



[Robina Foundation](#)

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ROBINA FOUNDATION
Board Meeting

March 3-5, 2014

Location: New Haven, CT

Meetings: Yale School of Drama and Yale Law School

Lodging: The Study

1157 Chapel Street, New Haven, CT 06511

Phone: 203-503-3900

Yale OFFICE OF DEVELOPMENT

PATRICIA E. PEDERSEN, PH.D.
*Associate Vice President
University Director of
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location
157 Church Street
New Haven CT 06510-2100

February 26, 2014

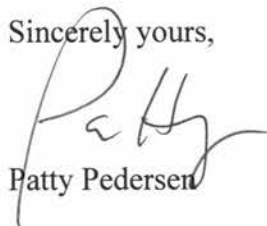
Ms. Nancy Gilberg
Administrative Consultant
The Robina Foundation
4900 IDS Center
80 South 8th Street
Minneapolis, MN 55402

Dear Nancy,

Please find enclosed two fully executed copies of the gift indenture for the Thomas M. Crosby, Jr. Scholarship Fund at Yale University. One copy will be for the Crosby family. We remain deeply grateful for the family's and the Robina Foundation's generosity in supporting our students.

Thank you very much, too, for your help in this matter. We look forward to welcoming the Robina board to Yale next week.

Sincerely yours,



Patty Pedersen

PEP:kh

Enclosures

**Thomas M. Crosby, Jr. Scholarship Fund
Indenture
February 20, 2014**

The Robina Foundation ("Foundation") wishes to honor the legacy of Thomas M. Crosby, Jr., its former Chair and a graduate of Yale College, 1960 and of the Yale Law School, 1965, by establishing a named scholarship for Yale College students. To commemorate Mr. Crosby's deep commitment to community service and his exceptional leadership abilities, the Foundation wishes to provide scholarship support to student(s) who demonstrate qualities of leadership and an active interest in service to their respective communities. The Foundation is therefore pleased to document a commitment of \$200,000 to establish an endowed scholarship fund for the benefit of one or more deserving students with demonstrated financial need.

Name of Fund: The name of this endowed fund will be the "**Thomas M. Crosby, Jr. Scholarship Fund.**"

Schedule and Form of Contributions: This commitment is fulfilled by the Foundation's February 20, 2014 gift commitment of \$200,000. This fund may be added to from time to time by the Foundation or others.

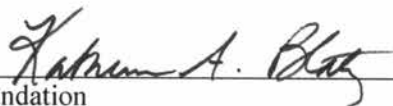
Use of Endowment Income: The expendable income from the fund shall be used to provide scholarships for students within Yale College with a preference for those who demonstrate qualities of leadership and an active interest in service to their respective communities. The University may direct the resources from this fund in a variety of ways, including, but not limited to, providing financial aid for tuition, room, board, and other educational expenses. Expendable income from this fund may also be used to enhance the educational experience of eligible students participating in approved Yale programs for term time or summer study, travel, or internships.

Excess Income: If expendable income from the fund grows beyond what is practical to use for the purposes stated above, the University Provost may use the excess income to support the academic priorities of Yale College.

Stewardship: Yale shall provide the Foundation annually with a written report containing the name(s), background(s), and course(s) of study of the scholarship recipient(s), and including a financial update noting the fund's market value, principal, and expendable income as long as the Foundation is in existence. Yale will also provide a written report annually to Crosby family members listed in the attached appendix. The Crosby family may designate changes to the recipient family members from time to time by contacting the Yale Development Office.

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

In the event that at some future time due to changed circumstances, in the judgment of the Yale Corporation, it becomes impractical to apply the distributions from this fund to the purpose described above, the Yale Corporation shall make such modifications to the use of the fund as will appropriately recognize the interests of the Foundation in coordination with University priorities.


Robina Foundation

By
Its *Chair*


Joan E. O'Neill

Vice President for Development
Yale University

2/20/14
Date

2/24/14
Date

Thomas M. Crosby, Jr. Scholarship Fund
Indenture
February 20, 2014

Appendix

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April 15, 2014

Ellie Crosby
1612 Willow Drive
Long Lake, MN 55356

Dear Ellie,

When the Robina Board of Directors held its winter board meeting at Yale in early March, Board Members individually and as a group remembered our times there with Tom and his leadership of the Foundation. I know you would have enjoyed Kathleen Blatz's recounting of the aborted break-in to Wolf's Head you instigated during our visit in December 2012. Our visit gave us the perfect opportunity to toast Tom with Yale's new President Peter Salovey and celebrate the new Thomas M. Crosby, Jr. Scholarship Fund.

I'm sending the enclosed indenture between Robina and Yale so that you and your family have the official document setting up the scholarship fund. We look forward to learning about the student leaders who will benefit from support in Tom's memory and will carry on his commitment to community service.

It's a cold, wintery day today, but surely spring will come soon! I understand that this was a good year for maple sap so I suspect the sap has been running in your maple trees! (I hope that's the way to express that – you can tell I've never participated in the tapping of trees.)

Please let me know if you have questions about the Crosby Scholarship Fund.

Warm regards,

Penny Hunt
Executive Director

Enclosure

Honoring a Lifetime of Service

Robina Foundation establishes the Thomas M. Crosby, Jr. Scholarship

Service to others is among the hallmarks of a Yale education. Many students participate in Dwight Hall, founded in 1886 as a student-run center for public service and social justice. Others find ways to serve through an array of student groups, church affiliations, and internship opportunities in the United States and abroad. As a result, Yale alumni are well-represented in non-profit organizations, foundation boards, community projects, and elected offices.

The Robina Foundation recently endowed a Yale College scholarship named for one such service-minded alumnus: the former chair of the foundation's board, Thomas M. Crosby, Jr. '60, '65 LL.B.

Crosby, who died last May, was an attorney and dedicated public servant who held leadership roles for many nonprofits and civic projects, including three terms as the mayor of Medina, Minnesota. A U.S. Navy veteran, he served on the boards of the Minnesota Orchestral Association, the Greater Twin Cities United Way, Abbott Northwestern Hospital, and the Walker Art Center. The Thomas M. Crosby, Jr. Scholarship Fund will provide financial support for undergraduates, with a preference for those who demonstrate leadership qualities and service to their communities.

"We couldn't imagine a better way to honor Tom's legacy of public service," said Kathleen Blatz, chair of the Robina Foundation board of directors. "He would be proud to know that promising students at his alma mater who possess a strong interest in leadership and service will be supported by this scholarship."

About the foundation

The Minnesota-based Robina Foundation supports transformative projects at four institutional partners selected by its founder, James H. Binger '38—Abbott Northwestern Hospital, the Council on Foreign Relations, University of Minnesota Law School, and Yale University. At Yale, the foundation has supported the Binger Center for New Theatre and the Robina Foundation Human Rights Fellowship Initiative.

Establishing a Named Scholarship Fund in Yale College:

To honor the memory of Thomas M. Crosby, Jr. '60, Law '65

Prepared for the Robina Foundation



Yale University, September 2013



THOMAS MANVILLE CROSBY, JR. (Tom). Born October 9, 1938, in Minneapolis, son of Thomas Manville Crosby, '37, and Ella Sturgis Pillsbury Crosby; brother: D. P. Crosby, '62; grandfather: F. M. Crosby, '97; Crosby uncles: F. M., '24, S. McK., '32, G. C., '34; Pillsbury uncles: J. S., '35, E. P., '36, C. F., '39, and G. S., '43. Prepared at Andover. American studies major. Member, J.E. (on soccer team and crew), N.R.O.T.C., Yale Key (president), Fence, Aurelian, and Wolf's Head; president, Senior Advisory Board; captain, Freshman hockey team (numerals); on Varsity hockey team, 1958-60 (major "Y"). Roommates: McFarlane, Schmidt, Snyder. Future occupation: service as Navy ensign; address: Box 248, Route 2, Wayzata, Minn.

Yale Banner (yearbook) 1960

Yale has long been committed to enrolling the best and most highly motivated students, regardless of financial circumstances. For more than four decades, Yale has not wavered from that commitment, progressively refining and expanding its policies to attract students from varied socioeconomic backgrounds and to meet their need for scholarship support. Today, Yale's financial aid program is responding to an increased demand—more students qualifying for more assistance than ever before—and those numbers are only projected to grow. At the same time, the Yale endowment is still recovering from a precipitous 25 percent decline in fiscal year 2008–2009, which has left a gap in the funding stream for student aid.

Building Yale's scholarship endowment to keep pace with this need is a foremost priority. By directing gifts to an endowed scholarship, donors make a lasting contribution that secures access to a Yale education in any economic climate, today and well into the future.

Supporting a signature policy of need-blind admissions, endowed scholarships have long helped Yale place a world-class education within reach of a broad array of students. As Yale families feel the impact of the financial crisis, this mission has become more important than ever.

A named scholarship endowment begins at \$100,000. A scholarship gift will be invested in the Yale Endowment and, once the pledge is completed, the expendable income from your fund will be awarded to a worthy recipient. The Robina Foundation will have the option to name the scholarship, for example, the *Thomas M. Crosby, Jr. Scholarship Fund*, and to express a preference for it to support students from a particular region, residing in a certain residential college, or undertaking a particular course of study. The

Foundation could also specify a preference that the scholarship support students who participate in a specific Yale Athletics program, such as ice hockey. The recipients of this scholarship will be known in perpetuity as *Thomas M. Crosby, Jr. Scholars*.

As the value of your fund grows, so too will the expendable income it provides for scholarships, offering generations of students access to Yale's unparalleled educational opportunities. Annual stewardship reports will keep you apprised of the identity, activities, and achievements of these young women and men, as well as the fund's ongoing financial performance. Additionally, you can choose to have the recipients of your scholarship made aware of your generosity, and join the many Yale alumni and friends who enjoy direct correspondence with their scholars as they complete their studies.

A new financial aid landscape

Funding for Yale's financial aid policies has depended in large part on the endowment gifts of generous alumni and friends and on favorable investment returns over time. For many years, that formula generated sufficient funds to meet a large and growing portion of Yale's scholarship commitments.

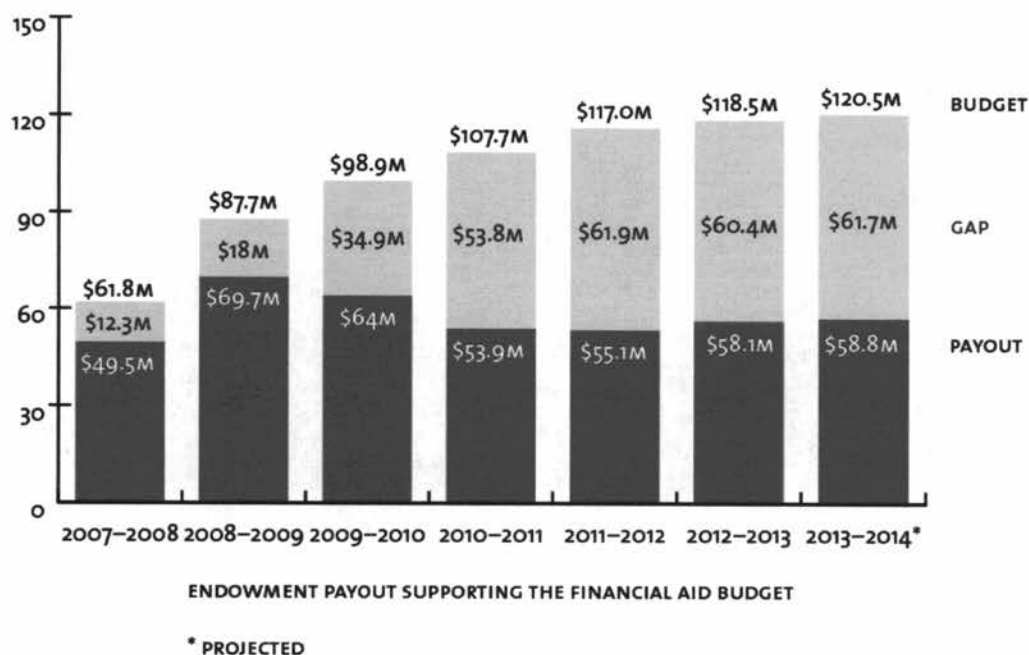
However, Yale's expanded financial aid program, coupled with the global economic downturn, has put unfamiliar pressures on Yale's scholarship budget. Students and their families today need more support to cope with their new financial realities, even as a smaller endowment has placed new constraints on spending.

In fiscal year 2008–2009, the first year of an enhanced financial aid policy, the percentage of Yale College students receiving financial aid jumped from 43 percent to 52 percent, and the average scholarship award increased from \$27,794 to \$32,622 per recipient¹. In fiscal year 2012–2013, the percentage of students receiving aid is projected to reach 55 percent with an average award of \$39,830.

On the funding side, the University projects that endowment payouts will decrease as a percentage of the financial aid budget. In fiscal year 2008–2009, Yale's spending rule

¹ Figures cited exclude International Summer Awards.

cushioned the budget from the full impact of the endowment losses, and the payout supplied a generous 79 percent of the \$88 million slated for undergraduate financial aid. But in 2012–2013, the payout funds just 49 percent of a \$118.5 million financial aid budget, with the balance coming from annual giving and general operating funds. Using conservative assumptions of possible endowment performance over the next four years, Yale expects a continuing gap between its funding needs and the endowment payout.



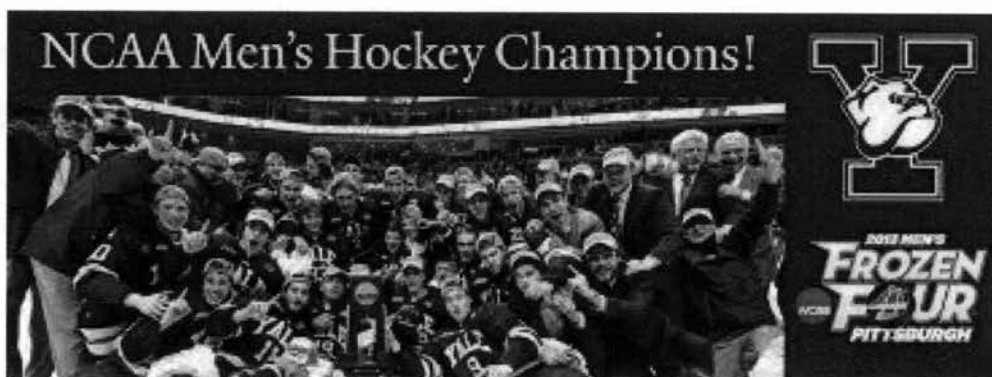
Despite these pressures, the University has remained committed to fully funding its financial aid program. Shortfalls from the endowment payout will be met each year with annual gifts and growing allocations from general operating funds, which are sorely needed in other critical areas of the University—for faculty, research, teaching, and collections. Donor support, in the form of new endowment, is the key to meeting Yale’s long-term financial aid commitments.



The Yale hockey team in 1960

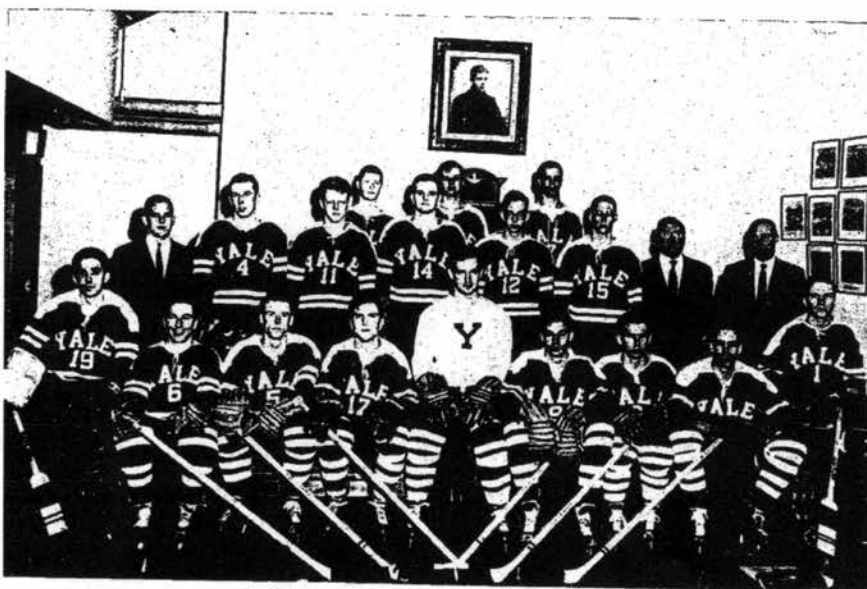
(Yale Banner)

Yale scores against Princeton, winning 2-1



The Yale hockey team in 2013, as NCAA champions

The Yale hockey team in 1960 (Tom Crosby, front row, third from the left)



Back Row—Ripley, Bishop, Rulon-Miller. Second Row—Nash (Manager), E. Smith, Schley, Edwards, Adams, D. Crosby, Wrigley (Trainer), Murdoch (Coach). Front Row—Forstmann, Robinson, G. Crosby, MacLean, B. Smith (Captain), Scott, McGonagle, Trowbridge, Hamlin.

ROBINA FOUNDATION

TO: Marianne Short and Steve Lewis

FROM: Penny Hunt

DATE: December 30, 2013

RE: January 8 Meeting with Abbott Northwestern Hospital / Allina

We are scheduled to meet with the Robina Foundation's key contacts at ANWH/Allina on January 8 at 3:30 at Allina Commons (2925 Chicago Avenue South, Room 128).

I've attached bios of the people who will participate in the meeting. As you can see, Eric Anderson, Sandy Schellinger, Heather Britt and Kim Radel are all principals with LifeCourse, the initiative the Foundation is currently funding. Penny Wheeler, Allina's Chief Clinical Officer, is the senior executive who oversees the initiative and serves as the Foundation's executive contact at ANWH/Allina.

LifeCourse

History

In November 2010, the Board considered several initiatives proposed by ANWH/Allina for future funding, including an initiative entitled "A Systems Approach to Late Life Supportive Care," which received the most Board support. Following a meeting with ANWH/Allina executives to understand better ANWH/Allina priorities, the Board decided in May 2011 to pursue the Late Life Supportive Care initiative. We engaged two outside reviewers to assist the Board in its consideration of the proposal: Dr. Diane Meier, Director of the Center to Advance Palliative Care and a recognized national leader in the field of palliative care; and Dr. Eric Coleman, professor of medicine within the Divisions of Health Care Policy and Research and Geriatric Medicine at the University of Colorado Denver. Both reviewers recommended changes to the proposal, which resulted in changes to the initiative, as did recommendations expressed by Robina Board Members. Drs. Meier and Coleman now serve on the national advisory committee for the initiative.

In November 2011 the Board considered a revised proposal for "A Supportive Care Approach for Patients Late in Life: Creating a sustainable model of systematic care to improve the experience of patients, their families, and caregivers," shortened to "Late Life Supportive Care." At some point, the name of the initiative was changed to "LifeCourse," in large part because reference to "patients late in life" was off-putting to potential participants.

Funding

After a year of discussion, the Board approved funding for the initiative in November 2011: a three-year grant totaling \$9,666,454, payable in 2012, 2013 and 2014. It was anticipated that ANWH/Allina would request additional funding comparable to the initial grant for Phase II of the initiative for total funding of ~\$20M.

At the November 2013 Board Meeting, the Board approved additional funding for 2014 to enable Allina to fully finish the development of the LifeCourse model and to spend more time studying the current model before advancing into an expanded Phase II of the work. This alters the direction of the original proposal – the purpose of the third year of the overall timeline shifts from model implementation across Allina to deeper study of the Phase I model and further consideration of a transition in Phase II.

Allina anticipates the following future requests: \$3M – \$4M for 2015; \$10M for 2016 – 2018, which would bring the total for the initiative to ~\$25M. The Board will consider the 2015 request at the March 2014 meeting.

Initiative

The proposal approved in November 2011 is 80+ pages long. I have attached a brief project summary recently prepared by ANWH/Allina for the Board.

The Robina Board has consistently pushed in two areas: 1) for diversity on the national advisory board as well as other parts of the initiative; 2) for expansion of the use of media beyond public television. Allina recently added an African American to the national board and has begun to explore working with AM radio stations.

Steve Schroeder has been very involved in the initiative and has been very helpful to the principals at Allina.

Other initiatives funded by Robina

Planning Grants

Like all four of the Robina Grantees, ANWH received funding to plan initiatives for consideration by the Foundation: \$75,000 in 2005; \$50,000 in 2006.

Care Guides in the Primary Care Office

In 2008 the Board approved a three-year grant totaling \$6M to support “Care Guides in the Primary Care Office,” a two phase initiative led by Dr. Richard Adair. With considerable assistance and advice from Peter Karoff and Steve Schroeder, the initiative was very successful in showing through a clinical trial the efficacy of the use of laypersons as part of a team of providers. Allina has now adopted this approach throughout the clinic system. Articles on the initiative have been published in several important journals, and Dr. Adair has presented results at key medical meetings.

Because of Dick Adair’s remarkable stewardship of Robina funds, approximately \$2M remained at the end of the second phase of the Care Guide initiative. With the approval of the Robina Board, Allina is using those funds to develop and disseminate information aimed at expanding the participation of laypersons in the care delivery setting. ANWH’s work includes the creation of a Center for Promoting the Inclusion of Laypersons on Care Teams (CoPILoT).

KEY CONTACTS AT ABBOTT/ALLINA

Penny Wheeler, MD, Chief Clinical Officer, Allina Hospital and Clinics

Dr. Wheeler is president and chief clinical officer (CCO) of Allina Health, one of the nation's leading health systems. The organization is made up of 12 hospitals, 90+ clinics, 24,000+ employees and several related health care service companies including home health, hospice, transportation, medical equipment, and retail pharmacy. Dr. Wheeler leads the organization's quality and value agenda through alignment of clinical and operational leadership to optimally benefit those served by Allina Health.

A board-certified obstetrician/gynecologist, Dr. Wheeler has served patients at Women's Health Consultants in Minneapolis. She has served as president of Abbott Northwestern Hospital's medical staff, Chair of the Allina Quality Committee, and served on the Allina Board of Directors before taking her role as Chief Clinical Officer in 2007. In addition to her current role, Dr. Wheeler serves on the boards of Minnesota Community Measurement, a regional health quality collaborative, and on the national board of VHA, an organization dedicated to providing expert support to not-for-profit health care organizations. She has presented nationally on Allina's approach and success in outcomes-based quality payment models. She was also named the Minnesota Health Care Executive of the year for 2012, largely based on her ability to form internal and external care collaboratives and their impact on community health.

Eric Anderson, Principal Investigator

LifeCourse – Late Life Supportive Care Project

Dr. Anderson has been involved in end-of-life interdisciplinary care for nearly 30 years. This has included helping start a rural hospice program in the pre-Medicare Hospice Benefit days, serving as a hospice medical director since 1986, and full time palliative medicine since 2001. As Allina's Inpatient Palliative Care Medical Director, Dr. Anderson helped develop inpatient Palliative Care services at five metro hospitals serving the 19-county area of eastern Minnesota. He continues to see inpatients at United Hospital in St. Paul. Overall the integrated Allina palliative care, home care, and hospice programs have a combined daily census of 1,500. In addition to his clinical practice, Dr. Anderson teaches interdisciplinary palliative care to diverse groups of students at the University of Minnesota School of Health Sciences Center for Spirituality and Healing. Dr. Anderson received his medical training at University of California San Diego and the University of Minnesota. He pursued additional study with Dr. Robert Twycross and the Harvard Program in Palliative Care and Education. He is board certified in both Internal Medicine and Palliative Medicine. He serves as the clinical lead for the Principal Investigator team and will have authority and accountability around partnerships with primary care and specialty providers, development of the supportive care plan, design of the assessment and re-assessment visits and associated clinical measurements, patient population selection and clinical leadership for the LifeCourse care team.

Sandy Schellinger, Co-Investigator

LifeCourse-Late Life Supportive Care Project

Sandy Schellinger has over 27 years of nursing experience focusing on the care of patients and families with chronic progressive illness. Her nursing degrees were obtained at the University of Minnesota and at Metropolitan State University for her Masters of Nursing Science. Sandy is AANP board certified as an Adult Nurse Practitioner. Sandy has a decade of system-wide leadership experience in palliative care and advance care planning. Sandy provides hospice and palliative care consults for Allina patients and families and is also a National Faculty Member and Instructor for the Respecting Choices: First Steps and Disease Specific Advance-Care Planning Facilitator training. She serves as the clinical co-investigator for the project and has authority and accountability around hiring of LifeCourse staff and care team training and development, creation and implementation of electronic health record tools and project implementation.

Heather Britt, Co-Investigator

LifeCourse - Late Life Supportive Care Project
Director, Division of Applied Research

Heather Britt is a behavioral epidemiologist, strategic thinker and implementer, and catalyst for research and innovation at Allina Health. She leads the Division of Applied Research and has done so since its inception in late 2008. In her current role, Dr. Britt facilitates research agendas and collaboration conversation, participates actively in research teams, and seeks to grow and position the division appropriately within the organization. Prior to joining the Division, Dr. Britt was the manager of survey measurement within the Measurement and Analysis Department at Allina. In that role, she facilitated and implemented patient experience and other survey efforts necessary for the organization. Before Allina, Dr. Britt was a prevention research scientist with the Minnesota Department of Education's Safe and Healthy Learners team, following time as a Researcher at the Urban Coalition, a community-based organization focused on research and advocacy with low-income communities and communities of color. Dr. Britt holds a BS in biology from Cornell University, an MPH in health behavior and health education from the University of North Carolina at Chapel Hill and a PhD in epidemiology from the University of Minnesota. She lives in St. Paul and is a huge fan of her two children. Dr. Britt co-leads the research for this project and is the leader of the patient selection algorithm effort. She leads the data collection and research data management and analysis portion of the work.

Kim Radel, Operations Director

LifeCourse – Late Life Supportive Care Project

Kim Radel, MHA, has been with Allina Health since 2005 and is Operations Director for the Robina Foundation's research projects (LifeCourse and Care COPILOT). Kim received her Master of Healthcare Administration from the University of Minnesota. From there, she began an administrative fellowship with Abbott Northwestern Hospital where she worked as the lead on various hospital-wide initiatives including implementation of a specialty specific electronic health record (Epic) physician adoption strategy. Before leaving Abbott Northwestern Hospital for her current role in the Division of Applied Research, Kim was the Information Systems site manager, emergency preparedness manager, and coordinated community relations and engagement efforts for the hospital and west region of Allina Health. Kim holds a BA in management from the College of St. Benedict. She serves as the operations director and has overall accountability for the project, key external face of the project along with the PI and Co-I's, and facilitates communication with internal and external stakeholders and important local and national external partners.

LifeCourse™

Brief Project Summary

A Supportive Care Approach for Patients Late in Life:

Creating a sustainable model of systematic care to improve the experience of patients, their families, and caregivers

Background: The reason for this initiative

Individuals living with chronic illness in its later stages confront some staggering challenges:

- They and their families are often at a loss when seeking support within the U.S. healthcare system.
- Those who receive services enter a profoundly fragmented system in which the task of coordinating one's own care, or that of a loved one, is often overwhelming.
- Clinicians lack standardized, reliable systems to integrate late life supportive care services into primary care and other settings.

Goals

LifeCourse will build and test a person-centered approach that addresses these fundamental challenges. If successful, the trial will demonstrate the ability of this new care model to:

- Reliably address patients' and families' wishes and goals, reflecting the needs of the whole person,
- Improve overall quality of life for patients and families,
- Improve the care experience of individuals and their families

→ The secondary effects of LifeCourse should:

- Lower total costs of care as shared decision-making leads to more informed care decisions,
- Improve utilization of hospice while avoiding undesired hospital admissions, and
- Improve job satisfaction of doctors, nurses, and other team members.

The LifeCourse Model

Relationship is at the core of the intervention provided. All aspects of personhood, including physical, emotional, spiritual and social are explored with the individual and family within their cultural framework. As the relationship is formed and maintained, the LifeCourse team engages and activates individuals and their caregivers to realize their goals and receive the kind of care that honors their wishes and values.

Attention to the whole person in the LifeCourse model includes:

- Hearing the **story** of the individual through their eyes and those of their family, as it unfolds,
- **Individualizing care**, so participants get the care that accords with their values and wishes,
- **Creating an integrated plan**: The LifeCourse plan complements and enhances other plans of care.
- **Partnering** with our patients to share ownership and responsibility for navigating illness and facilitating wellness.
- **Communicating and coordinating effectively**: Goals and wishes are communicated across care settings.

- **Supporting self-care:** Making the tools and support necessary for whole-person wellbeing available to patient, family, and the care team.
- **Promoting societal acceptance:** Raising awareness and normalizing the conversation around serious illness and caring for those with serious illness.

Implementation: The team on the ground

The interdisciplinary team includes nine trained care guides, an RN, social worker, spiritual care provider, licensed marriage and family therapist, and pharmacist.

- ⇓ The care guide and participant meet for an initial visit. A first set of goals is agreed upon.
- ⇓ The care guide brings the results of the visit to the LifeCourse team, and a plan for meeting the goals is established.
- ⇓ Through continued personal visits, the care guide works with the participant and family, coordinating with other health care and supportive services.
- ⇓ Clinical experts from the LifeCourse team advise the care guide and participate in regular team conferences. They also provide direct care to participants on an occasional basis.
- ⇓ Each domain (spiritual, physical, etc.) is addressed during course of care.
- ⇓ The primary provider is kept in the circle of communication. Updates to providers include the participant's goals and values.

Study Design

1. The first (pre-pilot) phase will enroll 15-30 patients, predominantly from our long term care partners. The pilot phase begins in spring 2013, enrolling 250-500 patients, predominantly living outside long term care.
2. Participants will be identified using the electronic medical record with a diagnosis of heart failure, dementia, or stage 3 or 4 cancer.
3. Our referral sources are Abbott Northwestern Hospital and its hospital-based clinics, the Minneapolis Heart Institute, Virginia Piper Cancer Institute, Walker Methodist in Minneapolis, and Augustana Care Center in Minneapolis.
4. Participants and family caregivers will be enrolled and take baseline surveys. They will receive follow up surveys every three months. Progress towards participant-defined goals is recorded regularly for clinical use by the team and for research analysis later.
5. The business model will incorporate global costs of care, time analysis of the team's work, and defined cost avoidance, such as exchanging time in the hospital for time in hospice care.

Timeline

- January-October 2012 and ongoing: model development
- October 2012-May 2013 Pre-pilot phase, 15-30 participants
- June 2013-December 2014 Pilot phase, 250-500 participants



F-41

Dear IDS Center Tenant:

The safety of our tenants, especially in a fire or other emergency evacuation, is our top priority. We have provided many training sessions in order to bring you that very important information. Knowing what to do in an emergency may save lives. We have developed an additional element to our existing program, which will allow anyone who has access to the Internet to participate in a customized, self-testing program. This program will bring the IDS Center Life Safety information right to your desktop. The Minneapolis Fire Department has helped us develop and endorsed this great training feature.

Participation is easy, just go to the IDS Center website www.ids-center.com.

- Once you pull up the web page, go to the "Tenant Services" tab and scroll down to "Tenant Resources".
- Next, enter your tenant password, which is the company name and your main suite number (for example: beacon650).
- Then, click on the red link to "Fire Life Safety".
- At this point, you will need to download Flash Player (free if you don't already have it). This program will enable the system to operate on your PC. Clicking on Flash Player will take care of this quickly.
- On the training site, you will need the USERNAME, which is your suite number, and your PASSWORD, which is "besafe" (once you have gained access to the site, you may change your password but this will change the PW for your entire suite. We recommend keeping your suite number as your USERNAME).

Now you can sit back and enjoy the fast moving visual and audio presentation.

