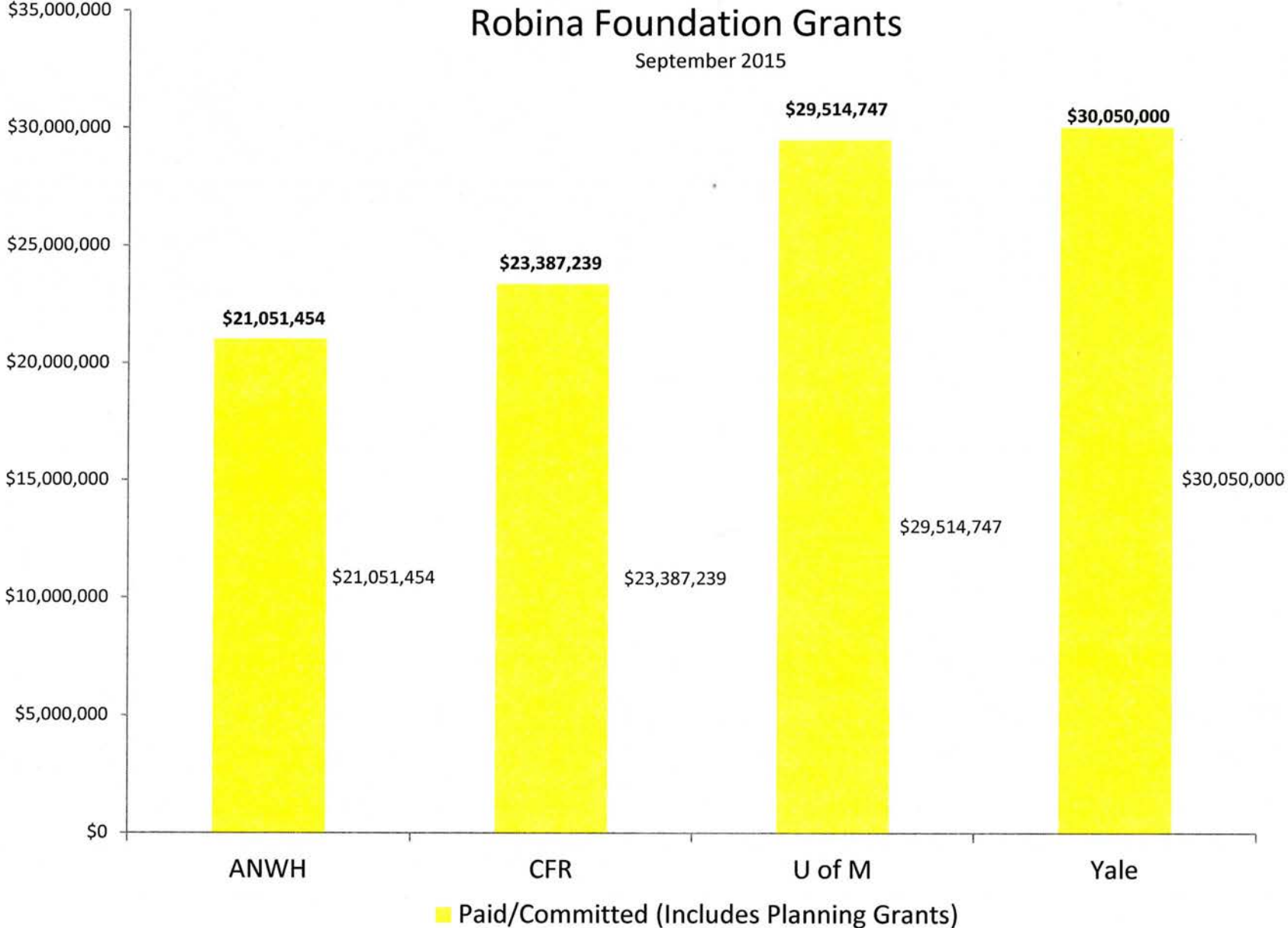
LifeCourse	\$25M payable over five years
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University of Minnesota Law School

Center for New Americans	\$25M Endowment
Public Interest Scholars Program and Bridge Fellowship Program	\$3,956,752/five years for PIS Program for Fall 2016 incoming students (Class of 2019) \$750,000/five years for Bridge Fellowship Program for class beginning in 2016

Robina Foundation Grants

September 2015



	ROBINA FOUNDATION GRANTS PAID/COMMITTED														
	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
LifeCourse: Late Life Supportive Care + Additional Funding					2,356,696	4,245,492	4,334,266								10,936,454
LifeCourse: Transition Phase								3,990,000							3,990,000
														ANWH Total	20,926,454
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	446,117							1,735,365
Expanded Diversity Initiative - Additional Activities - HIA						837,344	858,278	879,735							2,575,357
														CFR Total	23,312,634
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
Sentencing Law Program Enhancements (CL&CJ)						820,056	844,658	869,997	896,097	922,980					4,353,788
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
Center for New Americans						1,349,393	1,022,887	1,039,869	1,057,361						4,469,510
														U of M Total	29,139,747
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	1,000,000							8,000,000
Yale University															
Thomas M. Crosby, Jr. Scholarship							200,000								200,000
														Yale Total	30,000,000
TOTAL	6,403,535	7,559,983	8,203,570	7,235,604	26,427,609	13,152,126	13,576,037	13,135,630	6,761,761	922,980				TOTAL	103,378,835
YEAR END NET ASSETS*															
				120,827,373	100,568,259	95,132,519	82,796,457	73,183,585	69,399,311	71,274,051					
*Estimated by Mike Sullivan based upon the projected grant programs and using asset allocation and assumed return assumptions.															
September 1-2, 2015															
Planning Grants in 2005-2008 not included above: Abbott - \$125,000; CFR - \$50,000; U of M Law School - \$375,000; Yale University - \$50,000															
Miscellaneous Grants not included above: ArtPlace Initiative - \$500,000; Aspen Institute: Justice and Society Program - \$130,575; The Center for Victims of Torture - \$26,000															