You may watch the entire presentation if you wish or pause it at any point after the introduction. If you get interrupted or need to stop, you can come back at any time. You may jump around or watch it over a period of time and can take the online quiz whenever you are ready. You will be prompted to sign in with your name, company name and your e-mail address. We will keep this information for the building training records, but maintain confidentiality and privacy (this information will not be given out or sold to anyone).

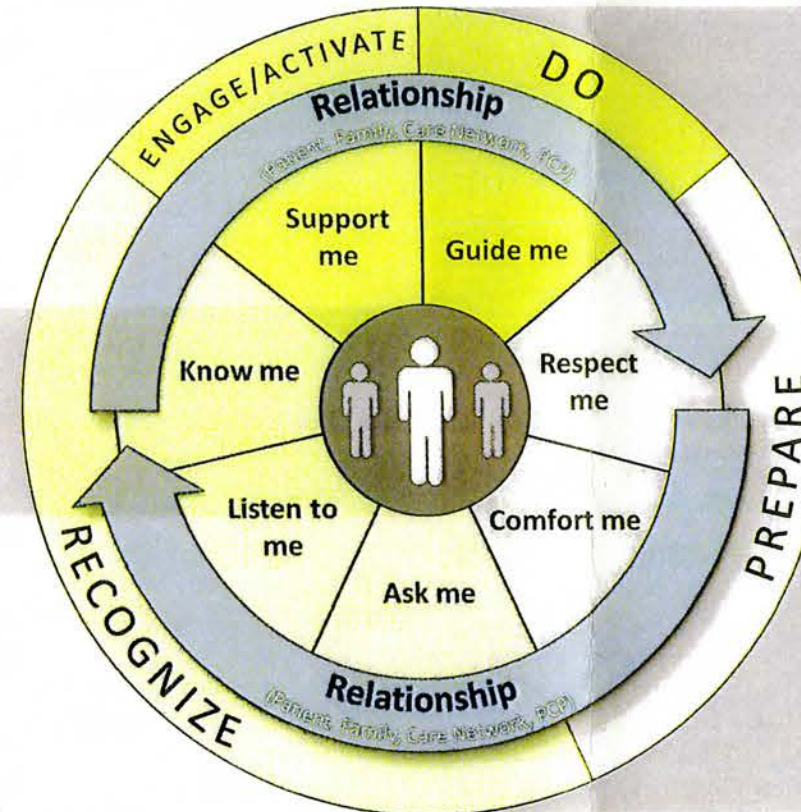
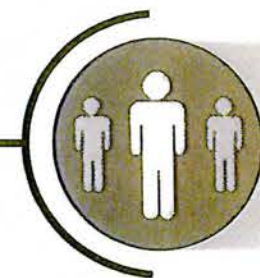
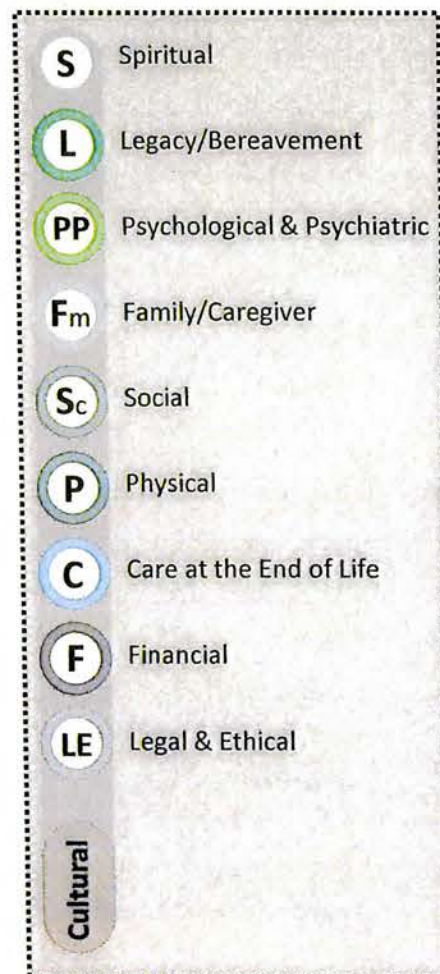
Once you have signed on for the first time, you will be sent a welcome e-mail. You may access this training material anytime you wish. We encourage you to use this format for new employee orientation and as a refresher for current employees.

Thank you for taking the time to review this important life and safety information.

LIFECOURSE™ MODEL OVERVIEW

THE WORK

Relationship as how to do work



Domains

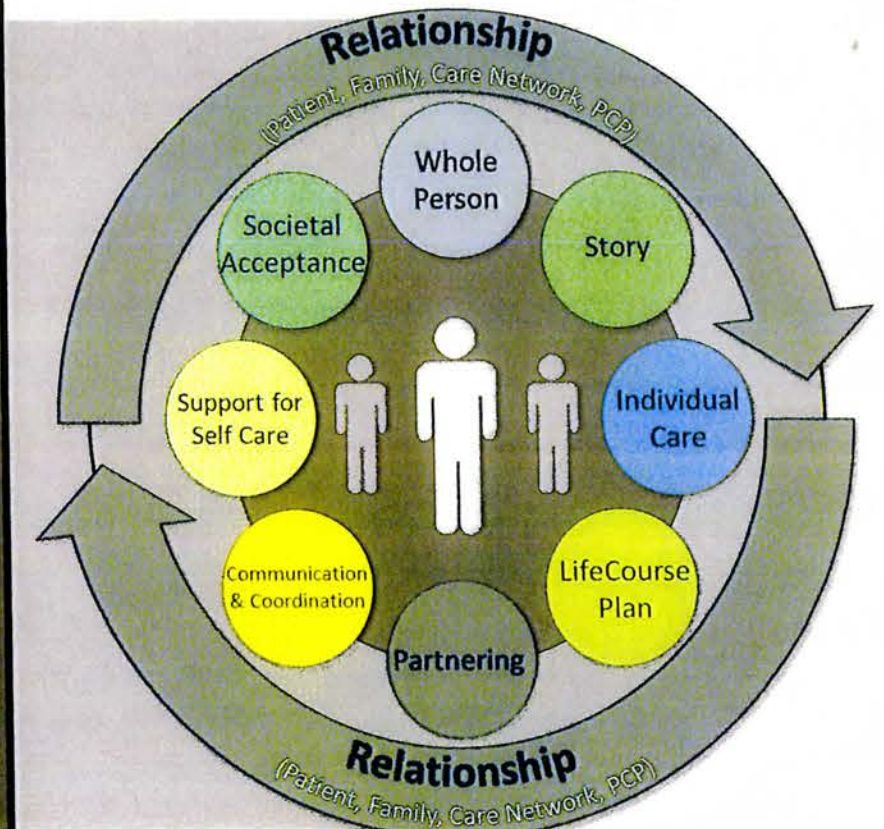
SCOPE. How we ensure we take a whole person approach to the work of LifeCourse.

Guiding Principles

APPROACH. How we understand the participant's view of "whole person" (the domains). How we identify the appropriate approach and actions needed to respond to participant goals and values (meeting participants where they are).

THE MODEL

Relationship as result of work



Active Ingredients

RESULT. The outcome of the work (the model of LifeCourse).

Outcomes:	Patient/Participant	Key friend or family members	Care team	System
	- Goals of care - Quality of life - Care experience	- Quality of life - Care experience	- Burnout/Wellbeing - Teamwork activity	- Hospice enrollment - Hospice and inpatient lengths of stay - Cost of care

ROBINA FOUNDATION

TO: Robina Board of Directors

FROM: Penny Hunt

RE: March 2014 Board Meeting

Plans shaped up nicely for a full agenda of meetings during our visit to Yale.

Thirteen of us will gather for dinner at The Study on Monday night. We're delighted that Mary Aamoth, Judy Lewis, Ray Skowrya (Marianne's husband – pronounced "Skövera") and Wheelock Whitney will join us.

Tuesday is an exceedingly busy day, including:

- Meetings with both Yale School of Drama and Yale Law School (Tabs 1 and 2). The reading material includes background memos describing Robina's history with each of the schools, along with possible areas for discussion.
- Meetings with CFR and HIA (Tabs 3 and 8). Two hours have been allotted for two separate discussions about CFR initiatives: a discussion with Jim Lindsay and Judith Goldstein about the *Expanded Diversity Initiative in Foreign Policy* and a discussion with Jim and Adam Segal about the *Program on Digital and Cyberspace Policy*. I estimate that each discussion will last about one hour. I hope that's enough time!
- Dinner with Yale President Peter Salovey (Tab 4). We've asked the President to kick off our conversation by describing his vision and focus as President, highlighting near and long-term issues. Other than that, our time with him is unstructured. In addition to President Salovey's bio at Tab 4, you'll find a talk he gave last fall in the front pocket of the Board Book.

The agenda for Wednesday's one-half day meeting includes the usual business items plus a report from Gina Kastel on the status of the settlement of the Binger Estate and the Foundation's proposed 2014 Operating Budget. The Board will also consider next steps with respect to CFR's cyberspace proposal and ANWH/Allina's request for funding for *LifeCourse* in 2015. (Note: We will send CFR's response regarding the cyberspace initiative electronically before the meeting.)

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

ROBINA FOUNDATION

Robina Foundation Board Meeting March 3-5, 2014 Yale University – New Haven, Connecticut

Monday, March 3

6:30 p.m. Board Dinner: The Study, Heirloom Restaurant

Lodging: The Study, 1157 Chapel Street, New Haven, CT 06511
Phone: 203-503-3900

Tuesday, March 4

Morning Breakfast in The Study restaurant (charge to your room)
Coffee/Rolls also provided at the Yale School of Drama

8:15 a.m. Meet in Hotel Lobby – Deborah Berman to walk us to the Yale School of Drama

8:30 a.m. Yale School of Drama – Meeting with James Bundy, Deborah Berman

11:15 a.m. Yale Law School

- Lunch with Dean Post and James Silk
- Meeting with Yale Law School Human Rights Students

3:00 p.m. Council on Foreign Relations (The Study – Gallery II Room)

- Expanded Diversity Initiative in Foreign Policy
- Program on Digital and Cyberspace Policy

6:00 p.m. Dinner with Yale President Peter Salovey

Lodging: The Study

Wednesday, March 5

7:30 a.m. Continental Breakfast: The Study, Gallery II Meeting Room

8:00 a.m. Board Meeting

11:45 a.m. Adjournment

Robina Foundation Board Meeting
Tuesday, March 4, 2014
8:30 a.m. to 5:00 p.m.

A G E N D A

(Transportation provided to/from Yale School of Drama and Yale Law School and back to The Study)

TIME		TAB
8:30 a.m.	Yale School of Drama - Meeting with James Bundy and Deborah Berman • Background Memo • Bundy and Berman Bios • Original Proposal for <i>Binger Center</i> Endowment • Report of Advisory Committee • James Bundy's Response (July 30, 2013) • <i>Binger Center</i> Midyear Report	1
11:30 a.m.	Yale Law School - Lunch with Dean Post and James Silk • Background Memo • Summary of <i>Robina's Human Rights Fellowship Initiative</i>	2
1:00 p.m.	Yale Law School – Meeting with Human Rights Students	
3:00 p.m. (Gallery II Room at The Study)	Council on Foreign Relations • <i>Expanded Diversity Initiative in Foreign Policy</i> ➤ Background Memo ➤ Lindsay (CFR) and Goldstein (HIA) Bios ➤ Original Proposal ➤ Additional Activities • Council on Foreign Relations' Organizational Diversity • <i>Program on Digital and Cyberspace Policy</i> (see Tab 8) ➤ Segal Bio	3
6:00 p.m.	Dinner with Yale President Peter Salovey • President Salovey Bio • Summary of Yale Funding	4

AGENDA

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Cover

1	YALE SCHOOL OF DRAMA Meeting with James Bundy and Deborah Berman
2	YALE LAW SCHOOL Meeting with Dean Post and James Silk and Human Rights Students
3	COUNCIL ON FOREIGN RELATIONS Meeting with Jim Lindsay, Judy Goldstein, and Adam Segal
4	DINNER WITH YALE PRESIDENT PETER SALOVEY
5	MINUTES November 12, 2013
6	EXECUTIVE DIRECTOR'S REPORT
7	TREASURER'S REPORT LEGAL REPORT 2014 OPERATING BUDGET
8	GRANT PROPOSALS <i>CFR: Program on Digital and Cyberspace Policy</i>
9	GRANT PROPOSALS <i>ANNW/ALLINA LifeCourse Request for 2015 Funding</i>
10	GRANT REPORTS <i>ANWH/ALLINA LifeCourse Annual Report</i> <i>University of Minnesota Law School Center for New Americans Six-Month Report</i>

ROBINA FOUNDATION

TO: Robina Board of Directors
FROM: Penny Hunt
RE: Meeting with Yale School of Drama / Binger Center for New Theatre
DATE: March 4, 2014

Annual support for Yale School of Drama

In 2007, at the request of Robina, Yale proposed three opportunities for Robina funding: work in theatre arts, nanoscience, and genomics. The Robina Board expressed interest in the theatre arts area and invited Yale School of Drama to submit a full proposal for programmatic support for the Center for New Theatre.

Yale School of Drama requested \$2.2 million payable over three years to launch the Yale Center for New Theatre with two key program components: 1) The establishment of a fund at the Center to commission new works for the stage (the "Production Enhancement Fund") and 2) The introduction of new writing-centered, collaborative, and integrated workshops, laboratories, and short courses to the Yale School of Drama curriculum.

Following YSD's modification of the original budget that included endowment funding, in 2008 the Board approved a three-year grant of \$2.85 million. A fourth year of funding was added in 2011, resulting in annual support totaling \$3.8 million.

Endowment Support

In 2011, in response to a new request from Robina for information on transformative opportunities at Yale, Yale submitted five ideas, including endowment funding to make attendance at YSD tuition free. Follow-up discussions with Yale revealed that endowment funding to sustain the Center for New Theatre rather than endowment funding to enable tuition free attendance would be more transformational.

Given four years of experience with YSD and annual support for the Center for New Theatre, as well as the reputation of David Swenson, Yale's Chief Investment Officer, the Robina Board agreed to consider endowment funding to support the center. Kathleen, Susan, Peter and I met with YSD in November 2011 to discuss the school's initial proposal and provide input to the Board. At our request Yale provided "Alternative Gift Schedules" and "Financial Comparisons," and Mike Sullivan analyzed the funding options and provided a recommendation concerning funding and a timeframe for payment of an endowment grant. At the February 2012 Board Meeting, the Board

approved funding for the Binger Center for New Theatre "in an amount to be determined to accomplish the financial objectives included in the proposal" with funding to be provided with one payment prior to June 30, 2012.

After analysis of the financials in consultation with Mike Sullivan, we determined that the endowment grant should be \$18M, which was paid in June 2012.

A small portion = annual support.
The proposal dated August 1, 2011 is attached.

In discussions surrounding approval of the grant, Dean Bundy agreed to accelerate convening an outside review panel to provide input on the operation of the Binger Center. The independent Review Committee was selected, met in New Haven in December 2012 and provided its report in February 2012.

The report is attached along with Dean Bundy's response to the report.

Discussion with Dean Bundy and staff:

I have alerted Deborah Berman that the Board is interested in learning more about how Dean Bundy views and uses the Production Enhancement Fund, including tactics employed to utilize the fund to the fullest. Dean Bundy is also aware that the Board has questioned the timing of future reviews of the Center. This is not an issue now since the first review occurred a year ago.

At the August Board meeting, it was agreed that we would tighten the questions to be addressed in YSD's annual report and conduct an in-person discussion with Bundy and others every two years. This discussion, which would involve several Board Members and perhaps non-Board Members involved in theater, is not intended as an interrogation, but rather an opportunity to ask questions and have a dialogue about the operation of the Binger Center.

* [I have not discussed this approach with Deborah and don't believe we need to discuss it during our meeting with Dean Bundy.

due in the summer

JAMES BUNDY is in his twelfth year as dean of Yale School of Drama and artistic director of Yale Repertory Theatre. In his first eleven seasons, Yale Rep has produced more than thirty world, American, and regional premieres, seven of which have been honored by the Connecticut Critics Circle with the award for Best Production of the year and two of which have been Pulitzer Prize finalists. During this time, Yale Rep has also commissioned more than forty artists to write new work and provided low-cost theatre tickets and classroom visits to thousands of middle and high school students from Greater New Haven through WILL POWER!, an educational program initiated in 2004. In addition to Yale Rep, he has directed productions at Great Lakes Theater Festival, The Acting Company, California Shakespeare Festival, Alabama Shakespeare Festival, and The Juilliard School Drama Division. A recipient of the Connecticut Critics Circle's Tom Killen Award for extraordinary contributions to Connecticut professional theatre in 2007, Mr. Bundy currently serves on the board of directors of Theatre Communications Group, the national service organization for nonprofit theatre. Previously, he worked as Associate Producing Director of The Acting Company, Managing Director of Cornerstone Theater Company, and Artistic Director of Great Lakes Theater Festival. He is a graduate of Harvard College; he trained at the London Academy of Music and Dramatic Art and Yale School of Drama.

DEBORAH BERMAN is the director of Development and Alumni Affairs for Yale School of Drama (YSD) and Yale Repertory Theatre (YRT), a position she has held since 2005. Deborah is also a lecturer in Theater Management, leading several workshops at YSD, including *Soliciting the Major Gift, Planned Giving and Tax Issues, Grant Writing for Artists*. She is also the editor of the *Yale School of Drama Annual Magazine*.

Prior to coming to Yale, Deborah ran the firm DSB Consulting, where she worked with numerous non-profit organizations in programming, fundraising, and board development. Clients included a public/private partnership with NASA to build a new science museum in Mississippi and the Shakespeare Theatre Company in Washington, DC, where Deborah was also acting director of development. Deborah studied art history at Barnard College (Columbia University) and pursued her MA in art history at the University of Delaware. She has worked at many museums, including the Guggenheim, the Smithsonian's National Portrait Gallery, the Corcoran Gallery and College of Art and the United States Holocaust Memorial Museum. Deborah is also an artist who works in mixed-media and collage and has shown her works in both Washington, DC, and New Haven.

The Binger Center for New Theatre: Yale's Vision

The Center for New Theatre at Yale, from its inception, has played a leading role in the American theatre. Established in 2008 through the outstanding support of the Robina Foundation, the Center has made significant investments in emerging and mid-career playwrights: in the past three years, Yale Repertory Theatre (Yale Rep) has entered into more and larger commissioning agreements than any other theatre in the nation. To date, the Center has supported the work of more than 30 commissioned artists, as well as the world premieres and subsequent productions of 12 new American plays and musicals.

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

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

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

Background: Mission and Strategy

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

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

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

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

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

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

This combination of activities leverages several complementary elements—a nexus of training and production; a community of talented artists teaching and learning here; the intellectual curiosity of southern Connecticut and the New York metropolitan area; Yale's international reputation; and the University's long-term economic stability—to drive the Center's resources aggressively toward the support of playwrights and our art form. We are confident that our program is a model for energized and exciting theatre programming.

Plans for the Future

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

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

Commissions

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

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

Workshop, Retreats, and Residencies

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

By far the most popular residency we have created to date is the annual Boot Camp. Each year, three to five commissioned artists are invited to participate with School of Drama playwrights in a week-long intensive retreat in New Haven, led by Paula Vogel, current Chair of the Playwriting program and Playwright-in-Residence at Yale Rep (Paula is stepping down as Chair as of July 1, 2012, but will remain on the School of Drama faculty, and plans to continue Boot Camp for the foreseeable future). The experience has been widely praised by all writers who have attended; not only does it provide them with creative challenges, new techniques, and

aesthetic inspiration, but it also links our commissioned artists closely to the playwriting students at the School of Drama. Boot Camp thrives on a community that could only exist at Yale; writers with considerable experience in the field relish the opportunity to mentor talented students at the School, while students grow more rapidly in the company of their professional role models. The immediacy and closeness of these relationships are key elements in our writers' identification of Yale as their creative home.

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

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

Yale Institute for Music Theatre

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

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

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

very end is the developmental process. Every team has made significant and substantial changes to their work between the two open rehearsals, incorporating what they have learned from watching the material as it meets an audience.

In 2009, *POP!*, by Maggie-Kate Coleman and Anna K. Jacobs, went from a workshop at YIMT to a production at Yale Rep, supported by the Center for New Theatre. *POP!* continued its life at the Studio Theatre in Washington, DC in 2011, and it will have its third production at City Theatre, Pittsburgh, PA, May 5-27, 2012. The success of this piece, and of YIMT overall, is an example of how a diverse and flexible portfolio serves our mission: we may bring musicals to production through commissioning, and/or through this program. We can also meet and get to know the work of talented musical theatre writers early in their careers, all while giving our students opportunities to participate at a high level in the development of new musicals.

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

Productions

Since FY09, the Center for New Theatre has underwritten eleven world premieres at Yale Rep—including this season's *Belleville* by Amy Herzog, *Good Goods* by Christina Anderson, and *The Realistic Joneses* by Will Eno; and next season's *Marie Antoinette* by David Adjmi, *Dear Elizabeth* by Sarah Ruhl, and Bill Camp and Robert Woodruff's adaptation of *In a Year with 13 Moons* by Rainer Werner Fassbinder. The Center also provided funding to support the world premiere of a Yale Rep commissioned play at Lincoln Center's LCT3, and it seeded subsequent productions of work premiered by Yale Rep at Berkeley Repertory Theatre, The Public Theater, Theatre for a New Audience (NY), La Jolla Playhouse, and Pittsburgh's City Theatre.

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

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

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

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

Management and Accountability

To promote the highest standards of artistry and production over time, Yale's vision includes two forms of evaluation: annual reviews by Center staff and the Dean/Artistic Director, and the creation of an independent committee of distinguished theatre professionals to review the programs of the Center and their relationship to the field every five years, submitting their recommendations to the Dean/Artistic Director, with copies to the President and Provost of Yale. The first five-year review will take place in FY13.

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

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

Request and Budget Overview

Yale School of Drama and Yale Repertory Theatre respectfully request a transformative gift of \$18 million paid to Yale University on or before June 30, 2012, to continue and expand the work of the Center for New Theatre in perpetuity. The proposed gift combines \$3 million in operating funds with \$15 million in endowment.

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

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

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

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

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

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

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

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

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

Expected Impact

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

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

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

The Robina Foundation's gift of \$18 million would sustain the extraordinary early impact of the Center for New Theatre; prepare the ground for the theatre artistry of the 21st century; and commemorate in perpetuity the joyful generosity of James Binger—a great man of the American theatre.

Report on the Binger Center for New Theatre

Completed February 22, 2013

This past fall our five-person committee was invited to the Binger Center for New Theater to evaluate the impact of the Robina Foundation support on the programming of the new Binger Center at its five year mark. On December 6 and 7, 2012 we spent two days meeting with various stakeholders in the Binger Center, including its staff, and faculty and students of the Yale School of Drama. Since our two-day meeting we have also done follow-up interviews with artists who have worked at the Binger Center, and theater partners who have received support from the enhancement fund to support subsequent productions of plays commissioned through the Center. This report is both a summary of what we heard and an assessment of the programming based on our various perceptions and expertise in the field of the development and production of new theater.

Report Methodology:

In all of our meetings with various stakeholders we made it clear that their opinions and perceptions would be kept confidential and that we would not specifically identify individuals in the report. The exception to this is where the information in the report comes directly from Binger Center staff, James Bundy, Jennifer Kiger, and Amy Boratko who helped shape our understanding of the goals and objectives of the Center.

The committee's process included downloading all of our notes from meetings and interviews into a joint document. The committee chair took responsibility for organizing the notes into this report and then the report was sent to every committee member for feedback, editing, changes, etc.

The report structure includes:

1. A brief overview of the grant proposals to the Robina Foundation that provides a frame for our understanding of what was proposed to the Foundation.
2. A summary of what we heard from the key Binger Center staff elucidating the goals and objectives of the programming and definitions of success from their vantage point at this five-year mark.
3. A summary of what we heard from the Yale School of Drama Faculty about the work of the Binger Center.
4. A summary of what we heard from the students of the Yale School of Drama about their interaction with the work of the Binger Center.
5. A summary of the interviews we had with artists and partners who have benefitted from the resources of the Binger Center.
6. An overview from the committee.
7. Recommendations from the committee.

The Committee:

The Committee is made up of five people with a diversity of experience and expertise, some with no history with Yale Rep or the Drama School and some with direct working experience in both contexts in addition to two committee members who are alumni of the Drama School.

Polly Carl (Committee Chair)—Director/Editor, HowlRound: A Center for the Theater Commons, Emerson College

Emilya Cachapero—Director of Artistic Programs/ ITI-US, Theatre Communications Group

John Glore—Associate Artistic Director, South Coast Repertory

Leisl Tommy—Freelance Director

Doug Wright—Playwright

THE REPORT:**Overview of Original Proposals:**

As a committee we looked closely at some of the original language from the proposals using the frame of the mission of the Robina Foundation, and considered the evolution of that language from 2007 to 2012. Below we quote the key sections of the grants that guided our understanding of the proposed goals and objectives of the Binger Center for New Theatre.

Mission Statement for the Robina Foundation:

The Robina Foundation, a Minnesota-based private grantmaking foundation, seeks to positively impact critical social issues by encouraging innovation and financially supporting transformative projects of its four institutional partners.

Original Proposal from November 6, 2007:

Objectives include: "Mobilizing the talents, resources, and creative imaginations of young playwrights and stage professionals based on three propositions:

1. That with the strategic investment in the training and commissioning of plays, it will be possible to introduce innovation while ensuring the highest quality of production.
2. That it is imperative to attract and engage more diverse audiences that reflect the nation's changing demographics;
3. And that a key to enhancing the long-term vitality of live theatre lies in strengthening the regional stages through premieres and the showcasing of new talent. "

Two program components:

1. The establishment of a fund at the Center to commission new works for the stage—to raise the number of new plays for regional stages/ and encourage young playwrights.
2. The introduction of new writing-centered, collaborative, and integrated workshops, laboratories, and short courses to the Yale School of Drama curriculum. These will be focused on different genres, initially on musical theatre.

“Center will provide young playwrights with the time, resources, and support needed to create new plays....the Center will serve as a model for the training of professionals at other schools and provide a pipeline for new talent and new works.”

Revised Proposal April 13, 2012

“Yale now seeks to establish, in partnership with the Robina Foundation, the financial stability that will enable the Center to fire the American theatrical imagination for generations to come. . . to serve as a model for new theatrical productions around the country.

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

“The Center will address the critical needs of the field by providing:

1. Meaningful compensation for writers.
2. Artist-centered processes.
3. Significant opportunities for production.
4. Multiple venues for interaction: classes, retreats, readings, workshops, residencies, and productions bring other theatre artists together at every stage of professional development.

“Expected Impact:

“We believe that this model—meaningful financial and artistic support of playwrights in combination with robust production opportunities and the fostering of community among artists—holds the highest promise for promoting the next great age of American playwriting.”

Summary from Meetings with the Staff of the Binger Center

Most of the following summary comes from conversations with James Bundy and Jennifer Kiger and additional contributions from Amy Boratko, Victoria Nolan, and Deborah Berman.

James Bundy began by framing the history of Yale Rep that led to the programmatic

priorities for the Robina Foundation proposal stated above. The frame for him included:

- A pressure to produce plays in a leadership role as Yale Rep productions reflect on how the Yale School of Drama is perceived.
- Acknowledging that their core competency over the past decade has been to identify and develop interesting writers.
- Addressing the big question he faced when he arrived at Yale—why would a playwright choose to do a play at Yale Rep when the royalty payouts were low, and given its proximity to NYC and the impact of the review as a New York review? This was part of the reason they focused on the need to commission writers in a substantial way and have put so many resources toward raising the commissioning amount.

Dean Bundy articulated what he thought success looked like if the Robina Foundation money was being leveraged toward the biggest impact:

- Giving the artist the widest possible audience they can find, multiple productions, and the ability to leverage other work because of the support they get from Yale.
- The extent to which the process contributes to the artistic growth of the artist, though less quantifiable, is just as important.
- Encouraging more adventurous work in the field at large.
- Inspiring others to create similar models.
- Using the enhancement fund, what Bundy described as the “most innovative tool they have,” as a form of risk capital to inspire others to do more new plays.

We spent most of the meetings with staff getting clear about how the programming works, how playwrights are chosen, and how development and production of the work comes about.

Day to day operations are much like those of a large regional theater when it comes to looking for and identifying new plays and strong voices they want to work with. Commissioned artists are chosen by Bundy and Kiger based on their long-term relationships with playwrights and their sense of who they consider the more innovative voices in the field. The literary office of the Binger Center assists in the process accepting unsolicited scripts and scripts from agents wading through a large pile of plays with the help of the YSD dramaturgy students.

The development path for the commissioned plays is driven by the needs of the artist and the project. One thing we heard consistently from all of the Binger Center staff: the artists making the work must drive its development. For this reason, and because of limited rehearsal space at Yale, most of the development work happens in New York City and not in New Haven. As most of the artists are in New York and

the collaborators are there as well, it is more convenient to the artists to work in New York. As a result, during the development of the work, YSD students are much less likely to be involved or able to access the process of the play's evolution in its earlier stages.

Yale Rep does not have a role in selecting playwrights for the YSD playwriting program so there isn't any direct relationship between the Binger Center commissioning program and the playwrights of the YSD.

We asked a question about how risk and innovation around the work was assessed, as the Binger Center staff and the Robina Foundation used both terms in defining the purpose of the support. And we heard risk defined this way by both Jennifer Kiger and Amy Boratko:

- Risk is assessed in relationship to the artist, not the audience. They work with artists to define the question of risk,
- In terms of how artistic risk-taking impacts audience engagement, there is less effort put here given that ticket sales do not drive their budget or their artistic decision making. They have begun to implement some post-show talk backs, but focus is not on preparing audience around risk.

We recognized as we got to the end of our two-day visit that we were still not clear on the relationship between what we perceived as three entities involved in the Robina Foundation proposal: Yale Rep, the Binger Center, and Yale School of Drama.

Dean Bundy clarified it for us this way:

- The Binger Center is a program and not a place. The word "Center" was primarily used as an academic word, to suggest a place to which funds would go—to create the idea of a community with potential donors, a place to create a rallying cry for money with the goal of ultimately creating an endowment.
- The primary resources of the fund are used to commission, develop, and produce new work.
- Bundy acknowledged that it might be inferred that these resources would be used to develop a curriculum around new play production but that isn't the case here. Faculty have methodology for teaching new play production but that is not run through the Binger Center and it is not the role of the Rep to shape how faculty will work.
- The branding challenge is how to best put Yale Rep out there as a professional theater.
- Robina Foundation is funding work that was already happening at Yale Rep and the funds make sure it will happen more deeply and in perpetuity. So the Binger Center isn't a new program but really a way of endowing existing practice.

At this point we asked Dean Bundy and Jennifer Kiger a series of questions:

What would be the most forward thinking way to integrate students and professionals and should Binger Center have a role in that? Is there a new exemplary practice for Binger Center within the YSD?

- Bundy reiterated here the autonomy of the faculty.
- Emphasized their interest in keeping the focus on the work and that feels strange for example to advertise the program, sees it as a template, not a model.

How they would define their audience?

- Bundy talked about the process of getting plays from writers they liked and getting those plays out and produced in other theaters.
- Their audience is probably the 50 largest theaters in the US

How they would define success on a national level?

- Success would be encouraging other communities to find their Robina Foundation to endow their practice—called their mission a “subversive elitist practice.”

We asked about communication between Binger Center and the faculty, and possible collaboration with commissioned artists and the faculty. Could there be a course on devised work for example when the recently commissioned Rude Mechanicals ensemble was in town?

- Not much has been done to integrate artists when they are in the middle of the development process, but when they are in a Yale Rep production then there is a lot of focus on integration.
- Bundy thought the communication overall was good.

Bundy then turned the tables and asked us to consider: What outcomes are we (Yale Rep) not using that we should be to measure success?

Summary of the Meeting with YSD Faculty

This meeting started with a very strange vibe, almost oppositional before anything was actually said. When we reiterated the confidential nature of the meeting then things seemed to be a little more free flowing. Part of the initial resistance was the general feeling from the faculty that the Robina support was not a conversation they felt a part of. For example, it was mentioned that the faculty learned about the gift at the same time the general public did.

The start of the conversation focused on the extra work that Binger Center was causing from the production side of things, particularly as they were getting into

more of the world of new musicals. The school didn't have the machine in place for that and a lot of extras were landing on existing staff as a result.

There was a general level of consensus that the caliber of new work has improved with the infusion of the Robina money and that the Rep was now attracting more exciting artists and that this is great for students. The faculty is most aware of how the Robina money impacts the productions at Yale Rep and they saw it as a boon for the design students in particular to get to work on such high quality plays with high quality artists. Everyone felt this had less impact for playwrights at YSD.

The best example of integration between the Binger Center and YSD was the summer musical which also includes YIMT.

The biggest concern from the faculty was the lack of communication (as perceived by the faculty) between the two entities, and missed opportunities for student engagement as a result. They didn't feel like there was a formal mechanism for communication between YSD and the Binger Center and as a result they had little sense of what artists had been commissioned and when they would be on campus, or when the development of the work was taking place.

They also expressed concern about how better integration could happen. One faculty member stated that they responded to this grant like they respond to everything else: there's a lot going on here. This led to an explanation of how things are scheduled within the YSD and concern that there is no room in the schedule for anything new; that to fit visiting artists from the Binger Center into the schedule for example would mean not doing something else. They have proven methodologies that they want every student who comes through Yale to experience, so integrating and creating new opportunities is a challenge.

That said, a couple of the faculty were more eager to take advantage of artist residencies. They expressed a desire for a space for visiting artists to work and to be accessible to students, and to find ways to connect the playwrights at YSD to the work of the Binger Center.

In asking the faculty about what they perceived to be the mission of the Binger Center, they didn't feel it had much to do with YSD but rather that the development of new work for the industry in general was the primary goal.

In a follow-up conversation after our meetings at Yale, we asked about the relationship between the Yale Institute for Music Theatre (YIMT) and the Binger Center, we learned that this is the first year YIMT will be integrated into the Binger Center and it's the only Binger Center program with a separate artistic director. It is scheduled in early June as a way to avoid conflicts with other programs. There has been a very strong interaction with the drama school, particularly stage managers and designers, but like with YSD much less interaction with the playwriting students.



Overall in our conversations with the faculty both in-person and via email, we heard a particular concern for finding ways to integrate the YSD playwriting students into the activities of the Binger Center, and a desire generally for more transparency and increased communication between the Binger Center and the faculty.

Summary of the Meeting with YSD Students

Most of the students didn't know about the Binger Center until they received the email about the 18 million dollar grant. Notably, Binger Center as a name didn't really resonate with the group, but dollar amount did. Students did say the size and nature of the grant conferred additional prestigious status upon the school, and they felt a trickle-down benefit from that, but that this is connected to public perception of the school, not practices within it.

Students reported that most of their interaction with the Binger Center is informal—they have one or two-hour conversation with the artists who come through town and these conversations are very inspirational.

Many of the students talked with great enthusiasm about Boot Camp. This seems to be the only event in which students and commissioned Binger playwrights mingle, exchange ideas, and cross-pollinate. It's also interesting to note that it occurs four or five days before the semester begins, so as not to interfere with the rigorous calendar mentioned by the faculty.

Playwrights expressed the greatest frustration in being able to connect to Yale Rep productions, as this is how the students come into contact with the programming of the Binger Center. Playwrights desire more access and training around the business side of playwriting and the real world challenges of getting work produced, and feel like they could gain a lot from more interaction with the professional arm of Yale. The group did speak highly of Jennifer Kiger and her willingness to meet and talk about the profession and engage the individual work of the playwrights.

Like the faculty, the students realize that more in-depth interaction with the Binger Center would have to be integrated into the curriculum; otherwise their schedules don't permit more involvement. But they would love to see "pop-up" master classes by visiting artists, more focus and learning opportunities around devised work, and access to the play development process and the pre-production process as part of their training.

Summary from Interviews with Collaborating Artists and Theaters

As a Committee we talked with a number of commissioned artists and theaters that benefitted from enhancement funds. In all cases we promised confidentiality so we will not mention specific names but summarize the responses from those interviews.

From Commissioned Artists

We heard from all the commissioned artists we talked to that the commission was a significant "shot in the arm" to the artists' careers and to their ability to engage and focus on the specific project. There was great praise for the Yale Rep staff and their commitment to the work, especially when the play went into full production, in other words when it wasn't a commission that was ultimately passed on. We heard responses like "when you fall in love, you never take it for granted," conveying the sentiment that Yale Rep is a true artistic home for some of the artists involved.

We did hear from more than one artist that they didn't receive as much support for their development process as they had hoped. They felt that the staff seemed to be "overwhelmed" or "stretched too thin," and that communication was not as transparent and free flowing as they had hoped. That said, even those artists acknowledged the importance of the commission in their careers. And not surprisingly, these artists were very nervous about talking openly for fear of being perceived as "ungrateful" and risking the loss of future opportunities with Yale Rep.

From Theaters That Received Enhancement Funding

All of the theaters we talked to had a similar story. They had chosen to work with the artists and produce the plays based on their own relationships. They did not credit Yale Rep with bringing these artists to their attention. And everyone we talked to said they had decided to produce the work before they were aware of the enhancement funding (important to note here that we didn't talk to everyone who received enhancement funding). But that said, those we talked to report that the enhancement funding—that went to improving design or extending the rehearsal process—had an undeniably positive impact on the final production. There was praise for the expertise of Vicki Nolan and gratitude for the invaluable insights about budget and other production challenges Yale Rep was able to provide due to their familiarity with the work. *

Overview and Assessment from the Committee

It's important to note here that though some of the committee members have worked at Yale Rep, none of us came into the process with much information about the Binger Center or any preconceived notions about the programming. For all of us this evaluation has been a learning process that has involved listening and then thoughtful reflection.

All of us were very impressed by the staff of the Binger Center and the stalwart commitment to artists and to the artistic process.

From our vantage point the Binger Center seems well on its way to achieving the first of its stated goals; it has commissioned excellent writers who have produced compelling work; it has helped those works get produced in admirable fashion; playwright compensation has increased; and finally, for the most part, the artists involved speak very highly of their experience working with the Rep. The synergy between James Bundy, Jennifer Kiger, and Amy Boratko makes for an acutely

intelligent and passionate artistic team—deeply responsive to the needs of the artists whose work they undertake to support.

In this respect the Binger Center is clearly an example of a “best practice” in the field of new play development. And we recognize that this has been the objective of the Binger Center. As we attempted to understand the goals, we went back as a group and focused on what Dean Bundy expressed as the primary purpose of the Binger Center—to endow the new play development activity that was already happening at Yale Rep for the sake of a higher level of new-play production on the Rep’s stage. From our vantage point that goal is being achieved at the highest level.

That said there was consensus among the committee that the other stated goal of the Binger Center -- “student enrichment” -- at present seems more elusive. There seems to be a dominant notion that if exciting things are happening at the Binger Center, the students will benefit by association.

And it’s true, to the extent that students were benefiting from new-play production at the Rep before the Binger Center came along, presumably they will continue to do so. Arguably they will have an enriched experience through exposure to better productions of new work that has had the benefit of artist-centered development.

But all of us wondered if this was enough? It’s crucial to note that student playwrights feel most divorced from both the Binger Center and the Rep, and there was an uncomfortable irony there for the committee members as the Binger Center is so focused on creating positive experiences for playwrights as a core part of the mission. We worried that some (not all) of the faculty see the activities of the Binger Center as a potential intrusion into their current curricula, rather than an opportunity to further inform and enrich it.

One of the stated goals of the Binger Center is to have an impact on the production of new work across the nation and this raised two questions for us:

1. How might the Binger Center model improve integration between professional theater and training programs?
2. And how can the enhancement funds of the Binger Center be more effectively used to leverage national impact?

We all saw, as Dean Bundy articulated, the enhancement fund as the most innovative piece of the Robina Foundation funding, and were excited to think about how it could be used in a more innovative fashion.

We particularly admire the Binger Center’s desire to make playwriting a tenable profession and wondered how this model might spread: could the Binger Center have a larger impact on the field in this respect and what would that take?

Two things we noted in this regard: The Playwriting Chair at the Yale School of Drama is the only chair without any formal affiliation or title at the Rep; and other than commissioned artists, there are no playwrights actually advising or participating in Binger Center operations or decision making. Is this prudent in what is essentially a heavily funded playwriting initiative?

Recommendations:

The following recommendations are offered based on our overview and assessment.

- ① For all of us we felt the impact of an investment this size should be felt more clearly in the lives of the students of the YSD, especially on the playwriting programming. This investment calls out for an exploration of ways to improve the intersection between the professional theater and the pedagogical infrastructure that supports it.
- ② Given that supporting playwriting and playwrights is such a focus of the Binger Center we suggest creating an advisory position to the Binger Center to be held by a professional playwright. This voice seems to be missing in the current staffing configuration and could help foster a deeper relationship between the YSD playwrights and the Binger Center.
- ③ The investment of the Robina support was primarily to deepen and preserve activities that were already happening at Yale Rep. The support is to ensure excellence. To the degree that Robina and the Rep seek to make this funding innovative—to support new practices and behaviors—we recommend reconsidering how the enhancement support is made public, and whether it might be used in ways to encourage productions of new plays from Yale Rep commissions that could not happen without such support.
- * ④ Because the size of this investment in the American theater is so substantial, we encourage you to find ways to report your activities and your learning around these activities to the field more regularly. Are you creating a model for other regional theaters? Are you ensuring a more vibrant future for the field? This is such an important project and one that can benefit others through sharing outcomes.

It was an honor for all of us to participate on this committee. We admire your commitment to fostering new voices and new projects with the kind of financial support that can sustain careers.

Yale SCHOOL OF DRAMA

July 30, 2013

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Dear Penny,

Thank you for the opportunity to write to clarify my response to the Review Committee's Report and to address three key areas of our work: *1) a plan to involve playwriting students in the Binger Center; 2) a plan for the Production Enhancement Fund that builds on the experience to date; and 3) ideas about how to address the apparent lack of synergy between Yale Rep and Yale School of Drama.*

In addition, I will explain my reticence about bringing a Review Committee to the Center more often than every five years.

First, though, I want to thank you and the board, and particularly Peter and Susan, for your articulate candor, and for your deep personal concern for the quality of our programming. Your investment is enormous, both financially and spiritually; your email and our subsequent phone conversation have led me to do some of the hardest thinking and soul searching that I have done in some time. For that, your reward is this rather long letter: your clearly expressed care deserves my most serious attention, and I am very grateful for the opportunity to share my thinking with you.

Second, I hope to dispel an impression I inadvertently created in my last communication, that my response to the Committee's report was dismissive and unhelpful. On the contrary, I believed then and I believe now that we, the staff of the Rep and the Binger Center, understand—both intuitively and by long experience—how to contextualize the

report and what to do to address its recommendations. The incompleteness of my response in May stemmed, in part, from my artistic training: when, as an actor, you understand the note the director has given you, it makes you want to go back to work and make the adjustment, rather than talk about it.

But in my current role, I should have informed you in much more detail of my confidence, which is born not of dismissiveness, but out of the fullness of my understanding of and compassion for my students and faculty. I could not, at the time of my response to the Committee, be as fully forthcoming as I might have liked, as I was in the middle of negotiating Jennifer Kiger's new role on the faculty, which is a key adjustment we have now completed. But I also realize that I owe it to you and the board to provide you with sufficient information to weigh the strategy and execution of synergy between the School and the Rep with more data points than the Review Committee could assess in one meeting with sixteen students, and another with five faculty, and I apologize for not having done so sooner.

In part, our exchange since the Review leads me to conclude that a weakness in the process, for which I take full responsibility, was that only Yale Rep/Binger Center staff worked on generating the materials shared with the Review Committee. Students and faculty should also have been involved, and I am sure they will be for the next review in five years. Had we engaged students and faculty in that process, and completed an inclusive self-assessment that had drawn them into dialogue about the Center, they would have brought more considered and nuanced observations to their meetings with the Review Committee. And while it is true that some faculty and students perceive they do not have in-depth knowledge of how the Binger Center works; in reality, they do experience the impact and the success of the Binger Center throughout their time at Yale School of Drama. The Binger Center's job is to undergird new play commissioning, development, and production and promote best practices in the School and field. This, I believe, and the report indicates, it is doing very well.

The strategy that aligns the Binger Center's work with the best outcomes for the School and Yale Rep, goes like this. The vast majority of Binger Center expenditures go toward the commissioning,

development, and production of new plays and musicals: these productions profoundly impact every program in the School of Drama, and you would be hard pressed to find a person on our campus in any department who does not believe that this work is integral to teaching theatre practice in the 21st century. And while it is true that student playwrights are not currently produced by Yale Rep, it is true (if poorly understood) that the Binger Center makes it possible for student playwrights to write alongside commissioned writers in Paula Vogel's Boot Camp, and to meet with the writers and directors of new plays working at Yale Rep. Similarly, relatively few faculty members are attuned to the precise workings of the Binger Center, but they know that their students benefit from acting in or stage managing workshops at the Yale Institute for Music Theatre, from working as production assistants on Center readings and workshops in New York, and from Yale Rep staff's quiet professional management of attendance by agents and literary managers at the Carlotta Festival of New Plays, written by playwriting students; and these are only a few of the points at which the Center is touching their lives, as you will see.

Perforce, when you gather very small samples of students and faculty, as we did for the Review Committee, and the meeting is on a subject for which attendees haven't prepared, you can get some good information, particularly with respect to what people perceive. Still, in their conversations with me, Jennifer Kiger, and Amy Boratko, the Committee made it clear that they did not know how heavily to weight the information they were hearing from faculty and students. We're glad they included their observations, because we understood the dynamic in which the data surfaced. Having spent hundreds of hours in such face-to-face meetings with students and faculty over more than a decade, I consider such information very carefully. I know better than to think that because someone's got their facts wrong, there is no issue for me to address.

Bearing that in mind, with respect to 1) *a plan to involve playwriting students in the Binger Center*: I have to begin by noting that playwrights are already involved in the Binger Center, and they regularly remind me of the elements of their connection that they appreciate. We must do a better job of involving them.

Part of this will be informing them more clearly as to what the Binger Center does, and making it clear the advantages that are conferred upon them by the Binger Center and Yale Rep, including, for a meaningful percentage of recent graduates, commissions from the Rep. Jennifer Kiger will begin teaching a curriculum in professional practice next year (this was still being negotiated when I last wrote). We will reiterate to playwrights that all rehearsals of Binger-funded plays at the Rep are open to all students who wish to observe, and I will personally encourage each playwright to shadow one rehearsal and production process each year—in the past, several eager playwrights have been assistants to directors or playwrights in production and found the experience valuable. I will continue to encourage such activity, though I will not force it, given the playwriting students' need for writing time (more on this later). I will make explicit connections among the School's innovative curriculum in critical discourse, taught by MacArthur Fellow Liz Lerman; our revamped curriculum in rehearsal process for first year actors, directors, dramaturgs, and playwrights; the curriculum in leadership, including learning agility; and the work of Yale Rep staff with directors and playwrights, all of which are areas we strive to align more effectively each year.

As to 2) *a plan for the Production Enhancement Fund that builds on the experience to date*: I believe we are on track in its evolution, and where we expected to be. We noted in our 2011 application that we would be spending the Production Enhancement Fund more rapidly as more commissions came in. The rate of draft submissions has risen this year, and we have a significant number of completed drafts of plays that we will be unable to produce, so we are confident that we will continue to identify strategic uses of these resources.

What might those uses be? We cannot know yet. We've seen evidence that the Production Enhancement Fund is useful to add powerful elements or scale to production of particular plays that can allow them to succeed more fully. We've seen evidence that the Fund can also give writers a chance to revisit or complete the work, in the case of *POP!* In the case of *Marie Antoinette*, we have seen on two occasions, that significant resources have induced other theatres to present plays they would not otherwise produce, and in one case, led a partner theatre into a matching fundraising campaign which will further leverage the Binger

resources. All of these are valid uses of the Fund to which we shall remain open. All of them serve the Center, its writers, and their work.

While the Review Committee suggests implicitly that the Fund is so inherently innovative that we should think hard about a specific program for it, I would argue that by not determining a rigid program early in its life, we are allowing it to function as venture capital—not to be invested for profit, but to be invested for the maximum benefit of Binger Center writers and their work. This is a fund about generating and taking opportunities, not about establishing a formal program. Unlike other new play programs, including those from which some of our colleagues on the Review Committee come, the hallmark of the Binger Center is to be flexible in response to artists—we believe in the voices of the writers, and in our partnership with them.

Virtually every theatre in the United States has all of its monies committed (and nowhere near all of them raised or earned) before every season begins. Having a flexible capital fund puts Yale Rep in a class by itself; and having that fund available to serve production needs of writers at theatres other than our own is a huge advantage to those with whom we work. If we were to put all our eggs in a particular program basket so early in our work, I believe we would run the risk of being just like every other new play program in the country: overcommitted, without options, and flogging a particular mode of creating art, at a time when our field is crying out for institutions that are nimble. In other words, the Fund's flexibility is actually its strategic competitive advantage.

The Fund still faces challenges: partner theatres are tempted to think of Yale's investment as a grant that drops straight to their bottom line, and we have to hold the line on negotiating real benefits for the writer. We also have to be careful of reputational issues: ensuring meaningful credit for the Binger Center and Yale Rep reinforces the Center's reputation in service of the writers. These issues will never go away and must be managed carefully, but the fact that we are in such negotiations on behalf of our writers and our reputation with several theatres every year, is part of what makes Yale Rep the place where virtually every writer who wants a commission, wants to work.

With respect to 3) *ideas about how to address the apparent lack of synergy between Yale Rep and Yale School of Drama*, I think it is incumbent on me to give you a fuller picture of my perspective on this, particularly because perceptions of synergy vary significantly throughout our community, and have since Yale Rep's founding in 1966.

Nine School departments (Acting, Design, Directing, Dramaturgy, Playwriting, Stage Management, Sound Design, Technical Design and Production, and Theater Management) have different relationships to the Rep.

All student actors understudy (including for new plays), while five to ten are cast on the mainstage each year; others participate in readings and workshops, particularly YIMT; they participate in those rehearsal processes with the company from the first day of rehearsal until the last day of performance;

Virtually all designers work at Yale Rep, usually as assistants in their first and/or second year, and typically in their third year as the designer of set, costume, lights, sound, or projections for a new or canonical work;

Directors assist on at least one production at Yale Rep, sometimes more, and when productions move to other theatres, often go with them;

Dramaturgs work as readers in the Literary Office, and production dramaturgs at Yale Rep, fully engaged in rehearsal and production for all shows, and contributing invaluable material to the printed program;

Playwrights share workshops in Boot Camp with Yale Rep writers, regularly meet with produced writers, occasionally assist directors or playwrights, and upon graduation are eligible for commissioning by Yale Rep;

Stage Managers progress from production assistants to assistant stage managers to stage managers both at Yale Institute for Music Theatre and (in their third year) for Yale Rep productions, including new plays and musicals;

Sound Designers work regularly at Yale Rep as engineers and assistant designers, and typically design one show, including new work, in their third year;

Technical Designers and Production Managers serve as Master Electricians, Assistant Prop Masters, Associate Production Supervisors, Assistant Technical Directors, and Technical Directors, among many other roles, on all Yale Rep productions;

Theater Managers are connected to all areas of Yale Rep's management, including as House Managers, Company Managers, Associate Managing Directors, in grant writing and marketing of plays new and old.

Virtually all students serve as ushers and members of the stage run crew for performances. For many, this is their first experience of professional production, and an invaluable cross training tool. All students have free tickets to Yale Rep and many attend productions more than once. Six times each year (with each Yale Rep show), the entire School gathers near the beginning of rehearsal to meet and hear from the creative team about the thrust of the production, and six times a year, at or near the end of a show's run, students convene and lead large scale discussions of each play and production, over lunch.

In addition, Yale Rep draws high-powered artists to the School community as faculty: I think it likely they would not be committed to the School if it did not also run Yale Rep and offer their students opportunities that far outstrip other programs. Michael Yeargan (Tony Winner), Liz Diamond (OBIE Winner), Evan Yionoulis (OBIE Winner), Lynn Nottage (Pulitzer and MacArthur Winner), Paula Vogel (Pulitzer Winner), Sarah Ruhl (MacArthur Winner), Jennifer Tipton (MacArthur and Tony Winner)—these are just a few of the faculty who have worked alongside students at Yale Rep and who teach them across the street at the School of Drama. The fundamental premise of Yale School of Drama is that there's no substitute for collaborating in a multigenerational community of artists across a range of production opportunities all of which are professional in quality, whatever their budgets may be. But without Yale Rep, there's no reason for these faculty to make the trip to New Haven—it would be much easier to commute to NYU.

What tends to lead people, particularly our students, to the assertion that there is a lack of synergy, is the understandable perception that these production opportunities are not all equal (which they aren't, especially in terms of budget). I am on a long term, iterative mission, to create a dynamic in which the students can still see the assignments as equitable, within the scope of opportunities available across the School and Rep. Every year, we graduate 1/3 of our students, losing almost a quarter of our institutional memory. So the project of informing them never ends, happily. And students have significant areas of training related to their disciplines that occupy their attention, and are even more important than their cognizance of the School and Rep's synergistic strategies.

Key faculty and I, on the other hand, are keenly aware that different students have different levels of responsibility at Yale Rep. In general, students in managerial and production disciplines that have more indirect impact on the artistic experience are given more responsibility, and therefore such students are more drawn to the School of Drama by production opportunities at Yale Rep, than by the smaller scale opportunities in the School itself. Early career actors, directors, and playwrights, on the other hand, are much less likely to be given primary artistic responsibility at Yale Rep—the fit has to be wonderful, and that is not an everyday occurrence. For some students, this creates a perception of inequity.

For students in artistic disciplines, faculty believe strongly that the opportunities with less responsibility at Yale Rep are still meaningful, and that these gifted artists benefit enormously from the presence at the School of a large cohort of such gifted management and production students, drawn more directly by the Rep. The latter cohort are the primary engine of production opportunities for actors, directors, and playwrights at the School of Drama, opportunities that are unrivalled by any training program in the nation. Such opportunities include faculty-mentored productions at the School. They also include work at Yale Cabaret, where students (as adult learners) set their own artistic agenda: these are, according to our data gathered every five years, the most satisfying experiences that students have at YSD.

This is not because the Rep and School have no synergy. It is because all students have been drawn by the opportunities of the School and the Rep into the only graduate training program in the nation that provides them with gifted peers in every discipline. Moreover, we know adults value their learning experiences more highly when they determine the course of their own study, so while a vast majority of YSD students rate highly their experience at the Rep (where I set the agenda), the cohort taken as whole will likely always have deeper appreciation for the work they create in the Cabaret in a sense of shared agency with their peers. This is a good thing.

To maintain Yale Rep's professional standing and contribute to the wider field, which does advantage the School, as we have seen, the Rep must maintain a uniformly high standard of work. If the Rep were to regularly produce the work of all student playwrights, for example, it would actually be taking not only a professional but also a pedagogical risk: our playwriting program is focused on introducing students to writing for a variety of media, and to becoming more expressive and comfortable in their own voices. They have an enormous number of writing assignments and class responsibilities: the odds that they can complete a play worthy of production in a professional venue as large as Yale Rep are very small. It would be unfair to produce writers whose work is not ready to be reviewed professionally. Moreover, to privilege the one playwright who might accomplish this every three or four years (in my observation) is to create two classes of playwrights within the School: the produced and unproduced. The School has tried this in the past—it was divisive at the time, and turned out to have offered no particular career advantages to those writers whose work was selected for Yale Rep production before it was truly ready.

In addition, no two departments are alike. Playwrights are the only students at the School who attend tuition free and receive a year-round stipend. We recognize that what they need most is time, and what they need second most is productions; we give them three years and multiple productions at the School. Actors need to act: they can appear in as many as 20 productions in three years. We could go further down the list, but the bottom line for me is this: the goal is not for each department to have exactly the same synergy with Yale Rep. The goal is to use the multiple synergies of Yale Rep and the School of Drama to

make each department the best in its field. The risk to the whole is that one link in the chain might be weaker. We admit students to nine programs that compete with as many as 20 other schools, and my most important job is to make sure that the best students come to us in every program. Therefore, comparisons that students make to between or among programs within the School of Drama are meaningful, but they are less meaningful than comparisons they might make to training programs in their discipline at other schools.

Does that mean that we manage the School to the lowest expectation? No. Once students matriculate (and more than 90% of those we admit matriculate, a measure suggesting that each of our nine programs is first in the nation), we have a responsibility to give them the best program we possibly can. To that end, we evaluate every course; we read every evaluation; we revise the curriculum (twice, so far in my eleven year tenure); and the Deans meet face to face with students multiple times throughout each year, as well as with students by discipline at the end of each year.

Every year, in these conversations, we pick up on student interests and suggestions and make adjustments to meet every reasonable request. We spend so much time with our students listening to what they think, because we are committed to constant improvement, and because that time also offers an opportunity for us to put our own ideas out there, to address feelings of inequity, and to build greater awareness and consensus around shared objectives and mutually reinforcing priorities.

That's an overview of the strategy based on synergy.

But as a business school professor would tell you, "Culture eats strategy for breakfast."

The culture of the School of Drama is artistic: value driven, dreamy, impassioned, magnificent, sometimes self-interested and quixotic, mostly loving and appreciative, sometimes easily bruised. Even in a value driven system, good values can be in tension with each other: artistry can be contentious, and the needs of the community do not always harmonize with the desires of the individual. Moreover, in a community of more than 350 people, it's virtually impossible to bring

And now, to the question of the Review Committee coming back sooner than five years:

Our purpose in proposing the Review Committee convene every five years, was to create a proactive timetable of assessment of mission, strategy, and programming. This is a timetable roughly twice as frequent as is typical of academic institutions. Any external review is, to my knowledge, unique among professional theaters in the English-speaking world. We also believed the Committee would observe from a disinterested perspective whether Yale's management of the Center, and its resources, was mission driven and relevant to the field.

In candor, my consideration of calling the Review Committee back sooner than five years has been colored first by the very positive feedback of the Committee with respect to the overwhelming majority of the Center's work, and by the sense, conveyed orally by the Committee to me and Jennifer Kiger and Amy Boratko, that the Committee didn't really know what to make of its meetings with students and faculty. My consideration has also been colored by my desire to get on with the work of serving the School, the Rep, the Binger Center, and the artists better, and my eagerness to preserve the sense of mission and momentum that our staff has generated. We view the tasks ahead of us with humility, and based on the report, we view our capacity to make significant contributions to the field with confidence.

More to the point, though, in my heart of hearts, I think it would be a significant waste of time and money to bring the Committee back before five years have passed. The reporting process already in place happily brings us each year to address openly all the issues that have been raised to date in the five years of our partnership, and we will continue to address such issues openly and fully, including those implicit and explicit in this report, over the course of the next five years.

In sum, we have assembled a talented and driven group of managers at the Rep. All of us make both annual and on-the-fly adjustments in programming. We invited very qualified people to visit us as a committee this year. There were no major issues flagged in their report. As one would hope in such a report, nothing the Review Committee said surprised us, although we realized that we had missed the opportunity I

described, by not convening faculty and students before the Committee arrived in New Haven.

Looking forward, given that we are in regular contact with members of the Committee and every major figure in new play production in the United States, it is most unlikely that there will be a strategic issue that would emerge in five years' time that we would not observe and respond to of our own accord.

The relationship of the School to the Rep is so unique and complex, that no current committee member is qualified to advise us on its management (they were recruited for different expertise), and we have already recruited experts in such cultural conversations to address the issues at the heart of the Committee's observations about students and faculty, to offer ongoing workshops in critical discourse and learning agility that will strengthen our culture. Five years seems like a reasonable window of opportunity in which we might be able to shift the School's culture effectively, and it may also make sense for us to include a conservatory-based educator as a Review Committee member in five years.

For now, though, we have big programmatic tasks in front of us: significant further fundraising, for sure, and all the commissioning, development, and producing that lie ahead. I firmly believe that five years of conscious application to making things better on the terms that we are best positioned to identify, is a better use of our time, than bringing independent observers up to speed on the synergy of the School and Rep, and the nuances of our culture.

Before finishing, I note that a strain of our conversation with Peter and Susan involved the question of how the Robina Foundation evaluates its work. As a programmer myself, I have real empathy for your need to answer this question, and I believe it is an important one.

Your foundation has made an enormous bet here of more than \$20 million dollars, and assessing how good a bet it has been could help determine the future of your significant philanthropy. I don't think the Review Committee is in a position to help you answer this question—these are new play experts. I believe the key markers of whether your

investment is transformational would be more readily apparent to people versed in strategy and organizational behavior.

Now, I'm not disinterested, but I think you've made a great bet, for these reasons.

First, the remarkable Jim Binger picked Yale, which has tremendous financial and intellectual leverage to add to any investment you make. Second, in choosing, at Yale, the School and Yale Rep, you picked an operation that has a permanent need and ability to use your money to recruit the finest writing talent in the nation—we will never stop doing new theatre, and our students will always be there with us. Third, the permanence of Yale University and its thirst for excellence makes your money a community magnet for art and a thought-leading gift—your investment is in the vanguard of many such investments at universities in the decades to come, as communities de-fund medium sized arts organizations, and large arts organizations become increasingly commercialized. Fourth, your timing was incredible: you took a theater on a slow path up—perhaps, in the current economy, in danger of falling down—and rapidly leveraged its national prominence, with the prospect of further upside over time.

These, to my eye, are the enduring virtues of the philanthropy that you have engineered thus far.

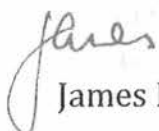
And as I assess the biggest threat to your investment, it is that Yale will not be able to be to follow suit quickly enough by capitalizing new facilities for the School, and particularly a new theater for Yale Rep. Our need is critical, and such a facility would have enormous capacity to increase our programming's national impact from its first production onward. Still, our ability to generate capital from among YSD alumni is limited.

But Yale has a new president in Peter Salovey, who is a musician himself and deeply committed to the arts. He has brought new energy to our efforts to transform the YSD/YRT campus. Down the road, additional investment from Robina, perhaps negotiated with President Salovey directly, could do a great deal to leverage the University toward completing this project, bringing new donors on board, and enhancing

your strategic investment. It is my hope that during your next visit to New Haven, the board might be interested in exploring this possibility for the future. I am sure that Peter would be most grateful for the opportunity to discuss such a prospect with the Foundation.

I know I have, at this length, risked tasking your patience, but the important subjects that you raised deserve an in-depth response. In closing, let me say again how grateful I am that you and the board asked me to reply in more detail. I appreciate the opportunity to address your concerns, and I look forward to our ongoing conversations.

Sincerely yours,


James Bundy

Mid-Year Report

February 18, 2014

Dear Penny,

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

Provide a summary of the activities and achievements of the Binger Center for New Theatre from FY2009-FY2013.

In the first five years of its programming, the Binger Center for New Theatre has made significant impact on new play development and production in the American theatre. Thanks to the resources of the Binger Center for New Theatre, Yale Rep has built a robust commissioning program that attracts playwrights of outstanding potential and keeps them writing for the stage, and it has created a pipeline of new works for production at theatres across the country. The Binger Center has supported a significant number of Yale Rep-commissioned plays and musicals, and it has provided commissioned artists with readings and workshops, as well as residencies at Yale School of Drama. Yale Rep has produced work of the highest possible standards and encouraged the advancement of plays commissioned, developed, and produced through the Binger Center for New Theatre.

Commissions

- From FY2009-FY2013, Yale Rep awarded **34 commissions** and supported the work of **more than 40 commissioned artists** with readings, workshops, residencies, and productions.
- Since FY2009, drafts of **28 commissioned plays** have been submitted to Yale Rep.
- To date, the Binger Center has provided the resources to develop **25 of those 28 commissioned plays**.
- Since FY2009, **10 Yale Rep-commissioned plays** have been produced (world premieres at Yale Rep: *These Paper Bullets!* by Rolin Jones, *In a Year with 13 Moons* by Bill Camp and Robert Woodruff, *Dear Elizabeth* by Sarah Ruhl, *Marie Antoinette* by David Adjmi, *The Realistic Joneses* by Will Eno, *Belleville* by Amy Herzog, *We Have Always Lived in the Castle* by Adam Bock and Todd Almond, *Notes from Underground* by Bill Camp and Robert Woodruff. *On the Levee* by Marcus Gardley, Todd Almond, and Lear DeBessonet had its world premiere at LCT3 in New York City. Kathryn Walat's *Creation* premiered at the Theatre @ Boston Court in Padadena).
- The Connecticut Critics Circle has awarded productions of the above mentioned Yale Rep-commissioned plays with dozens of nominations. *Marie Antoinette* received an impressive 14 nominations and won three awards: Outstanding Production of a Play, Outstanding Lead Actress (Marin Ireland), and Outstanding Supporting Actor (David Greenspan).
- *Belleville* and *The Realistic Joneses*, both Yale Rep-commissioned plays, were cited among the Top Ten of 2011 and 2012, respectively, by the *New York Times*.
- *These Paper Bullets!* was cited by *Time* Magazine as one of the Top Ten plays to see outside of New York in 2014.
- *The Realistic Joneses* will premiere on Broadway in the spring of 2014.
- Sheila Callaghan's *Elevada* is a finalist for the 2014 Susan Smith Blackburn Prize.

- Commissioned Artists: David Adjmi, Todd Almond, Christina Anderson, Hilary Bell, Adam Bock, Sheila Callaghan, Bill Camp, Lucinda Coxon, Lear deBessonet, Will Eno, Dorothy Fortenberry, Marcus Gardley, Matt Gould, Kirsten Greenidge, Danai Gurira, Noah Haidle, Ann Marie Healy, Amy Herzog, Naomi Iizuka, Branden Jacobs-Jenkins, Rolin Jones, Aditi Brennan Kapil, Carson Kreitzer, Dan LeFranc, Elizabeth Meriwether, Meg Miroshnik, Scott Murphy, Julie Marie Myatt, David Lefort Nugent, Lina Patel, Jay Reiss, Amelia Roper, The Rude Mechs, Sarah Ruhl, Octavio Solis, Rebecca Taichman, Lucy Thurber, Alice Tuan, Paula Vogel, Kathryn Walat, Anne Washburn, Marisa Wegrzyn, Robert Woodruff

Workshops and Residencies

- From FY2009-FY2013, the Binger Center produced **33 readings/workshops** in New York and New Haven and **23 residencies** at Yale School of Drama/Yale Rep.
- All of the Yale Rep-commissioned plays that have gone on to production at Yale or other theatres across the country benefitted from the Binger Center's artist-driven new play development resources. Each process is tailor-made to the artist's needs and can include small, private readings and large-scale, multi-day workshops in New York or New Haven.
- Since FY2010, the Binger Center has invited three to six commissioned artists each year to attend the Yale School of Drama Boot Camp retreat, held in conjunction with YSD's intensive writing workshop, led by Paula Vogel. The retreat is a favorite of our commissioned artists and is always in high demand. It provides them with the opportunity to relate directly to our nine MFA playwrighting students as both mentors and fellow artists.
- In FY2013, the Yale Institute for Music Theatre became a program of the Binger Center. The Institute (Mark Brokaw, Artistic Director), bridges the gap between training and the professional world for early-career composers, playwrights, and lyricists by providing them with an intensive two-week summer lab at Yale School of Drama. Notable participants of the Institute include Maggie-Kate Coleman and Anna K. Jacobs whose musical *POP!* had its world premiere at Yale Rep following its development at the Institute. The Binger Center underwrote the world premiere of *POP!* at Yale Rep, as well as subsequent productions at City Theatre in Pittsburgh and Virginia's Firehouse Theatre Project.

New Play Production/Production Enhancement Fund

- From FY2009-FY2013, the Binger Center supported the productions of **13 new plays** at Yale Repertory Theatre (*Notes from Underground**, *POP!**, *Compulsion**, *We Have Always Lived in the Castle*, *Bossa Nova*, *Belleville**, *Good Goods**, *The Realistic Joneses**, *Marie Antoinette**, *Dear Elizabeth**, *In a Year with 13 Moons*).
- **Eight** of those 13 plays (indicated above with *) have gone on to subsequent or multiple productions at theatres across the country.
- Since FY2009, the Binger Center has supported **12 productions** at theatres other than Yale Rep, bringing the total of Binger Center-supported productions to **25**.
- Yale Rep-commissions and other Binger Center-supported projects have been produced at **14 theatres** across the country: Theatre @ Boston Court (Pasadena, CA), Berkeley Repertory Theatre, La Jolla Playhouse, Theatre for a New Audience (NYC), LCT3 (NYC), City Theatre (Pittsburgh), Firehouse Theatre Project (Richmond, VA), New York Theatre Workshop, The

Public Theater, Steppenwolf Theatre Company, American Repertory Theater, Soho Rep (NYC), Crowded Fire Theatre (San Francisco), Studio Theatre (Washington, D.C.).

Provide a brief update of the activities of the current year (FY2014), including how this work advances the goals of the Binger Center for New Theatre.

Commissions

- A new draft of Julie Marie Myatt's *Opium Den* was submitted following its July 2013 workshop. We decided not to produce *Opium Den* and released it back to Julie so she could pursue other productions.
- Following the October 2013 workshop of Paula Vogel and Rebecca Taichman's *Rehearsing Vengeance*, Yale Rep and co-commissioner Oregon Shakespeare Festival (OSF) reached out to La Jolla Playhouse as a potential producing partner for future production. Yale Rep and La Jolla have committed to produce the play in 2015. OSF remains a partner in the development of the play, but has not yet made a commitment to produce it. All three theatres will partner on a workshop of play (with the Binger Center taking the lead in producing the workshop) in the summer or early fall of 2014.
- Three commissioned plays are scheduled for world premiere production in the Yale Rep 2014-15 season: (*War* by Branden Jacobs-Jenkins, *Familiar* by Danai Gurira, *Elevada* by Sheila Callaghan).

Workshops, Readings, and Residencies

The Binger Center continues to provide ample development opportunities for our commissioned artists and their collaborators. To date, we have produced eight workshops and six residencies (matching the total activity in FY2013), and we are in the planning stages for robust development activity throughout the spring and summer of 2014.

- Workshop of Sheila Callaghan's *Elevada* (New York, July 2013)
- Workshop of Julie Marie Myatt's *Opium Den* (July, 2013)
- Writers Residency: Noah Haidle (New Haven, July/August 2013)
- Yale School of Drama Bootcamp Residency, which included six commissioned writers (Aditi Brennan Kapil, Julie Marie Myatt, Dan LeFranc, Lucy Thurber, Carson Kreitzer, Alice Tuan), nine MFA playwriting students, three first-year MFA directing students, and YSD playwriting faculty: Paula Vogel, Sarah Ruhl, Jeanie O'Hare (New Haven, August 2013)
- Writers Residency: Rolin Jones (September 2013)
- Reading of Christina Anderson's *Knuckle Down* (New York, October 2013)
- Writers Residency: Matt Gould and Carson Kreitzer (New Haven, October 2013)
- Workshop of *Lempicka* by Carson Kreitzer and Matt Gould (New Haven, October 2013)
- Workshop of *Rehearsing Vengeance* by Paula Vogel (New York, October 2013)
- Writers Residency: Rolin Jones (New Haven, November 2013)
- Writers Residency: Christina Anderson (New Haven, November 2013)
- Workshop of Dan LeFranc's *In the Labyrinth* (New York, November 2013)
- Workshop of Alice Tuan's *Private Rivals* (New York, December 2013)
- Workshop of Danai Gurira's *Familiar* (New York, February 2014)

New Play Production

The Binger Center is supporting three productions in the Yale Rep 2013-14 season: *The Fairytale Lives of Russian Girls*, by Meg Miroshnik; *These Paper Bullets!*, adapted by Rolin Jones, with songs by Billie Joe Armstrong; *The House That Will Not Stand* by Marcus Gardley.

- Meg Miroshnik's *The Fairytale Lives of Russian Girls* runs in New Haven February 6-22, 2014. Meg, a graduate of Yale School of Drama's playwriting program, has also been commissioned to write a new play for Yale Rep. The production of *Fairytale Lives*, directed by OBIE-award winner Rachel Chavkin, has received mostly positive reviews. The *Hartford Courant* called the play "wildly imaginative, wickedly funny" and raved that it "receives a fierce and fabulous production here with a terrific cast that doubles as its own punk band accompaniment, all under the nervy direction of Rachel Chavkin." The *New Haven Independent* praised Meg's sure-handed storytelling and commitment to bringing strong female roles to the stage: "Adding to the joy is the excitement of seeing a challenging play written for such a wide variety of female actors. Meg Miroshnik isn't just raising cultural awareness—by writing such ambitious female-ensemble shows, she's providing a genuine public service to the American theater."
- *These Paper Bullets!* began rehearsals on February 3, 2014. It runs March 20 to April 5, and it is one of the most anticipated new plays of the 2013-14 season. The *New York Times* will run a feature article about the Binger Center's development of *These Paper Bullets!* prior to its opening.
- Yale Rep is producing Marcus Gardley's *The House That Will Not Stand* in association with Berkeley Repertory Theatre. The world premiere runs at Berkeley Rep through March 23, and then it will run at Yale Rep April 18 to May 10.

Production Enhancement Fund

We're pleased to report that the Production Enhancement Fund will support the premiere of Will Eno's *The Realistic Joneses* at Broadway's Lyceum Theatre on March 13, 2014. The production stars Toni Colette, Michael C. Hall, Marisa Tomei, and Tracy Letts. Sam Gold directs. This is the first Yale Rep-commissioned play developed through the Binger Center to move to Broadway.

The Fund will support Woolly Mammoth's production of David Adjmi's *Marie Antoinette* in the 2014-15 season. Yale Rep began conversations with Woolly Mammoth more than two years ago as it was seeking a producing partner to premiere the play. When it became clear that a co-production was not practical between our two organizations for several reasons (including conflicting production calendars and casting challenges), we maintained contact with the theatre and encouraged them to consider their own production. Given the size and scale of the show, a production was still challenging for the Washington, D.C. theatre, but their commitment to David Adjmi as an artist and to the play itself was strong. We are pleased the Fund could be leveraged to finally support the production at Woolly Mammoth.

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

In the fall of 2013, we took several steps to address the observations and recommendations set forth in the report from the Binger Center Review Committee. Specifically, we responded to the suggestion of finding ways to involve the playwriting students and the larger Yale School of Drama community in the activities of the Binger Center. Jennifer Kiger, Director of the Binger Center's New Play Programs, began teaching a course on Industry Practice to the playwriting students. The course covered practical topics, such as how to submit plays to theaters, prizes, and funders; as well as a survey of the landscape of new play development in the American theatre. The course was attended by first-year, second-year, and third-year playwrights. Jennifer will teach a course in the spring term specifically geared for the third-year playwrights; it will look more closely at specific professional development opportunities to prepare the students for their transition from graduate school to the American theatre. In addition, Sarah Ruhl, a commissioned playwright and Associate Artist at Yale Rep, joined the YSD faculty full-time. Sarah is leading the second-year playwrights in independent study for the entire year, providing them with valuable insight into the process of completing a play and taking it through a production process.

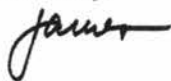
This season, the Binger Center has coordinated closely with the YSD playwriting department to create multiple opportunities for students to interact with Yale Rep-commissioned artists throughout the year. For example, at the request of the playwriting students, playwright Rolin Jones has agreed to teach a screenwriting seminar while he is in residence for rehearsals of *These Paper Bullets!*. In addition, Jennifer Kiger and Literary Manager Amy Boratko led a seminar about the standards and practices of the Binger Center. The seminar was open to the entire YSD community and was attended by students from a cross section of several departments, including acting, playwriting, design, and theatre management.

In October, the Binger Center produced a one-week workshop of the commissioned musical *Lempicka* in residence at Yale School of Drama. Rehearsals were open to YSD, and students, faculty and staff were invited to attend the final reading. Composer Matt Gould and playwright Carson Kreitzer have had several residencies at YSD throughout the development of this musical. There was much interest from the playwriting department to see how the piece had evolved since Carson and Matt's visit to Yale. An unexpected but welcome surprise was that the Binger Center was able to cast a YSD acting student in the workshop alongside professional actors from New York.

We learned much from producing the New Haven *Lempicka* workshop, and we have begun to explore how to shift resources to accommodate more Binger Center activity at Yale during the school year. Traditionally, lack of available rehearsal space and artist housing are two key challenges; however, we have made a significant adjustment to the Yale Rep 2014-15 production calendar (moving from a 6-play to a 5-play season). We believe this will free up traditionally scarce resources and allow us to produce more Binger Center activity in New Haven each year.

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

Sincerely,



James Bundy

ROBINA FOUNDATION

TO: Robina Board of Directors
FROM: Penny Hunt
RE: Meeting with Yale Law School
DATE: March 4, 2014

Annual support for Yale Law School's Robina Foundation Human Rights Fellowship Initiative

In 2007 Gordy and Tom met with Harold Koh, then Dean of Yale Law School, who was in Minneapolis to deliver a lecture at the Humphrey Institute, to discuss Robina Foundation's interest in establishing a human rights priority for the Foundation. During that meeting, Dean Koh opened up a discussion concerning support for YLS's human rights programming and followed up with a letter outlining several funding ideas, including support for human rights fellowships at YLS through the Law School's Schell Center for International Human Rights. Following discussion of the opportunities outlined by Dean Koh, Robina invited YLS to submit a proposal for a program of fellowships in human rights.

At the May 2008 Board Meeting, the Board approved a \$3 million grant payable over three years to support the Robina Foundation Human Rights Fellowship Initiative. The Robina Foundation Human Rights Fellowship Initiative seeks to educate future human rights leaders at all levels of their affiliation with YLS:

- Robina JD Scholarships for students committed to human rights careers;
- Robina Summer Human Rights Fellowships to support first and second year students to spend summers working for human rights organizations;
- Robina Post-Doctoral Fellowships to support graduates' work in human rights immediately after law school;
- Robina International Fellows and Senior Fellows in Residence for international and mid-career professionals to take sabbaticals to research and teach at YLS.

In 2010, the Foundation awarded a grant of an additional \$1 million for 2011, and in 2011 the Board agreed to continue support of \$1 million / year for an additional three years. Robina's last payment is scheduled for June 2014.

Operation of the Initiative

Although plans for the Initiative originally called for a "Project Director" to manage the Fellows, conduct outreach at Yale University and identify ways YLS can enhance the field of human rights, hiring a Project Director was delayed. In the interim Jim Silk, Executive Director of the Schell Center for International Human Rights, oversaw the Fellowship process as well as the Robina program as a whole.

Urged by Robina, in May 2010 YLS announced its intent to appoint a Project Director and to set up a process to assess the Fellows' short-term and longer-term involvement in human rights. YLS quickly determined that Jim Silk was in the best position to oversee the various components of the Robina Initiative and hired Kate Lawder as Coordinator for the Initiative to work with Jim to carry out the administrative and assessment aspects of the Robina Initiative. Kate helps conduct outreach to other parts of the university to encourage wider participation in the Law School's human rights activities. She has set up and is implementing evaluation tools to assess the impact of the Initiative. Each year YLS provides the results of the assessment.

Yale's "Big Idea" for YLS

In fall 2012 we asked each of the Robina Grantees to submit "big ideas" for the next phase of Robina Grantmaking. One of Yale's submissions described funding aimed at "Preserving the Positive Effects of the Robina Human Rights Fellowship Initiative" by means of the following funding:

\$25 million, which includes funding to endow JD Scholarships, Summer Human Rights Fellowships, etc., which are part of the initiative Robina supports with annual funding + funding to endow a *Robina Human Rights Clinical Professorship* (\$4 million) and funding to endow a *Robina Human Rights Career Options Assistance Program - COAP* (\$3 million).

Possible discussion topics

Since Robina's last \$1 million payment under the current grant will be made in June, YLS will want to discuss continuation of annual support and may bring up the endowment opportunity described above or other ideas for endowment or increased support.

In the past we have talked with YLS about efforts to connect with other parts of Yale and the broader human rights arena to create a "community of interest" among individuals interested in human rights.

We have discussed the confusing structure of YLS's human rights programming as diagrammed on the "Components of the Yale Law School Human Rights Programs" several times with YLS, noting, among other things, that the complexity of the structure may impact the interest of other funders. I have asked Tara Fitzpatrick to be prepared to explain the structure and funding for the various programs.

**THE ROBINA FOUNDATION HUMAN RIGHTS FELLOWSHIP INITIATIVE AT
YALE LAW SCHOOL**



MATERIALS FOR SITE VISIT

MARCH 4, 2014

YALE LAW SCHOOL VISIT SCHEDULE

March 4, 2014

- 11:00 am: Transport from Yale School of Drama to Yale Law School
- 11:15 am: Arrive at Sterling Law Building, brief tour of building.
You will be met at the main entrance by Professor James Silk, Clinical Professor of Law, Lowenstein International Human Rights Clinic, and Executive Director, Schell Center for International Human Rights; and Tara Fitzpatrick, Director of Corporate and Foundation Engagement
- 11:30 am: Gather in Faculty Dining Room for meeting and luncheon with Dean Robert C. Post, Sol & Lillian Goldman Professor of Law, Jim Silk and Tara Fitzpatrick (bio-sketches attached)
- 1:00 pm: Coffee and conversation with four Robina Foundation-funded YLS students: Kristine Beckerle '15, Anna Diakun '15, Stephanie Kim '14, and Tienmu Ma '14 (bio-sketches attached)
- 2:15 pm: Transportation available back to the Study.

Robina Foundation Human Rights Fellowship Initiative at Yale Law School

The Robina Foundation Human Rights Fellowship Initiative, established at Yale Law School in 2008, is designed to support 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 a commitment to human rights at home and around the world, and to build on and strengthen existing human rights programs at the Law School. Since its inception, the Robina Initiative has provided critical support that is allowing Yale to prepare a well-trained contingent of leaders who are skilled in both the theoretical and the practical questions of human rights and social justice.

Ranked as the number one law school in the United States, Yale offers an unmatched environment for scholarship and learning, featuring educational intimacy, a world renowned faculty, small classes, expansive opportunities for clinical training, and strong encouragement of public service. The Law School's impact on the world is measured by its accomplished graduates, its outstanding scholarship, and the policy impact of its projects and centers. Yale Law School is distinguished among law schools by producing leaders in all walks of life: U.S. presidents and Supreme Court Justices; a substantial proportion of the deans and faculty at law schools across the country and the world; founders of nongovernmental organizations and other nonprofit entities at home and abroad; industry CEOs and corporate counsels; entrepreneurs; public servants in federal, state, and local offices and the judiciary.

A higher percentage of Yale Law graduates pursue careers in human rights and public service than do alumni of other top-ranked U.S. law schools (*see Table 1*). Moreover, our alumni persist in public service careers well beyond their first jobs after graduation or clerkships. Since 1996, our Career Development Office has surveyed our alumni five years after graduation to obtain employment data. Based on responses from the classes of 1996-2008, 29.2% indicated that they were working in the public sector (which includes both public interest and government) five years after graduation. While we have only two years of comparable data, for the classes of 2002 and 2003, from the recently launched ten-years out survey, the percentage of 29% of alumni employed in the public sector remains steady. We believe that Yale Law School is ideally situated to produce the next generation of human rights leaders and so to fulfill the goals of the Robina Initiative.

The Robina Initiative has allowed us to enhance significantly the opportunities available to Yale Law School students interested in pursuing human rights academically and in practice. By providing need-based JD scholarships, summer human rights fellowships, post-graduate fellowships, and visiting fellowships for human rights practitioners and scholars, the Robina Initiative has allowed Yale to expand the network and cohort of well-trained human rights advocates.

Robina Human Rights Initiative JD Scholars

Yale Law School's financial aid policies and programs are designed to make it possible for students to pursue their legal education at Yale, regardless of their financial circumstances. The Law School spends more than \$8 million a year on grant-based scholarships. More than 75% of the student body receives some form of financial aid, and nearly 60% of students qualify for Law School grants, which are awarded solely on the basis of financial need.

Each year, the Law School selects approximately ten JD students on the basis of financial need and demonstrated interest in human rights to receive Robina Human Rights Scholarships. Since 2008, we have awarded a total of sixty JD Scholarships to fifty-four Yale Law students (six were recipients in more than one year). Eighteen of these students have not yet graduated. While still in law school, the Robina JD Scholars have been enthusiastic participants in human rights activities; they have set the standard for other students interested in pursuing human rights academically or professionally. Of the forty-two JD Scholars who have graduated, we have current employment information about thirty-seven. Eleven (30%) are currently working in public service positions; fourteen (38%) are at law firms; six (16%) hold academic positions; five (14%) are in clerkships and one is at a consulting firm.

Kirby Simon Summer Human Rights Fellowships Supported by the Robina Initiative

* The Robina Initiative fully funds the Kirby Simon Summer Human Rights Fellowships, which enable current Yale students to spend their law school summers working throughout the world in the field of human rights. One hundred and eighty-one students have received Summer Human Rights Fellowships (eighteen for two summers) – including, in recent years, roughly 15% of the Law School's first-year class. The Summer Human Rights Fellowship supported by the Robina Foundation has become a cornerstone of the human rights program at the Yale Law School. (*For a schematic of all human rights activities and funds at YLS, see Table 2.*) It provides students with a singularly enriching and illuminating experience that helps them begin to build paths toward public service promoting human rights and justice. These students have traveled to dozens of different countries, working on a wide array of issues at a range of institutions, including international criminal tribunals, various UN agencies, the constitutional courts of a number of countries, and international and local non-governmental organizations around the world. Nearly all (87% in a recent survey) of the students who have participated in this program report that it increased or sustained their desire to pursue human rights as a career path.

Sixty-eight (38%) of the Summer Fellows are still in Law School. We have current employment information for about 85% of those who have graduated. Some thirty-five percent of former summer fellows are currently working in public interest positions. A similar proportion of graduates are now at law firms, though many of them held public interest posts prior to taking positions at firms. We have at least anecdotal evidence that some of them will return to public service positions after a few years at the

firms. Over 20% are currently in clerkships (including several at the U.S. Supreme Court), so their long-term career directions are as yet undetermined. Smaller numbers are in academe, business, or journalism.

Robina Initiative Post-Graduate Human Rights Fellows

The Robina Foundation Post-Graduate Human Rights Fellowships are designed to fund several recent graduates of the Law School annually to work full time in the field of human rights for up to a year. Robina Human Rights Fellows secure international judicial clerkships or internships with international tribunals and inter-governmental or governmental agencies. They may also receive the fellowship to carry out independent human rights research projects. Since the establishment of the Robina Initiative, a total of nineteen Robina Human Rights Fellows have had the opportunity to start their human rights careers in such settings as the appeals chambers of the International Criminal Tribunal for the Former Yugoslavia, the Office of the Prosecutor at the International Criminal Court, the chambers of justices on the South African Constitutional Court, and U.N. and U.S. government agencies concerned with human rights. Increasingly, financial pressures and the experience requirements for the limited number of available positions in human rights make it difficult for recent law-school graduates to enter the field. The Robina Human Rights Fellowships offer them that chance and allow them to gain the knowledge and experience they need to build their careers in human rights.

Four of the nineteen Post-Graduate Fellows are currently in the midst of their fellowship years. Of the fifteen who have completed their terms, four are working in public service, five are at law firms, four are doing clerkships, one is in an academic post, and one is an independent researcher.

Robina Initiative Visiting Human Rights Fellows

The Robina Initiative enables the Law School to invite human rights scholars and practitioners to spend time in residence at the Law School. They carry out their own research, teach courses, give talks and interact with students and faculty. Their courses have significantly enriched the international law and human rights curriculum of the Law School. Since 2008, there have been eighteen Visiting Human Rights Fellows, some of them for multiple years. By hosting discussions, delivering lectures, participating in conferences, advising students and publishing scholarship, the Visiting Fellows make a valuable impact both inside and outside the Law School, contributing to human rights activities across Yale University and in the wider community of scholars and advocates.

The 2013-2014 Robina Visiting Human Rights Fellows are Lucas Guttentag, Robina Foundation Distinguished Senior Fellow in Residence, Ford Foundation Distinguished Senior Research Scholar and Lecturer in Law, and Tom Dannenbaum, Research Scholar in Law and Robina Foundation Human Rights Fellow. Lucas began teaching at the Law School in 2009 and is in residence each fall semester. His courses include immigration law, constitutional litigation and advanced topics on migration policy. He is the founder and former national director of the ACLU Immigrants' Rights

Project, which he led for more than twenty-five years, litigating complex civil rights, class action and constitutional cases in courts throughout the United States, including successful arguments before the Supreme Court. Under his leadership, the Immigrants' Rights Project became the largest litigation program in the country enforcing the civil and constitutional rights of non-citizens. Tom (who was twice a Robina Summer Fellow during his years as a YLS student) is currently a Ph.D. candidate in Politics at Princeton University, where he is writing a dissertation on the moral integrity of the soldier and the normative meaning of fighting in a criminal war. His work on state and international organization responsibility for the wrongful acts of peacekeepers has been cited by the Hague Court of Appeal in the Netherlands and the International Law Commission.

In addition to these fellowship opportunities, the Robina Initiative has also generously supported the position of Robina Human Rights Coordinator (currently Katy Lawder), whose role is to implement the day-to-day activities, track participants and outcomes, and assess the Initiative's impact; a fund for Human Rights Clinical Education Innovation and Field Missions, which has allowed Professor James Silk and his colleagues to develop new ventures in clinical education and field missions for the Lowenstein International Human Rights Law Clinic and other related clinical courses; as well as outreach activities that foster a network among current and former Robina Fellows and Scholars, and encourage and support human rights projects across Yale University.

Moving Forward

As the Trustees know, the Law School has proposed endowing the Robina Human Rights Fellowship Initiative to support the project in perpetuity. The Robina Foundation has already advanced the cause of human rights by empowering us to produce future leaders trained and dedicated to the effective protection of human dignity around the globe. By providing sustaining funding for a Robina Human Rights Program, the Foundation will allow us to continue to recruit outstanding students who are interested in working in human rights, and to support these students in a coherent and unified manner, from the time they enter law school through graduation and beyond, as they launch their careers. Given the ongoing financial constraints facing both many of our students and the non-profit organizations in which they aspire to work, the Robina Foundation's support of this undertaking is more critical than ever.

Should the Trustees prefer to make expendable gifts instead of establishing an endowment, we will be grateful for continued support along the lines of the current arrangement. Whether with endowed or expendable funding, we would continue the signature programs of the Robina Initiative: the JD Scholarships, Summer Fellowships, Post-Graduate Fellowships, Visiting Fellows (though perhaps at a reduced number of positions but with longer-duration appointments), curricular innovations for clinical work and field missions, and enhanced network building both among Robina Initiative beneficiaries and across the University. One new element for which we request support, whether in an endowment or expendable award, is the Law School's loan forgiveness program, "COAP" (the Career Options Assistance Program), which will allow graduates

to pursue a professional human rights career despite the severe financial sacrifices that are necessarily entailed. Established in 1989, COAP was one of the first loan forgiveness programs of its kind. Since its inception, it has served as a model for similar programs at law schools across the country. The loan burden of students upon graduation is high: In 2012-13, the average law school debt of a Yale JD graduate was approximately \$112,000. Most students who work in the area of human rights must take relatively low-paying positions at NGOs or international agencies and, without COAP, would not be able to repay their law-school debts. We established COAP so that students' debt burdens would not prevent them from taking such jobs. Yet COAP is an unfunded mandate whose costs are rapidly climbing. Programs like COAP are counter-cyclical: They become most expensive when students need them most. COAP therefore puts enormous strain on the Law School's capacity to maintain support for graduates at their present levels. In 2013, for example, COAP supported 412 alumni by awarding \$4,041,256 in direct loan support. A substantial proportion of those alumni are working in human rights or public interest positions that they could not afford to pursue without assistance with their student loans. Our students who choose to dedicate their lives to human rights need COAP now more than ever.

As always, we are enormously grateful for the Robina Foundation's transformational support and look forward to welcoming you to New Haven in March.

Amt. for COAP?

**Table 1: Comparative Employment Data
at Nine Months after Graduation**

(Source: ABA Employment Summary)

	<i>Class of 2012</i>	<i>Class of 2011</i>	<i>Class of 2010</i>	<i>Classes of 2008 & 2009 (combined)</i>
<i>Yale Law School</i>	PI: 11.3%	PI: 12.2%	PI: 10.5%	PI: 8.4%
	Gov: 3.3%	Gov: 6.1%	Gov: 10%	Gov: 5.2%
<i>Harvard Law School</i>	PI: 7.7%	PI: 10.0%	PI: 7.7%	N/A
	Gov: 4.4%	Gov: 5.7%	Gov: 4.1%	
<i>Stanford Law School</i>	PI: 6%	PI: 9%	PI: 3%	PI: 4%
	Gov: 2%	Gov: 4%	Gov: 4%	Gov: 3%**
<i>Columbia Law School</i>	PI: 9.6%	PI: 5.8%	PI: 3.1%	N/A
	Gov: 7.6%	Gov: 9.0%	Gov: 4.6%	
	PI=Public Interest, including Public Defender	Gov=Government, excluding judicial clerkships		**Class of 2009 only

Table 2

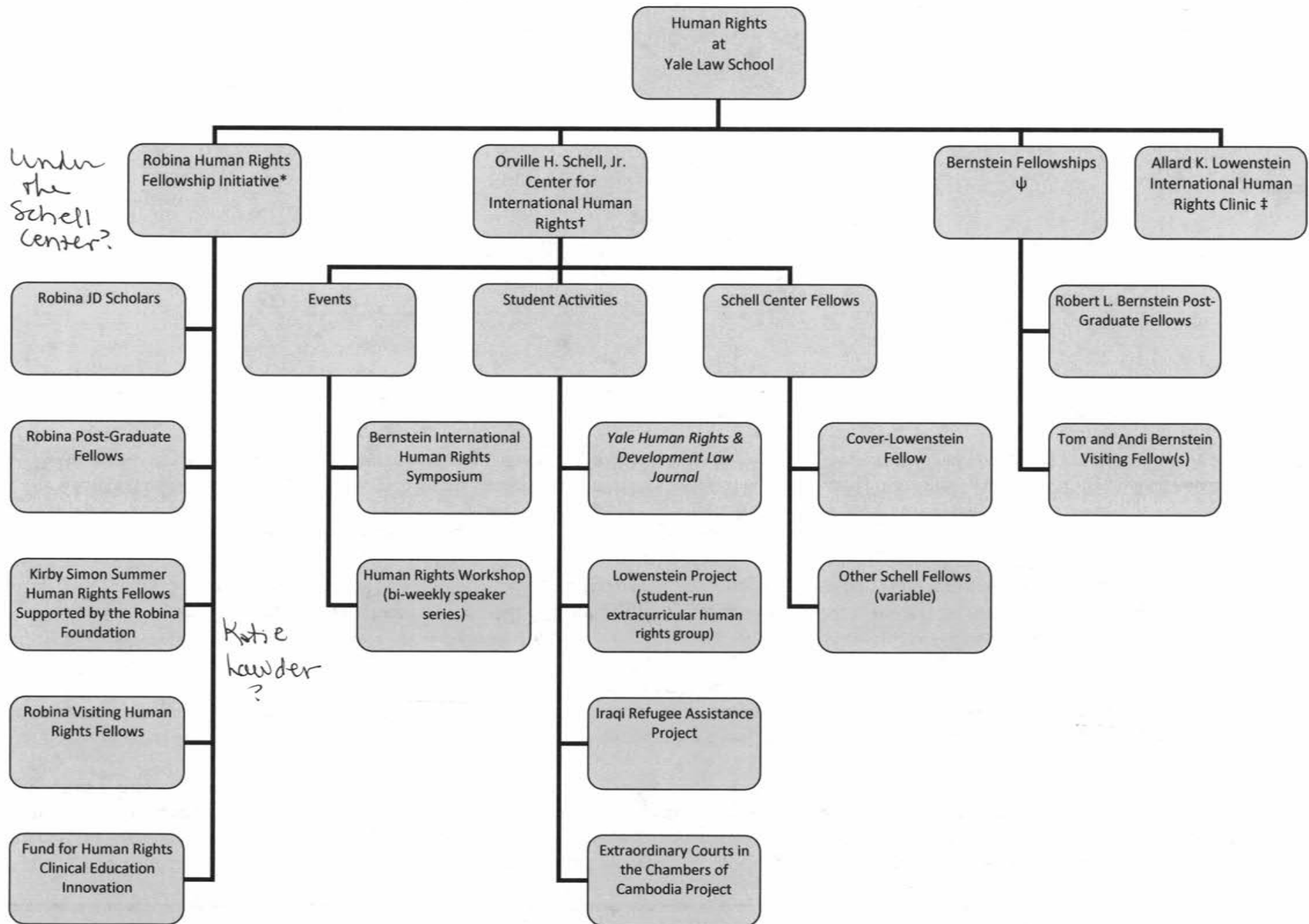


Table 2

* The Robina Foundation Human Rights Initiative has been supported by a gift of \$1,000,000 annually since May 2008. The Robina Initiative provides comprehensive support for individuals 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 international human rights and to develop a network of human rights advocates across the law school and the broader Yale community.

† The Schell Center is supported by the Orville H. Schell, Jr. Center Endowment Fund (est. 1988), which had a market value of \$13,070,808 as of June 30, 2013. The Fund's annual income distribution in 2013-14 is \$651,335. 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 \$359,904 as of June 30, 2013. The Wei-Ying U Fund's annual income distribution in 2013-14 is \$17,934.

Ψ The Bernstein Fellowships 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 \$2,819,019 as of June 30, 2013. The Robert L. Bernstein Fund's annual income distribution in 2013-14 is \$140,475. The Bernstein Visiting Fellowship(s) are supported by the Tom and Andi Bernstein Fund for Human Rights Endowment Fund (est. 2008), which had a market value of \$906,169 as of June 30, 2013. The Tom and Andi Bernstein Fund's annual income distribution in 2013-14 is \$45,156. This Fund's principal will continue to be added to in the next several years.

‡ The Allard K. Lowenstein International Human Rights Clinic is supported by the Allard K. Lowenstein Endowment Fund (est. 1996), which had a market value of \$491,188 as of June 30, 2013. The fund's annual income distribution in 2013-14 is \$24,477. The Lowenstein Clinic's budget is supplemented by the Schell Center Endowment Fund.

Biographical Information
Robina Foundation Site Visit

Yale Law School

March 4, 2014

Dean Robert C. Post (<http://www.law.yale.edu/faculty/RPost.htm>)

Robert Post is the sixteenth dean of Yale Law School and the Sol & Lillian Goldman Professor of Law. Before coming to Yale, he taught at the University of California, Berkeley, School of Law (Boalt Hall). Dean Post's subject areas are constitutional law, First Amendment, legal history, and equal protection. He has written and edited numerous books, including *Democracy, Expertise, Academic Freedom: A First Amendment Jurisprudence for the Modern State* (2012); *For the Common Good: Principles of American Academic Freedom* (with Matthew M. Finkin, 2009); *Prejudicial Appearances: The Logic of American Antidiscrimination Law* (with K. Anthony Appiah, Judith Butler, Thomas C. Grey, and Reva Siegel, 2001); and *Constitutional Domains: Democracy, Community, Management* (1995). He publishes regularly in legal journals and other publications; recent articles and chapters include "Theorizing Disagreement: Reconceiving the Relationship Between Law and Politics" (*California Law Review*, 2010); "Constructing the European Polity: ERTA and the Open Skies Judgments" in *The Past and Future of EU Law: The Classics of EU Law Revisited on the 50th Anniversary of the Rome Treaty* (Miguel Poiars Maduro & Loïc Azuolai eds., 2010); "Roe Rage: Democratic Constitutionalism and Backlash" (with Reva Siegel, *Harvard Civil-Rights Civil-Liberties Law Review*, 2007); "Federalism, Positive Law, and the Emergence of the American Administrative State: Prohibition in the Taft Court Era" (*William & Mary Law Review*, 2006); "Foreword: Fashioning the Legal Constitution: Culture, Courts, and Law" (*Harvard Law Review*, 2003); and "Subsidized Speech" (*Yale Law Journal*, 1996). He is a member of the American Philosophical Society and the American Law Institute and a fellow of the American Academy of Arts and Sciences.

Education

Ph.D., Harvard, (History of American Civilization), 1980

J.D., Yale, 1977

A.B., Harvard, 1969

Courses Taught

Constitutional Law

First Amendment

Interpretation in Law and Literature

Rethinking Sovereignty

Legislative and Popular Constitutionalism

Comparative Constitutionalism

Democratic Constitutionalism

Professor James J. Silk (<http://www.law.yale.edu/faculty/JSilk.htm>)

James Silk is Clinical Professor of Law at Yale Law School, where he directs the Allard K. Lowenstein International Human Rights Clinic. He is also executive director of the Law School's Orville H. Schell, Jr. Center for International Human Rights. He was formerly the director of the Robert F. Kennedy Memorial Center for Human Rights in Washington, D.C. After completing law school, he was an attorney at the Washington law firm of Arnold & Porter, where his pro bono work included representing a Virginia death-row inmate in his appeals. Before attending law school, Professor Silk was editor, policy analyst, and senior writer for the U.S. Committee for Refugees. He has taught English in Shanghai, China.

Education

J.D., Yale, 1989
M.A., U. Chicago, 1981
A.B., U. Michigan, 1969

Courses Taught

Human Rights Workshop
Lowenstein International Human Rights Clinic

Tara Fitzpatrick

Tara Fitzpatrick has been Director of Corporate and Foundation Engagement at Yale Law School since August 2013. Prior to that, she was Director of Foundation Relations and Sponsored Research at Mount Holyoke College for fifteen years. Before coming to Mount Holyoke, she served as Assistant Dean of Students at Columbia University for four years, and Assistant Professor of American History at Sarah Lawrence College for eight years. She attended NYU Law School for one year before beginning graduate work in history.

Education

Ph.D., Yale, (History), 1992
M.A., Columbia, 1980
A.B., Mount Holyoke, 1978

YLS Students

We have invited four Yale Law students to join us for dessert and coffee after the luncheon with Robert Post and Jim Silk. Each of them has been a recipient of one or more forms of support from the Robina Initiative grants. They are

Kristine Beckerle '15 (JD Scholar and also Summer Fellow in 2013)

Kristine grew up in Rockland County, NY, and was the first person in her family or from her high school to be admitted to Harvard College. During her undergraduate years at Harvard, she concentrated in Social Studies with a focus on the Middle East. She learned Arabic, participated in student organizations engaged in human rights and international affairs, and studied abroad in both Egypt and Geneva, where she interned at the office of the UN High Commissioner for Refugees. She wrote her undergraduate thesis on Palestinian refugees' right to reparation under international law. Before coming to Yale Law School, she spent a year in Jordan on a fellowship working with the UN Relief and Works Agency for Palestine Refugees, helping to develop a gender-based violence referral system in four of the refugee camps and leading two protection projects.

While at Yale, she has continued to focus on international human rights, working with the Lowenstein Human Rights Clinic and taking courses in comparative constitutional law, international criminal law, and international claims commissions. She spent the summer of 2013 as a Robina-funded Kirby Simon Fellow in Cambodia, where she did research on the Extraordinary Chambers in the Courts of Cambodia (the War Crimes Tribunal working to prosecute the Khmer Rouge for atrocities). There, she prepared a memo on the possibilities and prospects for a more robust system of reparations for victims. This coming summer (and, she hopes, after law school), she will return to the Middle East to work on issues related to human rights and transitional justice.

Anna Diakun '15 (Summer Fellow in 2013)

Anna is from Williamsville, NY, and majored in Political Science at Yale College, from which she graduated *magna cum laude* in 2011. In the summer of 2011, she did research as a Europe Team intern at Partners for Democratic Change in Washington, D.C. She then received a fellowship to pursue a Master's degree in International Relations and European Studies at Central European University in Budapest. There she wrote a thesis on EU foreign policy in the Ukraine and won the Outstanding Student Award for the highest GPA in the program.

At Yale Law School, she is an editor of the Yale Law Journal and the Yale Journal of International Law, is a student director of the Schell Center and co-director of the Lowenstein International Human Rights Project. With support from the Robina Initiative, in the summer of 2013 she served as an appeals intern in the Office of the Prosecutor at the International Criminal Tribunal for the former Yugoslavia in The Hague. There, she identified the crime base, conducted legal research, and wrote memoranda on potential issues of appeal in *Prosecutor v. Prlic et al.* and wrote memoranda on both substantive and procedural issues in *Prosecutor v. Tolimir*. After graduation from Yale, she hopes to work at an international human rights NGO.

Stephanie Kim '14 (JD Scholar and Summer Fellow, 2012 and 2013)

Stephanie is from Rockville, Maryland and is a graduate of Williams College (*magna cum laude*), where she majored in English. Before starting Yale Law School in 2011, she held internships at the Refugee Information Service in Dublin, Ireland; at the Maryland Office for Refugees and Asylees, and taught English for a year at the Church of Ashrafiya/Wihdat Beit Nabala Center, a Palestinian refugee center in Amman, Jordan.

At the Law School, where she is a third-year student, she is a student director at the Orville H. Schell, Jr. Center for International Human Rights and an editor for the Yale Human Rights and Development Law Journal. She is also currently a member of the Allard K. Lowenstein International Human Rights Clinic and the Jerome N. Frank Legal Services Organization. She has twice been named a Robina-funded Kirby Simon Summer Fellow. During the summer of 2012, she interned in two different organizations: the Mental Disability Advocacy Center (MDAC) in Budapest, Hungary and the Iraqi Refugee Assistance Project (IRAP) in Amman. At MDAC, she was primarily engaged in conducting legal research in preparation for cases before the European Court of Human Rights and UN treaty bodies. She also prepared research and recommendations for initiating the inquiry procedure before the Committee on the Rights of Persons with Disabilities. At IRAP, she conducted client intake interviews related to resettlement of Iraqi refugees, in order to prepare the caseload for the upcoming academic year. During the summer of 2013, Stephanie worked with the Capital Area Immigrants' Rights (CAIR) Coalition in Washington, D.C.

Tienmu Ma '14 (summer fellow 2013)

Tienmu is from La Jolla, California and is a graduate of Columbia University (*summa cum laude*), where he majored in Philosophy. After college, on a Kellett Fellowship, he studied at Oxford, where he earned a B.Phil, also in Philosophy, with a thesis "On the Moral Basis for Criminalizing Offensive Conduct." He then served in the Peace Corps in Albania for two years, inspecting the teaching of English in northeast Albania.

At the Law School, Tienmu has served as a junior fellow in the Global Justice Program and as a research assistant for the International Bar Association's Human Rights Institute Task Force on Illicit Financial Flows, Poverty and Human Rights, drafting a memorandum on the ethical issues surrounding corporate tax evasion. He has interned at the Kosovo Ministry of Foreign Affairs, Department of Legal Issues (2010), and done *pro bono* work as a summer associate at Williams & Connolly, LLP (2011). Concurrently with his legal education, he is pursuing a Ph.D. in Philosophy at NYU. During the summer of 2013, as a Robina-funded Kirby Simon Fellow, Tienmu interned with the Ombudsperson Institution of the Republic of Kosovo, the government agency that deals with all human rights complaints filed by citizens and NGOs in Kosovo. Thanks to his years in the Peace Corps, Tienmu is fluent in Albanian, so was able to discuss legal arguments and strategy with his colleagues in their native language. Because the Ombudsperson is one of the only parties with standing to bring cases before the Constitutional Court of Kosovo, much of Tienmu's work last summer involved writing memoranda advising the Ombudsperson whether to take cases where individuals or NGOs wanted the Court to invalidate a law on constitutional grounds.

ROBINA FOUNDATION

TO: Robina Board of Directors

FROM: Penny Hunt

RE: Meeting with Jim Lindsay (CFR) and Judith Goldstein (HIA)

DATE: March 4, 2014

Background

Expanded Diversity Initiative in Foreign Policy

In February 2011 the Robina Board spent a full day in Washington, DC with Richard Haass and several CFR program leaders and key executives. Susan Berresford attended the meeting as a consultant to the Foundation to help us gain perspective on CFR and CFR's initiatives.

During the course of the meeting we asked CFR for information on the make-up of CFR's staff and board and discussed with CFR the lack of diversity within the ranks of CFR as well as in the US foreign policy field. Following the meeting, CFR expressed interest in exploring how the organization might work to enhance diversity, and the Foundation provided a \$15,000 grant in August 2011 to fund a scan of diversity programs that might provide opportunities for CFR involvement.

In February 2012, the Robina Board approved a grant of \$1,274,248 payable over three years to support *An Expanded Diversity Initiative in Foreign Policy*, which augmented CFR's existing diversity initiatives through a new partnership with Humanity in Action that adds diverse participants to HIA's summer program, as well as increases CFR involvement in other initiatives.

The proposal for the initiative follows.

(Note: The amount of the Robina grant is lower than the CFR request due to an adjustment in indirect costs paid by the Foundation.

While at the outset Robina approved three years of funding, CFR envisioned a five-year project, with an external review to be conducted during the third year of funding. The plan was that the external review committee's findings and recommendations would heavily influence the proposal that CFR would submit to the Foundation to fund years four and five of the expanded diversity initiative. Robina's last payment on the original three year grant will be made in March 2014.

Expanded Diversity Initiative in Foreign Policy – Additional Activities

The Board of Director's February 2013 meeting held at the Council on Foreign Relations in New York City included meetings with Richard Haass, Jim Lindsay and Stewart Patrick to discuss CFR initiatives funded by the Foundation. In the course of a discussion of the *Expanded Diversity Initiative*, Jim indicated that CFR would be interested in working with HIA to determine if the work could be expanded with new approaches to increase diversity in foreign affairs. After follow-up discussions with CFR, in August 2013 CFR submitted a request for \$2,467,411 payable over three years to support *Additional Activities* as part of the *Expanded Diversity Initiative in Foreign Policy*. The new activities include:

- Developing an enhanced and deepened partnership with HIA that would specifically target graduate students interested in foreign policy careers;
- Creating the post of Diversity Coordinator at CFR to oversee and direct the day-to-day activities of the initiative;
- Modestly expanding support for the annual Conference on Diversity in International Affairs.

The proposal for the *Additional Activities* follows.

In November the board approved an additional \$107,946 to support HIA administrative expenses for the *Additional Activities*.

Purpose of Meeting

Since Board Members have not met Judith Goldstein, head of HIA, we decided to take advantage of the meeting at Yale to meet her. She and Jim Lindsay will update the board on the status of the two parts of the initiative, in particular the launch of the program targeted at graduate students interested in foreign policy careers.

We will also want to talk with Jim about plans for the external review and future funding of the initiative.



James M. Lindsay

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

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

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

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

HUMANITY IN ACTION

Dr. Judith S. Goldstein received a BA degree from Cornell University in 1962 with a concentration on European and American history. As a Woodrow Wilson Scholar at Columbia University, she received a Masters degree in European history and wrote her thesis on the "Mouvement Republicain Populaire and the Franco Vietnamese War, 1946 -1954." In 1972 she completed her doctoral studies at Columbia University in American history after writing her dissertation on the "The Politics of Ethnic Pressure: The American Jewish Committee Fight Against Immigration Restriction: 1906 -1917." This work was the beginning of a sustained concentration on immigration and diversity in American and Europe.

Over the next ten years she conducted an independent project in the Oral History Department at Columbia University on ethnic groups and American foreign policy. In 1992 William Morris published her book, Crossing Lines: Histories of Jews and Gentiles in Three Communities. Subsequently, she worked as the Executive Director of Thanks To Scandinavia, a non-for-profit organization.

In 1997, she founded Humanity in Action. She has served as its Executive Director for the past 16 years. Humanity in Action, based in New York City, develops and conducts annual educational programs for American, Danish, Dutch, French, German and Polish college and university students concerned with the protection of minorities. Fellows now include students from Turkey, Ukraine and Bosnia. Programs include fellowships and internships in Europe and the United States, annual publications, photography exhibitions and conferences. Over 16 years the organization has engaged over 1,300 university students in its programs and raised over \$20 million.

Publications:

- Inventing Great Neck: Jewish Identity and American Dreams (Rutgers University Press, October, 2006)
- Crossing Lines: Histories of Jews and Gentiles in Three Communities (William Morrow; March 20, 1992)
- The Politics of Ethnic Pressure: The American Jewish Committee Fight Against Immigration Restriction: 1906-1917, New York (Garland Publishing, 1990)
- "Anne Frank: the Redemptive Myth," Partisan Review, vol. 1, 2003
- "Alone with Charlotte Salomon," Partisan Review, vol. 1, 2002
- "Tragedies and Triumphs: Charles W. Elliot, George B. Door and John D. Rockefeller, Jr. and The Founding of Acadia National Park" (Somes Pond Press, 1992)
- "Patrons of the Public Good: Frederick Law Olmsted and Charles Eliot," Maine Olmsted
- Alliance for Parks and Landscapes, Journal, Winter, 1999 and Autumn, 1999.

Memberships:

The Century Association
The Council on Foreign Relations
Somes Pond Center, President

COUNCIL *on* FOREIGN RELATIONS

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February 18, 2014

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

Dear Penny,

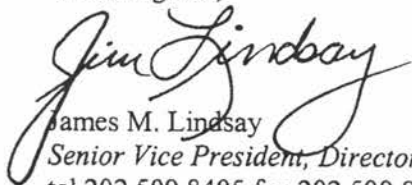
Please find enclosed the 2014 diversity profile for the Council on Foreign Relations (CFR). The diversity profile provides data on the diversity of CFR's membership, staff, and Board of Directors at the start of 2014 and in comparison to the first diversity profile that CFR submitted to the Robina Foundation in 2011. Several of the profile's findings are worth highlighting:

- More minorities have become CFR members. The biggest gains are in the term member program for mid-career professionals. The percentage of minority term members rose from 26 percent in 2011 to 33 percent in 2014.
- The number of women and the number of minorities on CFR's staff both rose by 23 percent between 2011 and 2014. The number of women on CFR's professional staff rose by 56 percent, while the number of minorities rose by 78 percent. The number of women who are full-time or adjunct fellows in the David Rockefeller Studies Program rose by 40 percent.
- CFR has more women and minorities serving on its Board of Directors today than it did three years ago.

The diversity profile also provides information on the ten initiatives that CFR pursues, alone and in cooperation with other organizations, to encourage members of underrepresented groups to explore international issues and pursue careers in foreign policy.

Please do not hesitate to contact me if you have any questions.

Warm regards,



James M. Lindsay
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COUNCIL ON FOREIGN RELATIONS DIVERSITY PROFILE FOR THE ROBINA FOUNDATION

February 18, 2014

The Council on Foreign Relations (CFR) strives for diversity among its members, staff, and Board of Directors, and in its programming for students, educators and religious groups. CFR defines diversity broadly, including racial, ethnic, gender, political, religious, sexual orientation, geographical, and professional considerations. CFR classifies minorities using the guidelines established by the Equal Employment Opportunity Commission: Black or African American; Hispanic or Latino; Native Hawaiian or other Pacific Islander; Asian; American Indian or Alaska Native. CFR has undertaken numerous diversity initiatives in its ninety-three-year history. In addition to its ongoing work to improve diversity within the institution, CFR works with a range of other organizations on initiatives that seek to foster diversity in the foreign policy field.

Since first reporting to the Robina Foundation on diversity in 2011, CFR has increased the diversity of its membership, staff, fellows, and Board of Directors. Several points to highlight:

- More minorities have become CFR members. The biggest gains are in the term member program for mid-career professionals. The percentage of minority term members rose from 26 percent in 2011 to 33 percent in 2014.
- The number of women and the number of minorities on CFR's staff both rose by 23 percent between 2011 and 2014. The number of women on CFR's professional staff rose by 56 percent, while the number of minorities rose by 78 percent. The number of women who are full-time or adjunct fellows in the David Rockefeller Studies Program rose by 40 percent.
- CFR has more women and minorities serving on its Board of Directors today than it did three years ago.

This diversity profile consists of two parts. The first part reviews the diversity of CFR's membership, staff, and Board of Directors. The second part reviews the range of diversity initiatives that CFR pursues, both on its own and in cooperation with other organizations, to encourage members of underrepresented groups to explore international issues and pursue careers in foreign policy.

I. CFR DIVERSITY PROFILE

CFR's diversity can be assessed in terms of its membership, its staff, and its Board of Directors.

A. CFR Membership

CFR is at its core a membership organization. That membership is an increasingly diverse group by any metric—gender, ethnicity, professional background, location, and expertise. The nearly 4,100 life members and 600 term members include government officials, renowned scholars, business leaders, acclaimed journalists, prominent lawyers, and distinguished nonprofit professionals. The overall membership is divided almost equally among members living in New York, Washington, DC, and across the country and abroad, and it represents a distinct group unmatched in accomplishments in the field of international affairs. Today, women constitute 27 percent of CFR's overall membership and African Americans, Asians, and Hispanics constitute 16 percent. Term members are distinguished young men and women selected when they are between the ages of thirty and thirty-six for five-year membership terms. Many term members later join CFR as life members; the term-member program therefore serves as a leading indicator of the diversity to come to CFR's life membership pool. Among CFR's term members, 40 percent are women and 33 percent are minorities.

Since 2011, the percentage of women in CFR's overall membership has remained level at 27 percent, and the number of minorities has increased from 15 percent to 16 percent. Among CFR's term members, the percentage of women has stayed level at 40 percent, and the percentage of minorities has increased from 26 percent to 33 percent.

B. CFR Staff

The diversity of CFR staff can be assessed along several dimensions: 1) the overall CFR staff; 2) the staff of the David Rockefeller Studies Program, CFR's in-house "think tank"; 3) CFR's Fellowship Program; and 4) the Franklin Williams Internship.

1. Overall CFR Staff

CFR is an equal opportunity employer, and it actively seeks candidates from diverse backgrounds. CFR policy forbids discrimination against any applicant or employee on the basis of age, race, creed, color, national origin, sexual orientation, military status, sex, disability, genetic predisposition or carrier status, or marital status. This policy applies to all employment and personnel practices, including recruitment, hiring, promotion, transfer, benefits administration, training, compensation, and termination.

The breakdown of overall CFR staff, professional staff, and support staff at the start of 2014 is as follows:

	2011		2014	
	Number	Percentage	Number	Percentage
Overall CFR Staff				
Women	141	55%	174	56%
Minority	70	28%	86	27%
Total Staff	251		316	
Professional Staff				
Women	63	54%	98	54%
Minority	23	20%	41	23%
Total Professional Staff	117		181	
Support Staff				
Women	78	58%	76	56%
Minorities	47	35%	45	33%
Total Support Staff	134		135	

Currently, 55 percent of CFR's staff are women and 27 percent are minorities. Ninety-eight of CFR's 181 professional staff are women, and forty-one are African-American, Asian, or Hispanic. (CFR defines professional staff as mid-level through senior management positions, ranging from assistant directors through vice presidents.) Seventy-six of CFR's 135 support staff members are women, and forty-five are African-American, Asian, or Hispanic. (CFR defines support staff as positions below the level of mid-management, including research associates and program associates.) CFR's senior management consists of seven women and four men, the same as in 2011.

The percentage of women on CFR's overall staff decreased by one percentage point between 2011 and 2014, and the percentage of minorities decreased by one percentage point as well. CFR added sixty-five

staff positions between 2011 and 2014, so the number of women and minority employees increased in absolute terms. The number of women on CFR's overall staff rose by 23 percent (from 141 to 174); the number of minorities on CFR's overall staff also rose by 23 percent (from 70 to 86).

The percentage of women on CFR's professional staff remained steady between 2011 and 2014 at 54 percent, and the percentage of minorities rose by three percentage points (from 20 percent to 23 percent). The number of women on CFR's professional staff rose by 56 percent (from 63 to 98). The number of minorities on CFR's professional staff rose by 78 percent (from 23 to 41).

The percentage of women on CFR's support staff fell by two percentage points between 2011 and 2014, as did the percentage of minorities. The number of women on CFR's support staff fell by two (from 78 to 76), while the number of minorities fell by two as well (47 to 43).

2. David Rockefeller Studies Program

The staff of the David Rockefeller Studies Program are a subset of the overall CFR staff just discussed. The most visible members of the Studies Program are the forty-two full-time fellows. Their efforts are complemented by nineteen adjunct fellows who typically hold full-time positions elsewhere and provide project-specific services to CFR. CFR actively recruits fellows from underrepresented populations. The pool of all candidates qualified to be fellows is small and the number of qualified candidates from underrepresented populations is smaller still. This makes successfully hiring minorities a tremendous challenge, and it is among the reasons that CFR launched the Expanded Diversity Initiative. The breakdown of the full-time and adjunct fellows at the start of 2014 is as follows:

	2011		2014	
	Number	Percentage	Number	Percentage
Full-Time Fellows	31		42	
Minority	4	13%	4	10%
Women	8	26%	14	33%
Adjunct Fellows	24		19	
Minority	2	8%	1	5%
Women	4	17%	3	16%
Total Fellows	55		61	

The number of women who are full-time and/or adjunct fellows rose from twelve in 2011 to seventeen in 2014, an increase of forty percent. The number of minorities who are full-time and/or adjunct fellows fell by one with the departure of an adjunct fellow.

3. Fellowship Affairs

CFR administers eight fellowship programs. These programs enable promising early and mid-career government officials, private sector employees, and academics to spend up to a year broadening their perspective on foreign affairs and pursuing research at CFR or another institution. Individuals who spend their fellowship placed at CFR are considered visiting fellows, while those who spend the fellowship elsewhere are considered fellows not-in-residence. (Fellows who are not-in-residence are not included in the staff totals discussed above.)

CFR markets its fellowship programs aggressively to organizations with deep ties in minority communities. CFR regularly works with faculty at Howard University, Morehouse College, Spelman College, and Temple University, as well as with contacts at the Ron Brown Scholars Program, International Career Advancement Program, Charles B. Rangel International Affairs Program, Thurgood Marshall College Fund, and the National Association for Equal Opportunity in Higher Education to circulate its calls for applications and to identify possible fellowship candidates. Additionally, CFR regularly seeks qualified applicants through U.S. Department of State affinity groups that serve underrepresented groups. As a result of CFR's persistent efforts to recruit minority candidates, CFR's Fellowship Affairs Program was invited to present its programs at the Historically Black Colleges and Universities Conference in September 2013.

As is the case with full-time Studies fellows, the pool of eligible applicants for specific fellowship programs is small. Several of the fellowship programs require expertise on specific topics, such as nuclear security or U.S.-Japanese relations, while others target specific professions, such as journalism. In the case of the six military and intelligence fellows, the sponsoring organization, not CFR, determines the nominees for the fellowship award.

2013-2014 Fellows	Minority	Women	Total
Visiting	1	3	12
Not-in-residence	0	6	11
Total	1	9	23

One minority candidate (down from four in 2011) and nine women (compared to nine in 2011) held visiting or non-resident visiting fellow positions in the 2013-2014 fellowship year. This change reflects the vagaries of the applicant pool in any given competition year. CFR continues to make it a priority to identify and recruit minorities and women to apply for its fellowships, and the Expanded Diversity Initiative has enabled CFR to broaden and deepen its contacts in minority communities. CFR has also expanded membership on its fellowship selection committees to include more members of underrepresented groups. For example, the 2010-2011 International Affairs Fellowship selection committee included four women and six men, of which one was a minority. In 2013-2014, the committee included six women and six men, of which two were minority members. Committee members help with recruiting a diverse applicant pool by tapping into their own networks.

4. Franklin Williams Internship

CFR's commitment to promoting a diverse workforce and encouraging minorities to pursue careers in foreign policy extends to its internship program. The CFR Internship Program offers outstanding opportunities for college undergraduates and graduate students to spend a semester at CFR. Competition is fierce, with thousands of applicants for a small number of internships available in New York and Washington, DC, each year.

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

Minority college undergraduates and graduate students who are studying international relations or a related field are strongly encouraged to apply for the Franklin Williams internship. With the support of the Robina Foundation, CFR has increased the annual number of Franklin Williams interns from two to seven in CFR's 2013 fiscal year, with four placed thus far in the 2014 fiscal year. All CFR interns have

the opportunity to attend CFR's Meetings Program events and to participate in CFR's Intern Professional Development Program, which seeks to further develop the knowledge and skills of interns as a foundation for future work in the foreign policy arena. In addition, Franklin Williams interns travel to New York or Washington, DC, to see all aspects of CFR's operations, and they are invited to participate in the annual Conference on Diversity in International Affairs.

C. CFR Board of Directors

CFR expanded its Board of Directors in 2006 in large part to increase diversity in CFR's leadership. CFR continues to work to recruit women and minorities to join its Board. Twelve of the thirty-six Board members are women. Eight of the thirty-six Board members are minorities.

Since 2011, the percentage of women and minorities on CFR's Board has risen. Women account for 33 percent of the Board (up from 31 percent), and minorities account for 22 percent (up from 17 percent).

II. CFR'S DIVERSITY INITIATIVES

CFR pursues a range of diversity initiatives on its own and in cooperation with other organizations.

A. CFR Outreach Program

CFR has a formal Outreach Program that seeks to connect with and serve as a resource for academics, including both educators and students; religious and congregational leaders and scholars; and state and locally elected officials and their staffs. CFR conducts outreach through monthly mailing lists that reach 30,000 educators and 14,000 religious leaders across the country, online teaching modules, regular conference calls with foreign policy experts, and invitations to targeted events. These groups represent a wide cross section of the population and reflect the shifting demographics of the United States. CFR strategically engages leaders based on their potential to serve as a multiplier effect, helping to bring foreign policy discourse into new communities.

B. Global Kids

CFR has worked with Global Kids, a high-school and after-school program for at-risk urban youth, for more than a decade. Global Kids seeks to ensure that urban youth have the knowledge, skills, experiences, and values they need to succeed in school, participate effectively in the democratic process, and achieve leadership in their communities and on the global stage. CFR sponsors a range of programs with Global Kids each year. These programs include hosting a three-week summer institute for high school students at CFR's New York headquarters, which includes presentations by CFR fellows on foreign policy topics and a session on career planning. The 2013 workshop involved twenty-seven students. CFR also organizes and hosts a monthly roundtable on foreign policy topics for Global Kids, bringing together about forty-five students for each session. During these sessions, CFR staff gives historical background and current policy perspectives on pressing international topics and engages the students in discussion. Once a year, CFR hosts the Global Kids fund-raising gala. The *New York Times* and the *Huffington Post* published pieces highlighting CFR's ongoing collaboration with Global Kids in 2010. One former Global Kids participant reflected on how CFR exposed her to an array of ideas and possibilities: "The Council was a world filled with intelligence, reason and logic. It awoke a fire in me. I've always been a competitive person...so I just needed a target. I got that from Global Kids at the Council on Foreign Relations, and that has propelled me to go forward academically, as well as in other areas."

C. Global Access Pipeline Project

CFR is actively involved in the Global Access Pipeline (GAP) project, a consortium of organizations that seeks to enhance the quality and diversity of U.S. participation in international affairs. GAP encourages

collaboration among internationally-oriented programs for the underrepresented, from the pre-collegiate level through mid-career professional development programs, and links these to diversity efforts at leading research and policy institutions such as CFR. Along with the alumni association of the International Career Advancement Program, CFR and GAP organize an annual two-day Conference on Diversity in International Affairs with the support of the Robina Foundation. The 2014 conference will be held on April 4-5 at CFR's Washington, DC, office. Given that increased diversity in international affairs must start with early exposure and extend through the creation of international leadership opportunities, the conference will engage a mix of students and mid-career professionals.

D. International Career Advancement Association

The International Career Advancement Program (ICAP) seeks to bring greater diversity to staffing of senior management and policy-making positions in international public service and the global private sector. CFR collaborates with the ICAP and the Global Access Pipeline to organize an annual, two-day joint conference on diversity in international affairs. CFR also cooperates on other efforts and initiatives that ICAP is pursuing.

E. Humanity in Action

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

CFR is currently working with HIA to launch the Diplomacy and Diversity Fellowship. The new program, which is made possible thanks to the Robina Foundation's generous support, seeks to encourage graduate students interested in international affairs to pursue foreign policy careers. The selection of participants for the program's inaugural class is still ongoing, but extensive outreach produced a diverse applicant pool with 41 percent minority participation. CFR is developing workshops and facilitating career opportunities for the program's participants during their two weeks in Washington. The dedicated CFR sessions, which have been developed in close consultation with HIA, will range from discussions of foreign policy topics to skills training to career development counseling. CFR will also arrange consultations and facilitate mentoring between program participants and CFR fellows and term members with the aim of providing advice tailored to each participant's career goals. Program participants will also be invited to attend select CFR member events and Studies roundtables.

F. Think Tank Diversity Consortium

CFR is a founding member of the Think Tank Diversity Consortium (TTDC), which aims to increase recruitment, retention, and advancement of people of diverse backgrounds, and to strengthen diversity and inclusion best practices within the think tank community. CFR is one of ten think tanks in the consortium, which also includes the Aspen Institute, the Brookings Institution, the Carnegie Endowment for International Peace, the German Marshall Fund, and the Peterson Institute for International Economics. TTDC provides members access to research and reports on the importance of diversity and inclusion, convenes roundtables with TTDC members to discuss best practices for promoting diversity in a think tank setting, and holds networking events for people of diverse backgrounds.

G. Colin Powell Center for Policy Studies at the City College of New York

CFR works with the Colin Powell Center for Policy Studies at the City College of New York to host small student groups for customized briefings by CFR scholars and staff throughout the year. Established

in 1997, the Center seeks to prepare new generations of publicly engaged leaders from populations previously underrepresented in public service and policy circles. Additionally, students from the Powell Center are invited to attend select CFR meetings over the course of the program year.

H. Outreach to Historically Black Colleges and Ethnically Diverse Institutions

Since CFR launched its Academic Initiative in 2005, it has made a special effort to reach out to historically black colleges, community colleges, and organizations that advance opportunities for minority groups. With the support of the Robina Foundation, CFR staff participated in six career fairs targeting underrepresented students. Career fairs included the Atlanta University Consortium Center—which brings together students from Clark Atlanta University, Morehouse College, and Spelman College—the Liberal Arts Career and Internship Fair at the University of Texas at Austin (whose student body is 20 percent Latino and 5 percent African American), Stanford University, and the University of California, Berkeley. In addition, CFR has attended career fairs that cater to diverse students at the University of North Carolina, and many local colleges and universities in the New York and Washington D.C. metro areas, including Howard University, a historically black college. Meetings with department chairs and professors from historically black colleges were arranged to further deepen contacts and raise awareness of both CFR's work and the Franklin Williams internship.

CFR is also building relationships with ethnically diverse educational institutions through its Higher Education Working Group, which convenes college and university presidents at the New York headquarters once a year to explore the role of higher education institutions in meeting the challenges posed by major global issues. Invitees have included the presidents of Tuskegee University, Spelman College, Morehouse College, and select colleges within the City University of New York system.

In September 2013, CFR President Richard N. Haass traveled to Atlanta to speak on America's Role in the World at Morehouse College. John Silvanus Wilson Jr., president of Morehouse College, and a CFR member, hosted Dr. Haass. CFR also used the opportunity to promote career opportunities in foreign affairs, distributing information on the Franklin Williams Internship, CFR career opportunities, and offering a student discount to *Foreign Affairs*. CFR's educational outreach activities also include foreign policy briefings to college classes in New York and Washington, DC. Past student groups have included Howard University's Charles B. Rangel International Affairs Program and the United Negro College Fund Institute for International Public Policy Fellows Program.

I. Academic Initiative

To maintain closer contacts with the education community, CFR organizes regular educators' workshops at the secondary and post-secondary level. The purpose of the workshops is to introduce CFR resources for the classroom and discuss with educators the needs of their students. In 2013, professors from historically black institutions such as Morehouse College, Tuskegee University, and Spelman College participated.

J. Religious Diversity

CFR makes a concerted effort to engage emerging religious leaders and scholars of minority faiths. In particular, CFR has recently focused on members of the Sikh community, drawing attention to leaders at the World Sikh Council, Sikh Coalition, and the Sikh Spirit Foundation. CFR's Religion and Foreign Policy Initiative also uses its conference call series to address the global persecution of minority faiths, including Baha'is and Copts. CFR's Religion and Foreign Policy Initiative has increased its participation of unique religious traditions by 27 percent in the past year. An average of thirty different denominations are represented at the annual summer workshop.

COUNCIL ON FOREIGN RELATIONS

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

EXECUTIVE SUMMARY

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

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

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

PROPOSAL

A. CFR's Current Diversity Initiatives

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

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

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

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

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

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

B. CFR's Proposed Expanded Diversity Initiative

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

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

1. Partnership with Humanity in Action

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

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

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

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

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

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

2. An Expanded Franklin Williams Internship Program

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

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

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

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

3. Partnership with the International Career Advancement Association

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

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

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

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

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

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

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

C. Measuring Success and Impact

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

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

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

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

D. Long-Term Vision

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

Appendix A

Humanity in Action

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

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

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

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

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

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

Appendix B

The Franklin Williams Internship

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

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

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

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

Appendix C

International Career Advancement Association

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

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

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

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

CFR's Expanded Diversity Initiative in Foreign Policy

March 13, 2012

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	Total	Year 1	Year 2	Year 3	Total 4	Year 5
		FY13	FY14	FY15	FY16	FY17
Item of Expenditure	Total (Budget)	10	15	15	15	15
1 Partnership with Humanity in Action						
Humanity in Action's Summer Program						
Minority participation in summer internship program	584,490	80,000	122,400	124,848	127,345	129,897
HIA programmatic and administrative costs	286,222	55,000	56,100	57,222	58,366	59,534
HIA program assessment costs	26,020	5,000	5,100	5,202	5,306	5,412
HIA recruitment travel	54,164	10,000	10,400	10,816	11,249	11,699
Total	950,896	150,000	194,000	198,088	202,266	206,542
Two-Day Workshop						
Staff support	47,357	9,100	9,282	9,468	9,657	9,850
Meals, catering, set-up expenses for workshop	43,060	8,000	8,290	8,630	8,925	9,215
Travel for 30 student participants to DC (air, hotel, meals, transport)	207,850	39,000	40,250	41,525	42,875	44,200
Travel for 3 CFR fellows from NY to DC (air, hotel, meals, transport)	17,105	3,210	3,315	3,420	3,525	3,635
HIA staff travel expenses for CFR DC workshop	8,124	1,500	1,560	1,622	1,687	1,755
Miscellaneous cost (bus for DC group travel)	5,000	900	950	1,000	1,050	1,100
Total	328,496	61,710	63,647	65,665	67,719	69,755
TOTAL Partnership with Humanity in Action	1,279,392	211,710	257,647	263,753	269,985	276,297
2 Expanded Franklin Williams Internship Program						
Intern compensation (3)	135,304	26,000	26,520	27,050	27,591	28,143
Travel for 3 interns (air, hotel, meals, transport)	17,250	3,300	3,375	3,450	3,525	3,600
Recruiting costs	4,683	900	918	937	955	973
Intern brochure (printing and mailing)	2,750	500	525	550	575	600
Total	159,987	30,700	31,338	31,987	32,646	33,316
TOTAL Expanded Franklin Williams Internship Program	159,987	30,700	31,338	31,987	32,646	33,316
3 Partnership with the International Career Advancement Association						
Meals, catering, set-up expenses for workshop	88,208	16,950	17,289	17,635	17,987	18,348
Travel for 5 CFR fellows/senior staff to DC (air, hotel, meals, transport)	28,622	5,500	5,610	5,722	5,837	5,953
Rapporteur report	5,000	1,000	1,000	1,000	1,000	1,000
Total	121,831	23,450	23,899	24,357	24,824	25,301
TOTAL Partnership with the International Career Advancement Association	121,831	23,450	23,899	24,357	24,824	25,301
4 CFR Participation in Career Fairs						
Travel for 2 CFR senior staff to 3 career fairs (air, hotel, meals, transport)	68,686	12,825	13,267	13,742	14,197	14,655
Staff support (3)	30,000	6,000	6,000	6,000	6,000	6,000
Total	98,686	18,825	19,267	19,742	20,197	20,655
TOTAL Increased Participation in Career Fairs	98,686	18,825	19,267	19,742	20,197	20,655
5 Program Management						
Program Management Salaries and Benefits						
Core Human Resources Program staff	278,961	53,605	54,677	55,770	56,886	58,023
Total	278,961	53,605	54,677	55,770	56,886	58,023
TOTAL Program Management	278,961	53,605	54,677	55,770	56,886	58,023
6 External Review Committee	30,000	0	0	30,000	0	0
TOTAL DIRECT COSTS	1,968,856	338,290	386,828	425,608	404,538	413,592
Indirect Costs at 15% of Direct Costs (excluding minority participation in summer internship program)	207,655	38,744	39,664	45,114	41,579	42,554
TOTAL PROJECT COST	2,176,511	377,034	426,492	470,722	446,117	456,146

Adam Segal

Adam Segal is the Maurice R. Greenberg Senior Fellow for China Studies at the Council on Foreign Relations (CFR), where he directs the Program on Cyberspace and Digital Policy. He was project director for CFR's Independent Task Force report, *Defending an Open, Global, Secure, and Resilient Internet*. Dr. Segal has written two books—*Digital Dragon: High Technology Enterprises* and *Advantage: How American Innovation Can Overcome the Asian Challenge*—as well as numerous articles on Chinese technology policy and Asian cybersecurity. His work has appeared in the *Economist*, the *Financial Times*, *Foreign Affairs*, *Foreign Policy*, and the *Wall Street Journal*, among others.

Dr. Segal is on the board of the Cyber Conflict Studies Association, and he is a member of the Expert Cybersecurity Group of the Organization for Economic Cooperation and Development (OECD). He has testified before Congress and briefed the Joint Chief of Staffs, State Department, Director of National Intelligence, and Department of Commerce on Chinese cyber espionage.

Dr. Segal has been a visiting scholar at the Massachusetts Institute of Technology's Center for International Studies, the Shanghai Academy of Social Sciences, and Tsinghua University in Beijing. He has taught at Vassar College and Columbia University. He has a BA and PhD from Cornell University and an MA in international relations from the Fletcher School of Law and Diplomacy, Tufts University. Dr. Segal writes on Asia and cybersecurity for CFR's Asia Program blog, Asia Unbound. The blog was cross posted on *theAtlantic.com* and *theDiplomat.com* and is now carried by *Forbes.com*. Asia Unbound was named one of the fifty best blogs for following Asia by the Business School Directory.



Peter Salovey, Ph.D.

President

Chris Argyris Professor of Psychology

Peter Salovey was inaugurated as Yale University's 23rd President on October 13, 2013.

Peter joined the Yale faculty in 1986 after receiving an A.B. and M.A. from Stanford University in 1980, with departmental honors and university distinction, and a Ph.D. from Yale in 1986. He holds secondary faculty appointments in the Schools of Management and Public Health and the Institution for Social and Policy Studies. Peter was appointed Dean of Yale's Graduate School of Arts and Sciences in January 2003, Dean of Yale College in July 2004, and the University's Provost in October 2008, before assuming the presidency.

Peter has authored or edited thirteen books translated into eleven languages and published more than 350 journal articles and essays, focused primarily on human emotion and health behavior. With John D. Mayer, he developed a broad framework called "Emotional Intelligence," the theory that just as people have a wide range of intellectual abilities, they also have a wide range of measurable emotional skills that profoundly affect their thinking and action. In his research on health behavior, Peter investigates the effectiveness of health promotion messages in persuading people to change risky behaviors relevant to cancer and HIV/AIDS.

Peter has served on the National Science Foundation's Social Psychology Advisory Panel, the National Institute of Mental Health Behavioral Science Working Group, and the NIMH National Advisory Mental Health Council. He was a recipient of a National Science Foundation Presidential Young Investigator Award, a National Cancer Institute CIS Partner in Research Award, and a Substance Abuse and Mental Health Services Administration Excellence Award. He served as president of the Society for General Psychology and treasurer of the International Society for Research on Emotion. The founding editor of the *Review of General Psychology*, he was also an associate editor of the *Emotion and Psychological Bulletin*.

In addition to teaching and mentoring scores of graduate students, Peter has won both the William Clyde DeVane Medal for Distinguished Scholarship and Teaching in Yale College and the Lex Hixon '63 Prize for Teaching Excellence in the Social Sciences. In 2009 he received an honorary doctorate from the University of Pretoria in South Africa.

Peter is married to Marta Moret, who is president of Urban Policy Strategies, a research and consulting group that specializes in public health, education and social services. They met during their graduate studies at Yale. They have no children and share their home with a dog, a Havanese named Portia.

YALE UNIVERSITY

SUMMARY OF ROBINA FUNDING

Yale University	2006	Planning Grant	\$50,000
Yale University	2014	Tom Crosby Memorial	\$200,000
Yale School of Drama	2008-2011	Center for New Theatre	\$3,800,000
Yale School of Drama	2012	Binger Center for New Theatre Endowment	\$18,000,000
Yale Law School	2008-2014	Human Rights Fellowship Initiative	\$7,000,000
TOTAL			\$29,050,000

Meeting with President Salovey 3/4/14

**Robina Foundation
Meeting Minutes
November 12, 2013**

A meeting of the Board of Directors of the Robina Foundation, a Minnesota nonprofit corporation, was held on November 12, 2013, via conference call.

Directors present: Gordon Aamoth, Susan Berresford, Kathleen Blatz, Peter Karoff, Steve Lewis, Marianne Short and Steven Schroeder.

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

Mary Lou White was present and served as recorder.

Welcome and Call to Order

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

Ratification of Election

Blatz proposed that the Board ratify the election to the Board of Marianne Short, which took place previously by means of email.

A motion made and seconded to ratify the election of Marianne Short to serve as a member of the Board of Directors for a term beginning on October 1, 2013, and ending on August 31, 2016, was approved unanimously by the Board.

Minutes of August 13-14, 2013, Annual Meeting

A motion made and seconded to approve the Minutes of the August 13-14, 2013, Annual Meeting included in the Board Book was approved unanimously by the Board.

Executive Director's Report

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

Treasurer's Report

Lewis reported on his meeting with Foundation Investment Consultant Mike Sullivan. Sullivan emphasized the importance of a decision by the Board concerning the Foundation's timeline since the timeline will impact investment decisions and also Sullivan's assumptions concerning the return on investment and funds available for Foundation grants.

Legal Report

Blatz introduced Gina Kastel from Faegre, Baker, Daniels, to discuss her memos included in the Board Book concerning settlement of the Binger Estate and Robina grantmaking.

Regarding settlement of the Binger Estate, Kastel called the Board's attention to the list of items left to be accomplished to close the estate included in her memo and emphasized the following:

- Loose ends of the estate are now being wrapped up so that the estate can be settled informally without going back to probate court.
- As part of the settlement, the Foundation will be asked to accept reports from JP Morgan concerning Binger estate assets held by JP Morgan.
- All that is remaining in the estate is approximately \$2 million in cash and Tartan investments, which will be transferred to the Foundation.
- Documents for the transfer have been prepared.
- Kastel is now working with JP Morgan and McDermott Will & Emery regarding various special assets, which we expect will be written off.
- Additional legal fees may be incurred to close the estate; JP Morgan received its fee years ago.
- We are pushing for more information on the promissory note with Jason McLean and on the Loring Pasta Bar.
- Our goal is to approve JP Morgan's accounts through September 2013, subject to several minor corrections.

Kastel and the Board discussed the need to give JP Morgan a deadline to perform miscellaneous work and finalize the settlement agreement. Kastel and Board Members agreed on a deadline of February 1 or 15, 2014.

Kastel provided the Board with draft resolutions in connection with settlement of the estate.

A motion made and seconded to approve the resolutions set forth in Attachment 1 was unanimously approved by the Board.

Board Members discussed Kastel's memo on Robina Foundation Grantmaking, which outlines the parameters on the Foundation's grantmaking, and agreed to retain the memo for guidance in making Foundation grants.

Robina Grants

Yale Scholarship to honor Tom Crosby

Board Members reviewed information outlining endowment of scholarships at Yale University to determine how to structure a scholarship at Yale in memory of Crosby. Emphasizing that endowment of a scholarship in honor of Tom was a unique, one-time grant by the Foundation, Board Members confirmed that a grant is appropriate in view of Crosby's long-standing work as chair of the Board and his exceptional leadership of the Foundation. Following discussion of the appropriate level for the grant and the criteria for scholarship recipients,

A motion made and seconded to honor Crosby with a \$200,000 grant to Yale University to provide scholarships for students who demonstrate the values, character and leadership of Crosby's life was unanimously approved by the Board.

Yale School of Drama / Binger Center for New Theatre

Following a discussion of Dean James Bundy's response to the Board's inquiry about use of the Production Enhancement Fund, Board Members considered the best way to review and oversee the work of the Binger Center for New Theatre. The approach agreed upon calls for tightening the questions to be addressed in YSD's annual report and conducting an in-person discussion with Bundy and others every two years. This discussion, which would involve several Board Members and perhaps non-Board Members involved in theater, is not intended as an interrogation, but rather an opportunity to ask questions and have a dialogue about the operation of the Binger Center.

Council on Foreign Relations Expanded Diversity Initiative

Board Members discussed the letter from James Lindsay included in the Board Book, which explains the role of "diversity" in the CFR / Humanity in Action (HIA) "Expanded Diversity Initiative." Members agreed that focus on diversity in the broad sense of understanding how countries wrestle with their diverse populations is appropriate.

The Board considered CFR's request for additional funding to cover HIA's administrative costs, which were inadvertently omitted from the budget included in the original grant request. After discussing the need for CFR to "own" this initiative and provide support so that Robina is not the sole funder,

A motion made and seconded to provide additional funding of \$107,046 over the three year grant period to fund indirect expenses incurred by HIA in the implementation of the Expanded Diversity Initiative was unanimously approved by the Board.

Hunt will follow up with CFR to assure that they understand the importance of CFR commitment to the initiative.

Program on Digital and Cyberspace Policy

Board Members discussed the engagement of outside reviewers to assist the Foundation in the consideration of CFR's proposal for a five-year grant to develop and launch a new program entitled "Program on Digital and Cyberspace Policy" as part of the International Institutions: Global Governance initiative currently funded by the Foundation. Key considerations:

- Reviewers should represent a variety of views and be independent of CFR to the extent possible (members of CFR are not barred from review panel);
- If this initiative is a top priority for CFR, Robina ought to consider it, but we need to take care not to commit to funding before satisfied that the initiative is focused to achieve maximum impact;
- Government policy reviewers are very important;
- Questions reviewers will consider will be key to value of reviews.

Hunt will proceed to identify and engage reviewers and will involve Board Members in the drafting of questions for reviewers to address.

Grant Request

Abbott Northwestern Hospital: LifeCourse

Board Members discussed Abbott Northwestern Hospital's request for additional funding for the third year of its implementation of the LifeCourse initiative currently supported by a multi-year grant from the Foundation. The purpose of the additional funding for 2014 is to enable Allina to fully finish the development of the LifeCourse model and to spend more time studying the current model before advancing into an expanded Phase II of the work. This alters the direction of the original proposal since it shifts the purpose of the third year of the overall timeline from model implementation across Allina to deeper study of the Phase I model and further consideration of a transition in Phase II. Hunt alerted the Board that Allina anticipates the following future requests: \$3M – \$4M for 2015; \$10M for 2016 – 2018, which would bring the total for the initiative to ~\$25M. The Board will consider the 2015 request at the March 2014 meeting.

✓ A motion made and seconded to provide up to \$1.7^{1.27} million in additional funding to support the 2014 activities of ANWH/Allina's implementation of the LifeCourse initiative was unanimously approved by the Board.

Board Members noted that LifeCourse may be the final initiative at ANWH/Allina supported by the Foundation.

Grant Reports

With limited time remaining, the Board decided to forego discussion of the two grant reports included in the Board Book.

Other Business

Hunt reviewed a draft list of meetings to be held in March during Board visit to Yale University.

Adjournment

There being no other business, the meeting was adjourned.

Respectfully Submitted,

Susan Berresford, Secretary

Date

ROBINA FOUNDATION

RESOLUTIONS OF BOARD OF DIRECTORS

WHEREAS, the founder of this Foundation, James H. Binger, died November 3, 2004;

WHEREAS, the process to administer Mr. Binger's estate (the "Estate"), of which this Foundation is the residuary beneficiary, has been lengthy and complex because of litigation with private parties and taxing authorities;

WHEREAS, this Board has previously accepted and approved the accounts ("Accounts") for Mr. Binger's Estate for the time period November 3, 2004, through March 31, 2013, and authorized the Accounts to be settled informally;

WHEREAS, JPMorgan Chase Bank, N.A., f/k/a J.P. Morgan Trust Company, N.A. ("JPMorgan"), the Personal Representative of the Estate, has provided this Foundation with monthly account statements for the time period April 1, 2013, through September 30, 2013;

WHEREAS, JPMorgan has prepared a draft Agreement and Releases ("Closing Agreement");

WHEREAS, Tartan I, LP ("Tartan") has prepared assignment documents ("Tartan Documents") to transfer the Estate's interest in Tartan to this Foundation and is expected to offer to redeem this Foundation's limited partner interest following the transfer;

WHEREAS, the Board of Directors has reviewed the Closing Agreement and Tartan Documents and approves their execution and the completion of the administration of the Estate, subject to the resolution of the outstanding issues (the "Outstanding Issues") described in the memorandum dated November 8, 2013, regarding the Estate that was prepared by this Foundation's legal counsel and addressed to its Board Chair and Executive Director;

NOW, THEREFORE, IT IS

RESOLVED, that the account statements for the time frame April 1, 2013, through September 30, 2013, are accepted.

RESOLVED FURTHER, that the transactions described in the Tartan Documents and the redemption of the limited partnership interests at fair market value are approved.

RESOLVED FURTHER, that the Closing Agreement is approved if it is modified to ensure (a) the dates for which the accounts were reviewed are clear; (b) JP the statements and documents provided; and (c) the Foundation is notified of any future claims made against JPMorgan or the Estate and given the opportunity to participate in their resolution

RESOLVED FURTHER, that prior to the execution of the Closing Agreement, the Outstanding Issues must be resolved.

RESOLVED FURTHER, that the officers of this Foundation are authorized and directed, in consultation with legal counsel, to take all steps they deem necessary or desirable to complete the administration of the Estate, including but not limited to reviewing additional account information; resolving the Outstanding Issues; negotiating and executing the Tartan Documents and Closing Agreement; accepting the final distributions from the Estate to this Foundation; and preparing and executing any other needed documentation.

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**ROBINA FOUNDATION
BOARD OF DIRECTORS MEETING
March 3-5, 2014
EXECUTIVE DIRECTOR'S REPORT**

Preparation for Board Meeting

Needless to say, preparation for the multi-day meeting at Yale took considerable time and effort -- not only on my part, but particularly on Nancy's part. Thanks to numerous emails, telephone calls and meetings, we think we have developed a good, workable schedule and have nailed down the details to make it run smoothly and easily. My work included:

- Conversations with meeting participants to make sure they are aware of the purpose of the meetings, questions to be addressed, material to be provided;
- Preparation of background memos and other material to facilitate Board Members' discussions with participants;

Foundation Governance

Further orientation of Marianne Short and Steve Lewis through preparation of background material on Robina's work with Abbott Northwestern Hospital / Allina and the University of Minnesota Law School and participation at meetings with the principals of both Robina Grantees.

Settlement of Binger Estate

Kathleen and I had several discussions with Gina Kastel to determine appropriate strategies to resolve the remaining questions about assets of the estate. Gina's memo at Tab 7 summarizes the status of the settlement.

Work with Robina Grantees

Yale University

I worked with Patty Pedersen to finalize Robina's grant to fund scholarships in Tom's memory, including review and comment on language for the scholarships and provisions of the indenture memorializing the grant and scholarships. I involved Ellie Crosby in this process to assure that she is comfortable with the focus of the scholarships and to provide for family members to receive information on the scholarship recipients.

Yale Law School

Kathleen, Steve, Marianne, Nancy and I met with Tara Fitzpatrick, who now is Robina's development department at Yale Law School. She brings extensive development expertise to her position (her bio is found at Tab 2) and will, I think, consolidate and streamline YLS's reporting to the Foundation. Good news!

Council on Foreign Relations

Considerable amount of my time was spent identifying and engaging experts to write reviews of CFR's proposal for the *Program on Digital and Cyberspace Policy* or discuss the proposal with me by phone. Material in connection with the initiative is found at Tab 8.

Abbott Northwestern Hospital / Allina

In anticipation of the Board's meeting next summer with Ken Paulus, president and CEO of Allina Health, and Ben Bache-Wiig, president of ANWH, I went on a tour of ANWH's Emergency Department and Neuro-ICU, which will be the focus of a capital campaign ANWH/Allina is launching. Although I don't believe that participation in the capital campaign will be of interest to the Board, I felt it was important to understand the initiative because of its importance to ANWH/Allina at the present time.

ROBINA FOUNDATION ASSETS AND GRANTS

Q/E DATE	ASSETS	GRANTS (cumulative)	GRANTS (outstanding commitments)
12/31/07	\$149,839,012.57	\$350,000	\$ 0
12/31/08	128,359,302.03	7,028,535	17,507,864
12/31/09	127,065,750.39	14,719,093	9,947,881
03/31/10	126,595,324.27	14,719,093	9,947,881
06/30/10	123,001,620.97	15,719,093	8,947,881
09/30/10	121,856,212.63	20,549,431	10,067,543
12/31/10	128,007,811.51	22,922,663	7,694,311
03/31/11	128,482,893.73	22,922,663	16,944,311
06/30/11	128,031,543.16	24,422,663	15,444,311
09/30/11	125,106,894	30,208,267	23,229,046
12/31/11	120,827,123	30,658,267	32,895,500
03/31/12	121,350,931	34,489,187	48,338,828
06/30/12	99,963,670	53,765,992	32,563,646
09/30/12	98,199,014	57,085,876	29,243,762
12/31/12	100,293,064	57,086,876	29,243,762
03/31/13	96,166,446	63,502,994	22,827,644
06/30/13	95,512,864	64,502,994	30,650,942
09/30/13	93,066,393	70,203,905	27,417,442
12/31/13	94,871,823	70,239,002	28,960,291 (1)

(1) Includes the following commitments:

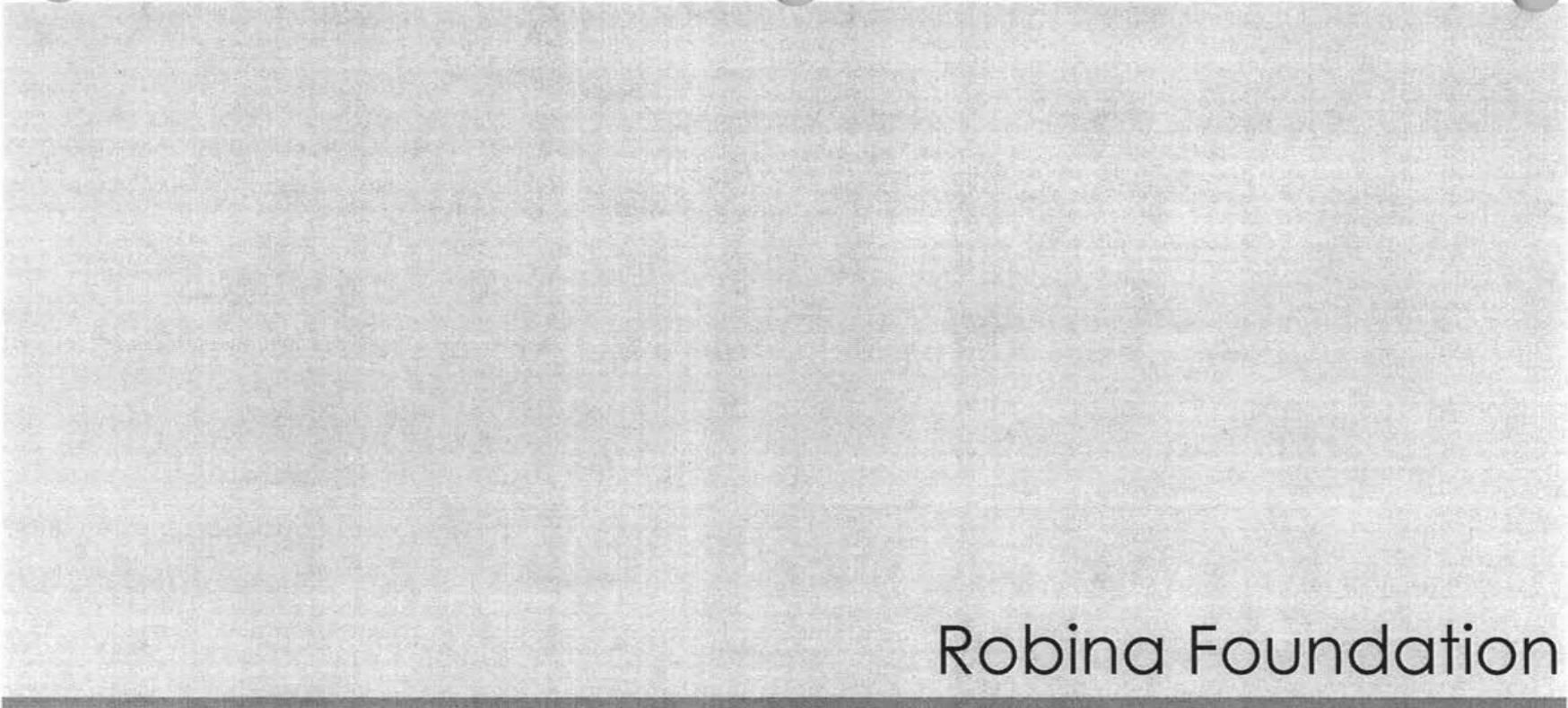
Uncommitted ~ \$65,911,532

\$4,334,266 (2014) to Abbott's LifeCourse project;

\$6,224,059 (2014-2016) to CFR's IIGG Phase II; \$470,722 (2014) for CFR's Expanded Diversity Initiative; and \$1,738,013 (2014-2015) for CFR's Expanded Diversity Initiative – Additional Activities;

\$5,162,103 (2014-2016)) for U of M Institute of Criminal Law & Justice program; \$3,533,732 (2014-2017) for Sentencing Law Program Enhancements; \$750,000 (2014-2016) to U of M Scholarship program; \$2,427,279 (2014-2016) for U of M Public Interest Scholars; and \$3,120,117 (2014-2016) for Center for New Americans;

\$200,000 (2014) to Yale University for the Thomas M. Crosby, Jr. Scholarship Fund
\$1,000,000 (2014) to Yale Law School Human Rights Phase II program.



Robina Foundation

Quarterly Financial Report

Prepared by Michael F. Sullivan, Ph.D.

Indigo Consulting

December 31, 2013

Robina Foundation

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Robina Foundation

Executive Summary

Mission Statement

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

Observations and Recommendations

1. It was a strong year for investment performance. US Bank performance was similar to the benchmark.

	1 Year	3 Year	5 Year	From Inception
Portfolio	10.95%	5.55%	4.31%	4.12%
Benchmark	11.19%	5.29%	3.86%	3.85%

2. We began 2013 with assets of \$100,568,259, awarded grants of \$13,152,126, and had operating expenses and taxes of \$453,856. We ended 2013 with assets of \$95,132,519, which means we had net added value of investment performance of \$8,170,242.

Beginning Balance:	\$100,568,259
Less Grants:	(\$13,152,126)
Less Expenses and Taxes:	(\$453,856)
Equals:	\$86,962,277
Ending Balance:	\$95,132,519
Net Gain:	\$8,170,242

3. We are above fiscal goals and expected portfolio values, and are well positioned for an equity market correction or stabilization with 48% of the portfolio in cash and fixed income.

Robina Foundation

Executive Financial Summary

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Cash	\$15,810,296	\$24,073,752	\$24,512,087	\$20,896,224	\$22,822,532
US Gov't Bonds	\$0	\$0	\$0	\$0	\$0
Market Portfolio	\$72,312,218	\$72,367,694	\$71,280,286	\$72,430,864	\$72,309,988
Corp. Bonds	\$14,574,867	\$13,358,885	\$11,964,943	\$11,238,351	\$9,212,870
Equities	\$36,413,824	\$38,431,352	\$38,385,845	\$39,977,567	\$41,814,466
Other	\$21,323,527	\$20,577,456	\$20,929,498	\$21,214,946	\$21,282,652
IRS Refund	\$12,445,745	\$0	\$0	\$0	\$0
Grand Total	\$100,568,259	\$96,441,445	\$95,792,373	\$93,327,087	\$95,132,519

Robina Foundation

Sources of Capital

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
JP Morgan					
Cash					
JHB Cash/MM	\$194	\$86,924	\$74,470	\$65,502	\$48,770
JHB Income Cash/MM	\$437,475	\$96,876	\$85,550	\$85,550	\$3,579
Cash Total	\$437,669	\$183,799	\$160,020	\$151,052	\$52,349
Revocable Trust					
JHB Revocable Trust*	\$3,224,782	\$1,908,205	\$1,908,205	\$1,908,205	\$1,908,205
JHB Income Account*	\$7,215,789	\$133,592	\$134,179	\$134,283	\$134,435
Tartan I LP*	\$82,053	\$81,949	\$81,949	\$80,469	\$79,769
Revocable Trust Total	\$10,522,624	\$2,123,746	\$2,124,334	\$2,122,956	\$2,122,408
Other Securities					
All Other Securities*	\$516,577	\$398,521	\$398,521	\$516,577	\$66,576
JP Morgan Total	\$11,476,870	\$2,706,066	\$2,682,874	\$2,790,585	\$2,241,333

Robina Foundation

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
US Bank Investments					
Cash					
US Bank Cash/MM	\$4,600,975	\$21,612,827	\$22,187,891	\$18,561,377	\$20,508,647
Bonds					
US Gov't Bonds	\$0	\$0	\$0	\$0	\$0
US Non-Gov't Bonds					
BP Capital PLC	\$745,745	\$742,161	\$735,217	\$732,774	\$728,210
Corporate Issues	\$9,958,909	\$8,690,833	\$7,407,031	\$6,873,316	\$4,875,019
NuVeen High Income Bond FD CL I	\$2,961,266	\$3,023,027	\$2,928,761	\$2,954,765	\$2,935,262
Total Capital SA	\$532,180	\$529,145	\$523,455	\$523,450	\$521,785
Bonds Total	\$14,198,100	\$12,985,166	\$11,594,464	\$11,084,306	\$9,060,275

Robina Foundation

US Bank (cont)

Equities

US and Non-US

Stock Funds

Hedge

Common Sense Offshore LTD

Pointer Offshore Ltd

Hedge Total

Private Equity

Flag Private Equity LP

Flag Venture Partners III LP

Flag Venture Partners IV LP

Pfingsten Partners III LP

Private Equity Total

Equities Total

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
	\$27,414,240	\$29,327,767	\$29,134,014	\$31,365,921	\$33,448,228
	\$2,000,607	\$2,014,973	\$2,036,867	\$1,961,656	\$1,965,772
	\$3,087,519	\$3,177,155	\$3,303,506	\$3,336,087	\$3,495,132
	\$5,088,126	\$5,192,128	\$5,340,373	\$5,297,743	\$5,460,904
	\$969,713	\$969,713	\$969,713	\$685,398	\$685,398
	\$757,505	\$757,505	\$757,505	\$585,240	\$585,240
	\$1,041,250	\$1,041,250	\$1,041,250	\$900,275	\$900,275
	\$1,142,990	\$1,142,990	\$1,142,990	\$1,142,990	\$734,420
	\$3,911,458	\$3,911,458	\$3,911,458	\$3,313,903	\$2,905,333
	\$36,413,824	\$38,431,352	\$38,385,845	\$39,977,567	\$41,814,466

Robina Foundation

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
Other Bonds, Real Estate, and Commodities					
Non-US Bonds					
Ontario Province	\$376,767	\$373,719	\$370,479	\$154,046	\$152,595
T Rowe Price Intl Bond Fund	\$1,992,221	\$1,915,294	\$1,838,366	\$1,893,596	\$1,873,871
Non-US Bonds Total	\$2,368,988	\$2,289,013	\$2,208,845	\$2,047,642	\$2,026,466
Bond Hedge Funds					
Gam Absolute Return Bond Fund	\$3,341,285	\$3,415,121	\$3,438,338	\$3,377,228	\$3,415,079
GCA Credit Opportunities Offshore	\$4,203,863	\$4,329,982	\$4,424,035	\$4,470,835	\$4,592,190
Marathon Credit Opportunity Fund Ltd	\$3,153,484	\$3,335,562	\$3,519,391	\$3,472,573	\$3,685,938
Bond Hedge Funds Total	\$10,698,632	\$11,080,665	\$11,381,764	\$11,320,636	\$11,693,207
Real Estate					
IDR Core Equity Re Strategy 2010	\$6,369,684	\$6,314,676	\$6,491,172	\$6,669,462	\$6,836,592
Commodities					
Inv Balance Risk Comm Str Y	\$871,735	\$0	\$0	\$0	\$0
Oppenheimer Com Str Tr Fd Y	\$517,625	\$511,351	\$462,726	\$473,706	\$472,137
Commodities Total	\$1,389,360	\$511,351	\$462,726	\$473,706	\$472,137
Other Bonds, Real Estate, and Comm. Total	\$20,826,664	\$20,195,706	\$20,544,507	\$20,511,445	\$21,028,402
US Bank Investments Total	\$76,039,563	\$93,225,051	\$92,712,707	\$90,134,695	\$92,411,790

Robina Foundation

Asset Summary

	2012	2013			
	Qtr4	Qtr1	Qtr2	Qtr3	Qtr4
JP Morgan	\$11,476,870	\$2,706,066	\$2,682,874	\$2,790,585	\$2,241,333
US Bank Investments	\$76,039,563	\$93,225,051	\$92,712,707	\$90,134,695	\$92,411,790
Robina Checking Account	\$331,081	\$235,329	\$121,792	\$141,307	\$218,896
IRS Refund	\$12,445,745	\$0	\$0	\$0	\$0
Bazal Property	\$275,000	\$275,000	\$275,000	\$260,500	\$260,500
Grand Total	\$100,568,259	\$96,441,445	\$95,792,373	\$93,327,087	\$95,132,519

assessment
value?

Robina Foundation

Asset Allocation Report: 12/31/2013

	Actual (\$)	Actual (%)	Goal (\$)	Goal (%)
Cash				
JHB Cash/MM	\$48,770	0%		
JHB Income Account	\$134,435	0%		
JHB Income Cash/MM	\$3,579	0%		
JHB Revocable Trust	\$1,908,205	2%		
US Bank Cash/MM	\$20,508,647	22%		
US Bank Checking	\$218,896	0%		
Cash Total	\$22,822,532	24%	\$4,756,626	5%
US Gov't Bonds	\$0	0%	\$39,955,658	42%
Market Portfolio				
Corp. Bonds	\$9,212,870	10%		
Equities	\$41,814,466	44%		
Other	\$21,282,652	22%		
Market Portfolio Total	\$72,309,988	76%	\$50,420,235	53%
Grand Total	\$95,132,519	100%	\$95,132,519	100%

Robina Foundation

Asset Allocation Report - Robina Perspective: 12/31/2013

	Actual (\$)	Actual (%)	Goal (\$)	Goal (%)
Cash				
JP Morgan	\$52,349	0%		
US Bank Cash/MM	\$20,508,647	22%		
US Bank Checking	\$218,896	0%		
Cash Total	\$20,779,892	22%	\$4,756,626	5%
Fixed Income				
US Gov't Bonds	\$0	0%		
Corp. Bonds	\$9,212,870	10%		
Non-US	\$1,873,871	2%		
JHB Revocable Trust	\$2,122,408	2%		
Hedge Funds	\$11,693,207	12%		
Fixed Income Total	\$24,902,357	26%	\$39,955,658	42%
Market Portfolio				
JP Securities	\$66,576	0%		
US Bank Equity Funds	\$33,448,228	35%		
US Bank Hedge Equities	\$8,366,237	9%		
US Bank Real Estate	\$6,836,592	7%		
US Bank Commodities	\$472,137	0%		
Bazal Property	\$260,500	0%		
Market Portfolio Total	\$49,450,271	52%	\$50,420,235	53%
Grand Total	\$95,132,519	100%	\$95,132,519	100%

Robina Foundation

Grants Paid/Committed: 2013

	Qtr1	Qtr2	Qtr3	Qtr4	Grand Total
Allina Health System/Abbott Northwestern	\$4,245,492				\$4,245,492
Life Course/Late Life Supportive Care	\$4,245,492				\$4,245,492
Council on Foreign Relations	\$426,492	\$2,034,671	\$837,344		\$3,298,507
International Institutions and Global Governance (IIGG) Phase II		\$2,034,671			\$2,034,671
Expanded Diversity Initiative in Foreign Policy	\$426,492				\$426,492
Expanded Diversity Initiative in Foreign Policy - Additional Activities			\$837,344		\$837,344
University of Minnesota Law School	\$1,744,134	\$2,863,993			\$4,608,127
Public Interest Scholars		\$694,544			\$694,544
Institute on Criminal Law and Justice	\$1,494,134				\$1,494,134
Support Scholarships	\$250,000				\$250,000
Sentencing Law Program Enhancements (CL&CJ)			\$820,056		\$820,056
Center for New Americans			\$1,349,393		\$1,349,393
Yale University		\$1,000,000			\$1,000,000
Yale Law School: Human Rights Fellowship Initiative Phase II		\$1,000,000			\$1,000,000
Grand Total	\$6,416,118	\$1,000,000	\$4,898,664	\$837,344	\$13,152,126

Selected Period Performance
ROBINA FOUNDATION MGMT AGY
Period Ending: 12/31/2013

Sector	Market Value	Year to Date (1 Year)	3 Years	5 Years	Inception to Date (79 Months)
Total Managed Portfolio	89,674,910	10.95	5.55	4.31	4.12
Robina Custom Benchmark		11.19	5.29	3.86	3.85
Domestic Equity	18,598,037	32.61			
DJWilshire 5000 Index		33.98	16.10	19.01	5.78
Hedged Equity	5,460,904	7.51			
HFRI Equity Hedge Index		14.61	4.10	9.19	2.48
Developed Foreign	12,171,033	21.34			
MSCI EAFE Index (Gross)		23.29	8.66	12.95	.80
Emerging Foreign	2,762,152	.26			
MSCI EM Free Index (USD)		-2.62	-2.07	14.78	2.20
Total Fixed Income	21,787,105	4.63	3.71	4.15	
Barclays 1-3 Yr Gov/Credit Index		.63	1.15	2.01	3.04
Hedged Fixed Income	11,693,207	7.76			
HFRI Relative Value Index (Total)		7.22	5.90	10.74	5.29
Total Real Estate	6,836,592	11.35			
Dow Jones Select REIT		1.20	9.04	16.36	.46
Total Commodities	1,546,999	-14.16			
Dow Jones UBS Commodity TR		-9.53	-8.11	1.52	-4.06
Total Cash Equivalents	20,512,087	.18	.19	.16	.94
Citigroup 3 Mo T-Bill Index		.04	.06	.09	.73

Portfolio Inception: 06/01/2007

Not A Deposit, Not FDIC Insured, May Lose Value, Not Bank Guaranteed, Not Insured By Any Federal Government Agency

Past performance does not guarantee future results. Performance returns may not reflect the deduction of applicable fees, which would reduce returns. Information is deemed reliable but may be subject to change.

This blended benchmark is an 'asset weighted benchmark'. It follows the allocation of the account throughout its history. For example, if an account holds 30% equity assets and 70% fixed assets, the benchmark would be allocated as 30/70 for which ever benchmark you assigned to those sectors. If the allocation moves to 50% equity/ 50% fixed, then the benchmark would mirror that allocation. In this specific benchmark, the following benchmarks have been assigned to their respective sectors. Domestic Equity - DJ Wilshire 5000 Index, Total Fixed Income - Barclays 1-3 Year Gov/Index, Foreign Equity - MSCI EAFE Index & MSCI EM Free Index (USD), Hedged Fixed Income - HFRI Relative Value Total, Hedged Equity - HFRI Equity Hedge Index, Total Commodities - Dow Jones UBS Commodity Tr, Total Real Estate - Dow Jones Select Reit, Total Cash Equivalents - Citigroup 3 Mo T-Bill Index.

Current Residuary Assets on Hand (as of December 31, 2013)

Cash and Short Term¹

	<u>Market</u>
James H. Binger Revocable Trust [REDACTED]	\$ 1,908,205.04
James H. Binger Revocable Trust - Income Account [REDACTED]	134,434.68
Estate of James H. Binger - Income Account [REDACTED]	3,575.89
Estate of James H. Binger [REDACTED]	48,576.46
Total Cash and Short Term:	\$ 2,094,792.07

Tartan I LP (as of 11/30/2013)

	<u>Total Market</u>	<u>% Owned</u>	<u>JHB Trust</u>	
Tartan I LP - Scotch I	85,902.17	43.4%	37,281.54	
Tartan I LP - ScotchGard	85,053.32	33.3%	28,322.76	
Tartan I LP - Post It	71,536.63	19.8%	14,164.25	
Total:	242,492.12		79,768.55	\$ 79,768.55 (Liquidation Value)

Other Assets:

James H. Binger Revocable Trust [REDACTED]		
Tomsten Inc.	-	
301 Clifton	-	
MN Community Dev. Bond	-	
Jason McLean Prom. Note	-	
Eridon	-	
Loring Pasta Bar	66,576	
Myfitlife Inc.	-	
Project Apple	-	
Raymedica Inc.	-	
Total:	66,576.00	\$ 66,576.00

TOTAL ASSETS FOR DISTRIBUTION FOR TAXES AND EXPENSES AND ROBINA: \$ 2,241,136.62

Note: Distributions to date total \$115.52MM (an interim distribution of \$27MM was made on 10/4/2007, of \$20MM on 3/25/2009, of \$38.295MM on 3/3/11, of \$10MM on 5/17/2011, of \$15MM on 6/18/2012, and of \$21MM on 3/27/2013). Additionally, venture capital distributions were made of \$1.34MM on 7/11/2011 and of \$3.88MM on 7/14/2011, \$1.39MM on 9/30/2012)

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

¹Cash and Short Term Values as of 12.31.13

MEMORANDUM

ATTORNEY CLIENT PRIVILEGED AND CONFIDENTIAL

TO: Penny Hunt
FROM: Gina M. Kastel
DATE: February 15, 2014
RE: Binger Estate



This memorandum updates my memorandum of November 8, 2013, regarding the process to complete the administration of the Estate of James H. Binger and the James H. Binger Revocable Trust (together, the Estate). For the sake of brevity, I have not repeated information from the November 8, 2013, memorandum here. You may wish to consult that document for additional background.

Accounts

The January 31, 2014, value of each of the accounts was:

- Estate of James Binger: \$48,576.46
- Estate of James Binger Income Account: \$3,578.70
- James H. Binger Revocable Trust: \$2,149,782.04
- James H. Binger Revocable Trust Income Account: \$134,538.22

The changes in value from November 2013 are attributable to the payment of additional legal fees out of the Estate to McDermott, Will & Emery and Briggs and Morgan. Also, JPMorgan wrote down the value of the MyFitLife, Inc. loans from \$275,000 to \$0. We expect that JPMorgan will also write down the value of the Tomsten, Inc. stock (\$125,000) and the Jason McLean loan (\$50,000) to \$0.

Loring Pasta Bar



As requested by the Board of Directors in November, we asked JPMorgan to inquire whether Loring Pasta Bar, LLC or any of its members would have an interest in buying out the Estate's

interest in the LLC. We were told there is "little cash" for a buyout and that during the last six months the company has been losing money due to decreased sales. The accountant for the LLC told JPMorgan that only very small interests (less than 1%) had been purchased in the past. After considering this information, you and Kathleen Blatz determined that Robina Foundation should accept the Loring Pasta Bar, LLC interests from the Estate and decide later whether to approach Jason McLean or Loring Pasta Bar, LLC to request a buyout.

Tartan I, LP

The documentation to transfer the Tartan I, LP limited partnership interests to Robina Foundation is completed except for final valuation information. Robina Foundation's interest is estimated to be around \$75,000. Once this information is available and the documents are complete, we expect the Tartan I, LP interests will be assigned to Robina Foundation and then redeemed by the limited partnership.

Closing Agreement

Since November, we have traded drafts of the Closing Agreement with McDemott. As we requested, JPMorgan has agreed to include the following:

- The dates for which the accounts were reviewed
- Representations by JPMorgan that all statements and documents provided are true, accurate, and complete to JPMorgan's knowledge
- A requirement that JPMorgan notify Robina Foundation if future claims are made against the Estate or JPMorgan and keep Robina Foundation informed of any such claims

JPMorgan also added an acknowledgment by Robina Foundation that the proposed process to transfer the "Special Assets" (Tomsten, Inc. stock, MyFitLife, Inc. loans, Jason McLean loan, RayMedica, Inc. stock, and Loring Pasta Bar, LLC interests) may not meet all the legal requirements to transfer those assets. We believe this is reasonable.

We have requested a few refinements to JPMorgan's latest draft of the Closing Agreement and asked for an estimate of the legal fees that are yet to be paid. We believe we are close to having a final version of the Closing Agreement ready to sign.

Outstanding Issues

Before the Closing Agreement is signed, we will:

- Obtain and review account statements for the time period beginning February 1, 2014
- Ensure the write offs of the Special Assets are reflected in the account statements
- Ensure the Tartan I, LP interests have been transferred and redeemed

KASGM

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MEMORANDUM

ATTORNEY-CLIENT PRIVILEGED

TO: Kathleen Blatz
Penny Hunt

FROM: Gina Kastel

DATE: November 8, 2013

RE: Binger Estate

This memorandum responds to your request for an update on the process to complete the administration of the Estate of James H. Binger and the James H. Binger Revocable Trust (together, the Estate).

Background and Process

As you know, at its meeting on August 13, 2013, the Board of Directors of Robina Foundation accepted and approved the interim accounts of the Estate through March 31, 2013, and authorized the officers of Robina Foundation to take all steps needed to settle the accounts informally, accept final distributions from the Estate, negotiate a settlement agreement with J.P. Morgan Trust Company, N.A., now known as JPMorgan Chase Bank, N.A. (JPMorgan), and complete the administration of the Estate.

There are several steps remaining to complete the administration of the Estate. Other than reviewing the accounts and negotiating and signing the Closing Agreement, these actions will be taken by JPMorgan.

- Bring the accounts current since March 31, 2013
- Assign the remaining assets from the James H. Binger Estate to the James H. Binger Revocable Trust (Revocable Trust) and then to Robina Foundation
- Assign the Tartan I LP interest to Robina Foundation and redeem Robina Foundation's interest
- Negotiate and execute the settlement agreement (Closing Agreement)

- Pay remaining attorneys' fees to McDermott, Will & Emery (McDermott) and Briggs & Morgan (Briggs)
- Prepare and file final income tax returns for the Estate
- Distribute the cash balance to Robina Foundation
- File an Informal Statement to Close with the Probate Court

Accounts

Rather than incurring the expense of preparing formal accounts for the time period beginning March 31, 2013, JPMorgan has provided copies of the monthly statements for the four Estate accounts. Since March 31, 2013, the Estate has accrued a small amount of interest. In addition, the James H. Binger Estate account paid \$23,394.94 to McDermott and \$10,290.58 to Briggs for legal fees and disbursements, and \$6,500 to Joel E. Mitchell & Company for preparing the formal Estate accounts through March 31, 2013.

The September 30, 2013, value of each of the accounts was:

- Estate of James Binger: \$65,308.01
- Estate of James Binger Income Account: \$85,549.73
- James H. Binger Revocable Trust: \$2,424,782.04
- James H. Binger Revocable Trust Income Account: \$134,332.81

The assets are held in cash except that the Revocable Trust account includes the following assets:

- Tomsten, Inc. stock: \$125,001
- Loring Pasta Bar, LLC membership interest: \$66,576
- Jason McLean loan: \$50,000
- MyFitLife Inc. loan: \$275,000

As discussed at the August 13, 2013, Board meeting, JPMorgan has informed Robina Foundation that JPMorgan believes these assets have no value. We expected JPMorgan to write the value down to \$0 following the approval of the interim accounts in August. We still expect that the value will be written down to \$0 and have asked for clarification of when that will occur. We have also requested a summary from JPMorgan of its efforts to collect on the notes and its analysis of why these assets have no value.

Asset Transfers

The remaining assets of the Estate include approximately \$2 million in cash and a limited partnership interest in the Tartan I, LP, valued at \$76,161.95.

The draft Closing Agreement includes assignment documents under which JPMorgan will assign the remaining assets of the Estate of James H. Binger to the Revocable Trust. Then, JPMorgan will transfer the remaining assets of the Revocable Trust, other than amounts to cover expected

attorneys' fees, to Robina Foundation. The transferred assets include the remaining cash and the following assets, which JPMorgan has previously stated do not have any value:

- Common stock of Eridon Corporation¹
- Common stock of RayMedica, Inc.
- Common stock of Tomsten, Inc.
- Membership interests in Loring Pasta Bar, LLC
- Loans receivable from MyFitLife Inc.
- Promissory Note from Jason McLean

Although these assets are believed to be worthless, JPMorgan needs to transfer them out of the Estate. McDermott has proposed using a general assignment document for this purpose. We suggest instead using specific assignments for these known assets. It is possible that even the use of a specific assignment will not meet all requirements to assign the Eridon Corporation, Tomsten, Inc., and RayMedica, Inc. stock and the interests in Loring Pasta Bar, LLC. Nevertheless, we believe this approach is acceptable for the stock and loans, given the valuation. Incurring additional legal fees to perfect ownership in a worthless asset is not the best use of Robina Foundation's funds. We recommend some additional review concerning Loring Pasta Bar, LLC because we recently learned that the company is still active. We have requested additional information from McDermott to determine whether it is advisable to take additional steps with respect to the transfer of the membership interests.

Dorsey & Whitney has prepared documents to assign the Tartan I, LP interest to Robina Foundation. It is expected that shortly following the assignment, Tartan I, LP will offer to redeem all the outstanding partnership interests of all limited partners and that Robina Foundation will accept that offer, redeem its interests, and be paid its share of the remaining cash. The assignment documents are attached and we believe they are acceptable as drafted. We are still awaiting some revisions to the redemption document and receipt of the accounting detail to support the asset values. Once the redemption document is received and the account values are confirmed, the assignment and redemption can occur.

Closing Agreement

The draft Closing Agreement is attached to this memorandum. The Closing Agreement describes the history of the Estate, including the state court litigation, claims made against the Estate, gift tax refund claims, tax disputes, distributions to the beneficiaries, the sale of assets, and the payment of expenses, including attorney and fiduciary fees. The Closing Agreement affirms that JPMorgan will not request approval of the accounts or a release from the Probate Court. The Closing Agreement requires JPMorgan to:

- Pay unpaid attorneys' fees to McDermott and Briggs

¹ Some of these assets do not appear on the most recent account statements from JPMorgan. We will ask for clarification of the discrepancy.

- Deliver assignment documents for the Tartan I LP, RayMedica, Inc., Loring Pasta Bar, LLC, Tomsten, Inc., Eridon Corporation, loans receivable from Jason McLean and MyFitLife Inc., and the residue of the Estate
- Transfer the remaining cash on hand other than the unpaid attorney fees to Robina Foundation
- File an informal Statement to Close with the Probate Court

When the Estate administration is completed, McDermott and Briggs will refund any remaining payments directly to Robina Foundation.

The Closing Agreement requires Robina Foundation to:

- Execute the assignment documents indicating its acceptance of the assets
- Execute a receipt for the entirety of its interest in the Estate
- If necessary, file a copy of the Settlement Agreement with the Probate Court and withdraw its request for an inventory and annual accountings²
- Refund assets to JPMorgan to discharge liabilities of Estate should any claims arise in the future and pay the costs of defense of any such claims
- Ratify the accounts and acts and omissions of JPMorgan and Ted Saryk as fiduciaries
- Release JPMorgan, Ted Saryk, and their affiliates, agents, employees, and representatives from any claims related to the administration of the Estate

In addition, Robina Foundation would agree not to reopen the matters described in the recitals or petition the Probate Court for review of the accounts.

The Closing Agreement contains standard provisions we expected to see. We recommend only modest changes to address the following:

- Clarify the dates for which the accounts were reviewed
- Add a representation from JPMorgan that all statements and documents provided are true, accurate, and complete to JPMorgan's knowledge
- Add language that requires JPMorgan to notify Robina Foundation if future claims are made against the Estate or JPMorgan, keep Robina Foundation informed of any such claims, and, if Robina Foundation chooses, permit Robina Foundation to defend the claims³

² The case in which Robina originally requested an inventory and annual accountings was formally dismissed by the Probate Court on December 18, 2007. We therefore believe it is unlikely that the Probate Court would ask Robina Foundation to withdraw its request.

³ Given that the other interested parties, including Jane Mauer and the members of the Binger family, have previously released claims against the Estate and JPMorgan, and the Estate has settled its disputes with the Internal Revenue Service and Minnesota Department of Revenue, we believe additional claims are unlikely.

Outstanding Issues

Before the Closing Agreement is signed, there are several issues to clarify and resolve. Specifically, we recommend that the following steps be completed:

- Obtain and review account statements for the time period beginning October 1, 2013
- Review JPMorgan's summary of its attempts to collect the loans from MyFitLife, Inc. and Jason McLean, and its process to determine that the RayMedica, Inc., Loring Pasta Bar, LLC, Tomsten, Inc., and Eridon Corporation stock and interests (the Special Assets) have no value
- Ensure that the write offs of the Special Assets are reflected in the account statements and reconcile discrepancies between the account statements and Closing Agreement concerning the Special Assets
- Determine whether additional actions are desirable with respect to the Loring Pasta Bar, LLC interests, and take any actions necessary to complete the assignment
- Obtain a description of JPMorgan's past arrangements with respect to the life estate of Marion Bazal and ensure Robina Foundation has an appropriate arrangement going forward
- Take any other actions needed to complete the administration of the Estate

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ROBINA FOUNDATION
2014 BUDGET

OPERATING EXPENSES				2013 Budget	2013 Actual	2014 Budget
Administration: Contract Services						
	Penny Hunt			\$97,500	97,500.00	\$108,000
	Baker Management (Nancy Gilberg)			42,192	42,192.00	43,704
	Outside Consultants			15,000	2,500.00	15,000
Accounting-Audit Fees				15,000	15,570.00	16,000
Directors' Fees				150,000	155,416.00	190,000
Insurance						
	D&O			4,800	5,056.00	5,056
	Property			506	505.50	506
Legal-Prof Fees				2,500	37,485.97	30,000
Meeting Expense				37,000	33,907.34	40,000
Membership Dues				725	725.00	725
Misc Expense				4,025	4,146.97	4,200
Office						
	Equipment and Furnishings (\$1K sale of furniture)			750	-1,000.00	3,000
	Misc			500	585.87	600
	Supplies			1,000	899.64	1,000
Parking and Mileage				2,700	2,724.92	2,800
Postage and Delivery				1,500	1,000.72	1,200
Printing, Web Design and Maintenance				750	1,065.39	1,200
Professional Development				500	0.00	500
Rent				12,218	21,109.87	26,986
Tax						
	Excise, State, Other			15,000	24,222.00	37,000
	Property (Bazal Condo)			4,746	4,756.22	4,987
Telephone/Internet				3,000	3,486.11	4,027
TOTAL OPERATING EXPENSES				411,912	453,855.52	536,491
TOTAL INVESTMENT MANAGEMENT FEES (see Budget Notes)				295,000	247,767.03	250,000
GRANTS				10,145,333	13,152,126.00	13,576,037
TOTAL EXPENDITURES				10,852,245	13,853,748.55	14,362,528

Robina Foundation
Budget Notes
01/01/14 – 12/31/14

Operating Expenses

Administration – Consultants

Penny Hunt – annual contract: \$108,000 (Increase effective 01/01/14)

Baker Management (contract employer for Nancy Gilberg) - \$43,704 annual (Increase effective 01/01/14)

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

Accounting/Audit Fees

\$16,000: CBIZ Accounting

Directors' Fees

\$190,000: \$25,000 annual fee for seven directors plus \$15,000 for Chair

Insurance

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

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

Legal/Professional Fees

\$30,000: Legal fees in connection with settlement of the Estate

Meeting Expense (Board and Staff)

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

Membership Dues

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

Miscellaneous

\$4,200: Certificate of Incorporation annual fee (\$25), holiday gifts, compensation and bonus adjustments, etc.

Office Expense

Equipment and Furnishings: \$3,000 (two new laptops)

Misc: \$600; Computer and technology consulting/maintenance/repair

Supplies: \$1,000

Parking and Mileage

\$2,800: Staff parking

Rent

\$26,986: \$1,813.67/month lease for current space; \$1,044.33/month lease for five months for former office space

Taxes

Excise Tax: \$37,000; estimated at 2% by CBIZ (tax accountant); will be reviewed/revised by CBIZ during the year based on actual new contributions to the foundation and anticipated investment income

Property Tax: \$4,987; property tax for Bazal condo at 301 Clifton Ave., Minneapolis, MN

Telephone/Internet

\$4,027: Approximately \$335/month

Total Investment Management Fees

USbank Fees: \$225,000; estimate based on 2013 fees
Management Fee: \$25,000 for Mike Sullivan

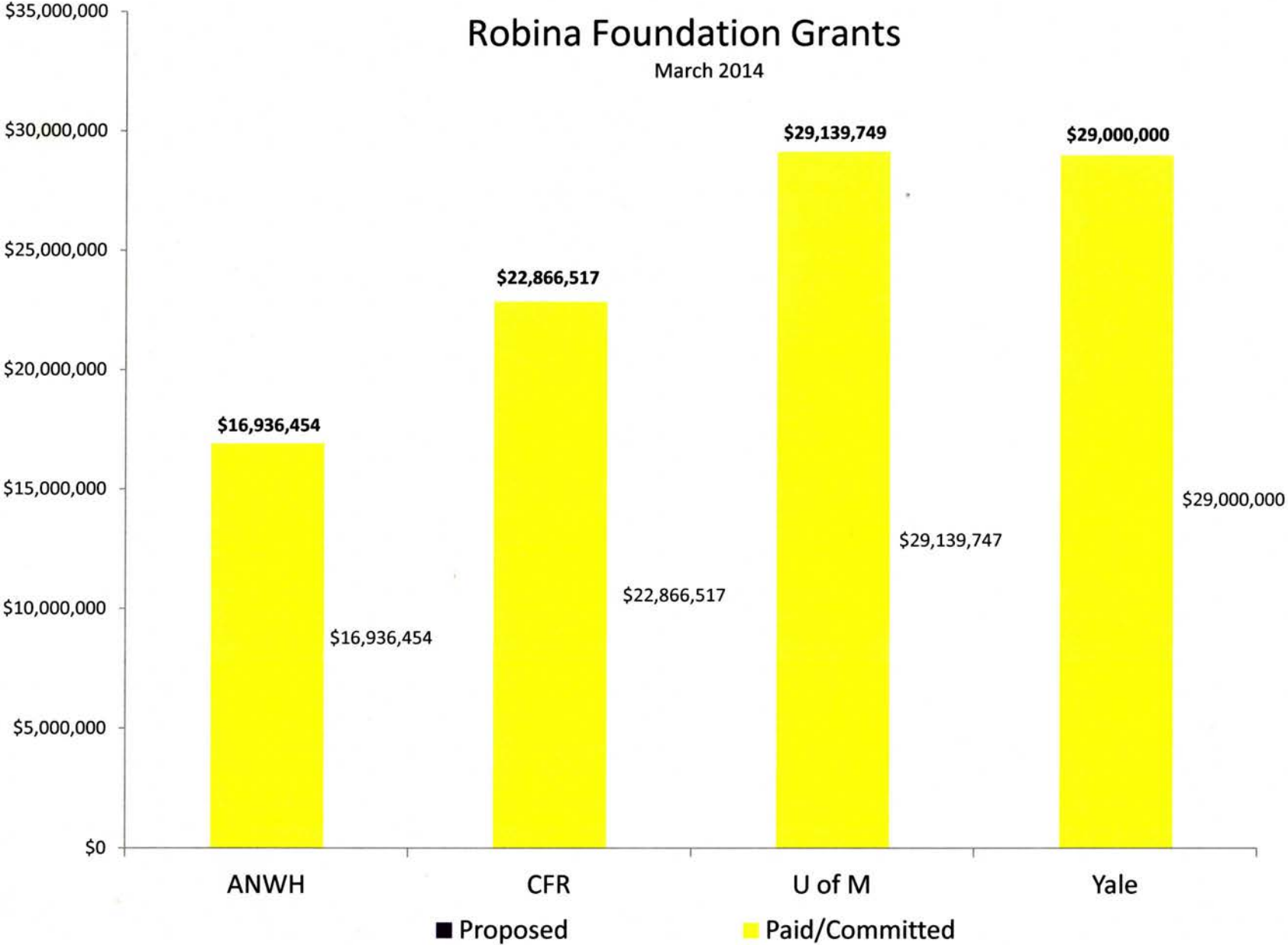
Grants

\$13,576,037: Grant payments scheduled for 2014. Additional grants may be made if approved by the Board.

					ROBINA FOUNDATION GRANTS										
	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	TOTAL
<u>ANWH</u>															
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
														ANWH Total	16,936,454
<u>CFR</u>															
IIGG	2,000,000	2,000,000	2,000,000	2,000,000	2,046,627	2,034,671	2,034,971	2,074,424	2,114,664						18,305,357
Online Video Project				419,750	276,805										696,555
Expanded Diversity Initiative				15,000	377,034	426,492	470,722								1,289,248
Expanded Diversity Initiative - Additional Activities - HIA						837,344	858,278	879,735							2,575,357
														CFR Total	22,866,517
<u>U of M</u>															
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
<u>YALE</u>															
<u>Yale Drama</u>															
CNT	750,000	750,000	1,350,000	950,000	18,000,000										21,800,000
<u>Yale Law</u>															
Human Rights	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000	1,000,000								7,000,000
<u>Yale University</u>															
Thomas M. Crosby, Jr. Scholarship							200,000								200,000
														Yale Total	29,000,000
TOTAL	6,403,535	7,559,983	8,203,570	7,235,604	26,427,609	13,152,126	13,576,037	7,699,513	6,761,761	922,980				T O T A L	97,942,718
YEAR END NET ASSETS*				120,827,000	100,568,259	95,132,519	86,045,415	82,166,678	79,337,760	81,870,850					
	Grants Paid/Committed												March 2014 Board Meeting		
	*Estimated by Mike Sullivan based upon the projected grant programs and using asset allocation and assumed return assumptions.														

Robina Foundation Grants

March 2014



COUNCIL *on* FOREIGN RELATIONS

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July 26, 2013

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

Dear Penny:

I am pleased to enclose a proposal to establish and carry out a Program on Digital and Cyberspace Policy to be launched under the auspices of CFR's International Institutions and Global Governance (IIGG) program. This transformative program will address one of the most challenging issues facing the country in the twenty-first century: how to keep the global Internet open, secure, and resilient in the face of unprecedented threats. The Program on Digital and Cyberspace Policy will be the first to fill a critical vacuum within the U.S. and international policy community, which has focused almost exclusively on the security side of cyber issues. By contrast, the Program on Digital and Cyberspace Policy's research and policy agenda will be comprehensive and explore the tight interconnection among security, human rights, and digital trade.

Digital technologies have become ubiquitous. More than 6 billion people use a cell phone, and 5 billion will be on the Internet by 2020. These trends have generated immense wealth and expanded political participation, but they have also created new vulnerabilities for nations, corporations, and individuals; raised difficult questions about the balance between security and privacy; and complicated the conduct of foreign policy. Today, anyone can plug into the Internet from anywhere on earth, for good or for evil. Digital technologies can empower millions by giving them access to almost any type of information at any time, connecting them to far flung communities, or allowing them to sell their goods to customers located thousands of miles away. Or they can cripple an economy by taking down an electric power grid.

Rapid technological change has outpaced existing global rules and challenged our understanding of the digital age. CFR is ideally suited to explore the momentous challenges posed by cyberspace and to recommend policies that will help keep the Internet open, global, secure, and resilient. Additionally, CFR can mobilize an influential membership experienced in foreign policy and immersed in the latest technology trends, and its nonpartisanship and independence make it a trusted venue for

Ms. Penny Hunt
July 26, 2013
Page Two

connecting public officials and the private sector. Working as part of IIGG, the Program on Digital and Cyberspace Policy will conduct path-breaking scholarship on the future of Internet governance; propose new rules to govern cyber war and cyber-conflict; and engage the private sector and civil society to ensure that its recommendations are informed by business realities and privacy concerns. The Program on Digital and Cyberspace Policy will leverage CFR's unique International Affairs Fellowship program to help train a new generation of leaders who can shape and explain U.S. government cyber policy.

The Program on Digital and Cyberspace Policy will launch three innovative products to illuminate the complicated politics and practical challenges posed by the digital revolution: First, a new Cyberspace Report Card will educate the public about the shortcomings in current institutions and help mobilize policymakers and the private sectors to correct those weaknesses. Second, a new Internet component of IIGG's existing Global Governance Monitor will become a recognized authority for officials, educators, and students interested in a detailed mapping of the history and current institutions governing cyberspace. Third, the Program on Digital and Cyberspace Policy's new Cybersecurity Tracker will provide the world's first interactive database of cyberconflict, helping policymakers and citizens grasp the nature and scope of cyber threats. To complement these efforts, CFR will enrich the general public's understanding of cyber global governance challenges and disseminate the Program on Digital and Cyberspace Policy's research findings through *Foreign Affairs*, books, articles, opinion pieces and other publications, and its award winning website, CFR.org.

We are grateful for the generous and ongoing support of the Robina Foundation and for its consideration of this new proposal. Please contact either Jim Lindsay at 202.509.8405 or jlindsay@cfr.org, or me if you have any questions or if you need additional information.

Sincerely,



Richard N. Haass
President
tel 212.434.9540 fax 212.434.9880
president@cfr.org

COUNCIL ON FOREIGN RELATIONS PROPOSAL TO THE ROBINA FOUNDATION TO SUPPORT

THE PROGRAM ON DIGITAL AND CYBERSPACE POLICY

A PROPOSED NEW PROGRAM OF THE COUNCIL ON FOREIGN RELATIONS

EXECUTIVE SUMMARY

The Council on Foreign Relations (CFR) requests a grant of \$8,987,435 over five years to establish and carry out a Program on Digital and Cyberspace Policy. By generating new knowledge, building public-private networks, informing policymakers, and training a new generation of cyber experts, the program will address one of the most vexing policy challenges of the twenty-first century: How to keep the global Internet open, secure, and resilient in the face of unprecedented challenges and threats.

The digital revolution that is remaking global commerce and connecting people worldwide raises profound questions for global order, prosperity, and security. Many governments see cyberspace as a strategic arena that is too valuable or too dangerous to remain unregulated. However, no consensus exists on who should regulate the Internet or how it should be regulated (if at all), and there is considerable risk that regulation could stifle economic opportunity, limit technological innovation, and deprive people of access to information important to them. At the same time, people around the world have become dependent on digital networks for day-to-day activities. But these networks are vulnerable to crippling and potentially deadly cyberattacks that can be launched in secrecy and with no warning by governments, terrorists, or criminals. Finally, digital data is now a source of great commercial profit and intense government interest. This has prompted heated debate and disagreement about who owns it, how it is valued and traded, and who should protect it and how.

The Program on Digital and Cyberspace Policy is a transformative initiative that will explore and evaluate the complicated politics and challenges of the digital revolution. The program's activities will focus on three broad themes: the future of Internet governance; new rules for cyber war and cyber-conflict; and the role of the private sector and civil society in digital policy. To advance government and public understanding in these three areas, the program will draw on CFR's unique attributes as a convener, think tank, and publisher to:

- publish cutting-edge research on digital and cyberspace issues, including two Policy Innovation Memorandums and two Council Special Reports each year, that will explain the problems that governments and the private sector face and lay out concrete, actionable steps they can take to prevent, mitigate, or resolve these problems;
- convene a standing expert working group modeled on the enormously influential working group on nuclear weapons that CFR convened a half century ago and that laid down much of the intellectual foundation of nuclear and arms control policy. The working group, which will be made up of high level former U.S. government officials, business executives, academics, scholars, entrepreneurs, and activists, will meet regularly to discuss rules and norms that may dampen cyber competition and generate ideas for government and private sector action;
- identify and explore emerging policy challenges and engage the private sector by holding one workshop every year on the West Coast with leaders in the digital industry that are not well-represented in Washington but that are pioneering the next generation of technology;

- inform policymakers, opinion leaders, and issue experts about digital and cyber challenges by expanding CFR's general meetings program to include more cyber-related meetings and by launching a dedicated Digital Revolution and Foreign Policy Roundtable Series that will hold meetings at CFR's offices in New York and Washington, DC, as well as in cities like Austin, Boston, and San Francisco that have large and influential digital communities.
- help policymakers and the broader public better understand the nature of cyber threats by developing an interactive database of cyberconflict that will allow users to sort through data and see visual representations of cyberattacks by region, by type, time, and severity, among other characteristics;
- expand the multimedia offerings of CFR's International Institutions and Global Governance (IIGG) Program to include Internet governance, thereby further helping educate policymakers and the broader public about digital and cyber issues;
- expand the work that the IIGG-sponsored Council of Councils (CoC) is doing on cyber issues by supporting discussions of Internet governance at the CoC's annual and regional meetings, and by collaborating with CoC member institutions on digital and cyber issues;
- increase the currently small pool of genuine digital and cyberpolicy experts by expanding CFR's highly successful International Affairs Fellowship (IAF) Program to include two new fellows each year who will work in either government or in an academic setting on cyber issues.

The program's aim is to generate tangible and practical policy recommendations that will shape U.S. policy as well as the emerging global rules and norms of cyberspace, educate policymakers and the broader public about the challenges and opportunities created by the digital revolution, and nurture a generation of experts who understand the complexities of the digital age.

The Program on Digital and Cyberspace Policy will be administered under the auspices of CFR's Program on International Institutions and Global Governance (IIGG) and its director, Dr. Stewart M. Patrick. The day-to-day activities of the Program on Digital and Cyberspace Policy will be directed by Dr. Adam Segal, Maurice R. Greenberg senior fellow in China studies, director of CFR's cybersecurity and cyberconflict initiative, and project director for CFR's Independent Task Force on digital policy. He will draw on the talents of five other CFR fellows with expertise on cybersecurity and digital policy: Jared Cohen, director of Google Ideas and former member of the State Department's policy planning staff; James Dougherty, a corporate executive with extensive experience in high technology; Richard Falkenrath, former deputy commissioner for counterterrorism in the New York Police Department; Karen Kornbluh, former ambassador to the Organization for Economic Cooperation and Development; and Matthew Waxman, professor of international law and national security law at Columbia University. The program will also hire a new fellow with a deep technical and business background to complement the expertise of other CFR fellows on Internet Governance, trade, and Internet freedom issues. The CFR fellows will contribute to the program through their writings, by holding meetings as part of the Digital Revolution and Foreign Policy Roundtable series, by briefing government officials and journalists, and by helping to design new multimedia and interactive products.

The overall work of the Program on Digital and Cyberspace Policy will be overseen by CFR president Richard N. Haass and CFR senior vice president and director of Studies James M. Lindsay. CFR places a high priority on rigorous and systematic evaluations of all of its programs and the performance of all of its fellows. To that end, the quality and impact of the program's work product will be regularly reviewed by Dr. Haass and Dr. Lindsay. As in the case of the IIGG program, their internal evaluations will be supplemented by an external review, to be

commissioned at the start of the third year of the grant, to provide an independent assessment of the program's strengths, weaknesses, accomplishments, and impact.

The Program on Digital and Cyberspace Policy will fill a critical intellectual vacuum within the U.S. and international policy communities. Security, Internet freedom, and digital trade are tightly intertwined. To date, however, other institutions have focused almost entirely on the security side of cyber issues and ignored its broader policy implications. The Program on Digital and Cyberspace Policy's research and policy agenda will be comprehensive in addressing a revolution that poised to remake the world in the twenty-first century.

THE PROGRAM ON DIGITAL AND CYBERSPACE POLICY

A PROPOSED NEW PROGRAM OF THE COUNCIL ON FOREIGN RELATIONS

The Council on Foreign Relations (CFR) requests a grant of \$8,987,435 over five years to establish and carry out a Program on Digital and Cyberspace Policy. By generating new knowledge, building public-private networks, informing policymakers, and training a new generation of cyber experts, the program will address one of the most vexing policy challenges of the twenty-first century: How to keep the global Internet open, secure, and resilient in the face of unprecedented challenges and threats.

The digital revolution is remaking the world. It has transformed commerce, making global supply chains possible and generating enormous sources of wealth. It has created social and cultural networks spanning the globe, enabling people to overcome distance and share knowledge and ideas. It has provided powerful tools for political organization and protest, challenging authoritarian rule and providing greater transparency in democracies. And the digital revolution will continue. Global Internet traffic is expected to triple over the next five years as networks deepen and more people gain access to cyberspace. New technologies are being created by the day. Google, Facebook, and Twitter did not exist fifteen years ago; they could well find their current positions as dominant firms eclipsed fifteen years from now as entrepreneurs in places like China, India, and Russia endeavor to invent the Next Big Thing. The revolution that began in the United States in places such as Silicon Valley and Route 128 has become truly global as the rest of the world seeks to harness the immense potential of the digital age.

But the rapid diffusion and adoption of digital and communication technologies also raises profound questions for global order, prosperity, and security. One such question is who will “govern” cyberspace? The Internet became a global platform of knowledge sharing and commercial transaction in good part because no one ran it; its decentralized structure made it possible for businesses, universities, and individuals to exploit its potential as they saw fit. Many governments, however, now believe that cyberspace is a strategic arena that is too valuable or too dangerous to remain unregulated; they are asserting their sovereignty, censoring and blocking the free flow of information as well as promoting conflicting views of Internet governance. That could potentially limit economic opportunity and technological innovation and deprive people of the ability to obtain information important to them.

A second question is can the global Internet be kept secure? An interconnected world brings benefits; it also brings dangers. States, terrorists, and criminals may be able to shut down power, communication, transportation, and financial networks with the click of a mouse, inflicting not just massive economic losses but also physical death and destruction. Militaries that do not want to be caught flat-footed are rushing to develop powerful cyber weapons without any agreement on how and when they might be used or any deep understanding of the consequences they might unleash. Cyberspace is “uncharted waters,” as President Barack Obama observed after his June 2013 summit with China’s President Xi Jinping: “You don’t have the kinds of protocols that have governed military issues, for example, and arms issues, where nations have a lot of experience in trying to negotiate what’s acceptable and what’s not.”

A third question is who should have access to the digital data that users are generating? By using their cell phones, searching on line, and posting to their favorite social media sites, people are generating massive amounts of data. Few computer users, however, give much thought to who owns that data, how it is valued and traded, and where it is stored (which increasingly is not on their own devices but on remote servers in the so-called cloud). But that data is of great interest to companies, who hope to profit from it, and to governments, whose interest can range

from foiling terrorist plots to crushing dissent. At stake are critical questions about privacy rights, trade rules and intellectual property rights, and the proper relationship between citizens and governments.

The world is at the dawn of a new global era. The United States faced a somewhat similar challenge at the beginning of the atomic age, when nuclear weapons undermined many of the fundamental assumptions of foreign policy. After painstaking work, much of it at CFR, policymakers and private citizens created new understandings that guided nuclear strategy and arms control theory. The intellectual and policy challenges of cyberspace are, however, even more tangled than the nuclear age because digital technologies are integrated into our daily lives, evolve rapidly, and are accessed by all. Moreover, responsibility for cyberspace crosses the boundaries separating government agencies, the public and private sectors, and nations, forcing all of these actors into new, often uncomfortable relationships and strained cooperation.

The Program on Digital and Cyberspace Policy, to be launched under the auspices of CFR's International Institutions and Global Governance (IIGG) program, is designed as a transformative initiative to decipher the complicated politics and challenges of the digital revolution. The program will draw on the unique attributes of CFR as a convener, think tank, and publisher. The program will explore a wide range of specific issues with the aim of generating tangible and practical policy recommendations, helping educate policymakers and the broader public, and nurturing a generation of experts who understand the complexities of the digital age. The program will achieve these objectives by promoting new scholarship, bringing together critical voices from across the political and intellectual spectrum for sustained and focused discussion, and by disseminating its findings both to policymakers and the broader public. The program's ultimate aim is to help shape U.S. policy as well as the emerging global rules and norms of cyberspace.

A Global Internet

The Internet has grown to be a cornerstone of modern life, connecting 2.5 billion people worldwide. Another 2.5 billion people are expected to go online by the end of this decade, mainly in the developing world. The economic impact of the Internet is profound and growing. For every 10 percent increase in broadband connections, total global wealth increases on average by 1.3 percent.

The Internet and mobile applications empower individuals in ways that radio, television, or other media have not, allowing them to find information and publish new types of content cheaply, quickly, and globally, thereby sharing knowledge and enriching human experience. Today, a poor fisherman off the coast of the Indian state of Kerala can use a cell phone to receive constant updates on the weather and market prices and to interact with the local government authorities. Indeed, that same fisherman can—if he or she wishes—use that phone to access more data than a scholar at one of the world's great universities just a generation ago would have had contact with over an entire lifetime.

This profound transformation happened without oversight or direction. Although the Internet emerged from U.S. government-funded research, most early Internet pioneers favored minimizing the involvement of government in cyberspace because they feared that governments would restrict the rights to free expression and privacy. They wanted instead a global and open network. So they developed a framework for the Internet based on self-regulation, private-sector leadership, and a bottom-up decision-making process. Coordination of the Internet's core resources—such as website names and addresses—emerged not from government dictate but as technical experts, businesses, civil society, and individual users formed organizations and associations to answer specific problems. The result was a system that required no centralized operating authority; it instead functioned by the proverbial “invisible hand.” Without needing anyone's permission, an entrepreneur or activist today can

design hardware or software that exploits the benefits of the global, open Internet. Likewise, individuals can create their own blogs, smartphone applications, or global companies. That global, open Internet, however, may not last.

A New Nervous System

The Internet has facilitated the dissemination of ideas and created alternative, decentralized means of communication. This in turn has motivated many governments around the world to restrict citizens' access to—and control the content of—information in cyberspace. Russia, China, and Iran have built national internets that tightly control interaction with the global Internet. Even among democracies there are sharp differences of opinion over whether and how to restrict access to information in cyberspace. France and Germany, for instance, block access to neo-Nazi and Holocaust denial websites. Brazil detained a Google executive when the company refused to take down videos that criticized a candidate in a mayoral election, releasing him only when the company complied with the order. India has restricted the number of text messages it allows users to send during outbreaks of communal violence, and it has demanded that Twitter, Facebook, and Google censor sensitive and blasphemous posts.

In contrast, the United States has made Internet freedom one of the pillars of its foreign policy. Former secretary of state Hillary Clinton identified information networks as a “new nervous system for our planet” and asserted that users must be assured freedom of expression and religion online, as well as the right to access the Internet and thereby connect to websites and other people. The State Department has promoted these four freedoms in international organizations and invested \$100 million in developing technologies that allow users to circumvent censorship and remain safe online.

The bottom-up, private sector-led approach to managing the Internet is also under attack. Saudi Arabia, Russia, China, Iran, and other countries want to replace the current system with one centered on the United Nations and the International Telecommunications Union (ITU). Such a move would increase the role of state telecommunication companies in managing Internet traffic, increase costs, and reduce innovation. It would also legitimate efforts by authoritarian countries to control the flow of information and ideas.

The Internet Is Fragile and Under Threat

The global, open, and secure Internet is fragile and is now under sustained threat. In March 2013, U.S. Director of National Intelligence James Clapper warned that computer attacks on the nation's critical infrastructure had surpassed terrorism as the top security threat facing the country. Communication, transportation, power generation, and financial systems potentially can be disrupted or destroyed from a keyboard anywhere in the world. Hackers have shown that they can reprogram an electric generator so it destroys itself; disabling railroad switches or valves at chemical factories could cause derailments, explosions, and mass casualties. Even a less physically damaging attack could cause widespread disruption and panic. To cite a recent example, the “Syrian Electronic Army” hacked the Associated Press's Twitter account and tweeted a false report that two explosions at the White House had left President Obama injured—causing the Dow Jones industrial average to plunge 146 points in a few seconds. In another incident, an unknown group, perhaps based in Iran, disabled 30,000 computers of the oil giant Saudi Aramco.

The arms race in cyberspace is just beginning. Approximately forty countries have acquired cyber weapons for use in offensive combat operations. Stuxnet, the malicious software designed to destroy centrifuges at Iran's

Natanz nuclear facility, is the first known case of a cyberattack causing physical damage—but it will not be the last. Despite severe constraints in almost every other part of the U.S. defense budget, funding for computer network warfare is growing; the FY 2014 federal budget request includes \$4.7 billion for cyberspace operations, a 20 percent increase over FY 2013. The Pentagon's new Cyber Command is reportedly expanding more than fivefold, from nine hundred to forty-nine hundred personnel. China, Russia, and many other countries are surely trying to match the U.S. effort step for step.

Defending against cyber threats is difficult if not impossible. Would-be defenders must worry about millions of lines of computer code, hundreds of devices, and scores of networks, while the attacker only has to find one vulnerability. Attackers can hide their tracks, routing attacks through multiple computers in numerous countries, and the attacks can happen in minutes if not seconds. In the words of former Deputy Secretary of Defense William Lynn III, "a keystroke can travel twice around the world to devastating effect in 300 milliseconds—literally the blink of an eye." Moreover, a growing black market in malicious software means that more sophisticated cyber weapons are ending up in the hands of extremists, lone wolves, and criminal gangs. Imagine that a widespread power outage hits the East Coast of the United States. Policymakers might be hard pressed to know whether it was the result of Chinese hackers, terrorists, or merely a tree falling on a power line. If this hypothetical blackout occurs during a U.S.-Chinese naval standoff in the South China Sea, U.S. policymakers will feel intense pressure to react quickly, even though they may have only the haziest notion of who (or what) is responsible. The forensics needed to establish responsibility for attacks could take weeks.

"Greatest Transfer of Wealth in Human History"

If the threat of physical damage lies in the immediate future, economic disruption is ever present. The total cost of cyber crime—identity theft, credit card scams, electronic transfer fraud—to the global economy is estimated at more than \$1 trillion each year. Moreover, hackers, many with the apparent support of the Chinese military and government, are engaged in economic espionage against U.S. companies, resulting in what General Keith Alexander, head of the National Security Agency (NSA) and U.S. Cyber Command, calls the "greatest transfer of wealth in human history." Estimates of the losses to U.S. companies are \$250 billion a year. Victims include technology companies, law firms, oil and petroleum companies, manufacturers, and defense contractors. Security analysts now say there are only two types of companies in the Fortune 500: those that have been hacked and those that don't know it yet.

A World Without Privacy

Cyberspace could also become much more Orwellian. The plummeting cost of data storage and collection, as well as the proliferation of surveillance and biometric technologies, could strengthen authoritarian regimes and severely hamper the ability of individuals to organize, spread information and knowledge, and protest. John Villasenor, an electrical engineer at the University of California, Los Angeles, argues that with costs for computer data storage plunging it will soon be feasible "to store everything that can be recorded about what everyone in a country says or does."

Edward Snowden's revelations about PRISM, a National Security Agency program to collect vast amounts of data from Google, Yahoo!, Microsoft, and other Internet companies, have reenergized the debate over the appropriate balance between privacy and security in free societies. They also may accelerate the fragmentation of the global Internet. U.S. criticism of other countries' surveillance efforts, such as Russia's monitoring of journalists, now ring hollow to many governments. Beijing happily trumpeted Snowden's claims, made just days

after President Obama pressed President Xi to halt Chinese cyber espionage, that the NSA hacks computer networks in China and Hong Kong. As the state-owned Xinhua News Agency put it, the leaks “demonstrate that the United States, which has long been trying to play innocent as a victim of cyberattacks, has turned out to be the biggest villain in our age.”

In addition, as governments of other countries realize that much of their citizens’ digital traffic flows through the United States they will seek to curtail connections to and through the United States. European Union (EU) officials have already demanded to know what information the U.S. government has been gathering on European citizens, and French President Francois Hollande has warned that Snowden’s allegations threaten talks on a crucial free trade pact between the EU and the United States. Some of the criticism coming from Europe is undoubtedly more strategic than sincere. European countries also spy on their allies, and beating up Washington over Snowden’s charges is an easy way to win favor with voters and gain advantage at the negotiating table. However, the long term impact of the revelations may be that governments face pressure to impose much stricter limits on how information flows between societies. The days of thinking of the Internet as an ungoverned space have given way to a battle for control.

New Questions and Unknown Tradeoffs

Entrepreneurs in Silicon Valley understand how technology is creating and continually remaking the new globally interconnected world. Most policymakers, however, have only a faint grasp of the profound social and political impact that cyberspace will have in the twenty-first century, and, just as important, when and how public policy should shape that future. Most government officials do not understand the technical aspects of how the Internet functions, and they are less culturally attuned or sympathetic to the self-organizing, self-policing, and self-balancing ethos of the digital era. For its own part, the general public is neither prepared for the impact these technologies will have on their lives nor equipped to participate in debates over the trade-offs among privacy, security, openness, innovation, and the protection of intellectual property inherently involved in cyberspace policy. As a result, educating and informing both policymakers and the broader public are critical tasks.

At the same time, the world urgently needs new rules and standards that will promote security, advance commercial interests, and protect human rights in cyberspace. A few obvious questions come to mind: Are countries justified in responding with conventional military force to cyberattacks? How should governments value the data that is collected by companies, who should have access to it, and where should it be stored? What are the basic rights of citizens in cyberspace, and to what extent can and should governments control the flow of information to protect national security, community standards, or intellectual property?

The Program on Digital and Cyberspace Policy:

Generating Knowledge, Building Networks, Informing Policy, and Training New Experts

CFR is uniquely positioned not only to suggest policies that will help keep the Internet open, global, secure, and resilient but also to define the stakes, trade-offs, and consequences (expected and unintended) of different policy decisions. CFR’s nonpartisanship and independence give it unequalled trust among government, private sector, and civil society constituencies. It can mobilize a unique membership base with extensive experience in foreign policy and technology to participate in working groups, and CFR can disseminate research findings broadly through *Foreign Affairs*, books, articles, opinion pieces and other publications, and its award-winning website, CFR.org.

A CFR-sponsored independent task force on U.S. policy in the digital age recently demonstrated these institutional assets. The Task Force was chaired by John D. Negroponte, former deputy secretary of state and director of national intelligence, and Samuel J. Palmisano, former chairman of the board and CEO of IBM, and was directed by Adam Segal, CFR's Maurice R. Greenberg senior fellow for China studies. It included experts representing a variety of sectors, including high-tech industry and hardware and software companies, as well as leaders on cyber issues (list attached).

In the first weeks after the report's release, Ambassador Negroponte, Mr. Palmisano, and Dr. Segal briefed Acting Secretary of Commerce Cameron Kerry and Assistant Secretary for Communications and Information Lawrence Strickling; General Keith Alexander, Director, National Security Agency and Commander, U.S. Cyber Command; Deputy Secretary of Defense Ashton Carter, Under Secretary of Defense for Policy James Miller, and Deputy Assistant Secretary of Defense for Cyber Policy Eric Rosenbach; Under Secretary for Economic Growth, Energy, and the Environment Robert Hormats and State Department Coordinator for Cyber Issues Christopher Painter; White House Cybersecurity Coordinator J. Michael Daniel; and Congressman Michael McCaul (R-TX), Chairman of the House Homeland Security Committee. Dr. Segal also met with staff members from the House Ways and Means Committee, the Congressional Taskforce on Terrorism and Unconventional Warfare, and the Senate Select Committee on Intelligence.

The Program on Digital and Cyberspace Policy will build on CFR's strengths as a trusted convener, idea generator, and information disseminator in four ways: by generating original thinking on global cyberspace challenges and governance; by forging exchanges among the public and private sectors; by disseminating its findings both through traditional and novel forms of outreach; and by training researchers familiar with both technology and foreign policy issues.

New Thinking on Global Cyberspace Challenges

CFR can fill a critical vacuum within the U.S. and international policy community on global cyber policy. Security, Internet freedom, and digital trade are tightly intertwined, yet other institutions have focused on the security side of cyber issues to the exclusion of its broader policy implications. The Program on Digital and Cyberspace Policy's research and policy agenda will be comprehensive and concentrate on three broad themes: 1.) the future of Internet governance; 2.) new rules for cyber war and cyberconflict; and 3.) the role of the private sector and civil society.

1. The future of Internet governance

The United States has been the predominant innovator, promoter, and shaper of cyberspace since its inception. The era of unchallenged U.S. leadership, however, is now closing. The number of networked users is rapidly increasing in Asia, Latin America, and Africa. Cyberspace is increasingly reflecting the diversity of the world's Internet users. As a result, the question of whether Internet governance should also change has become an increasingly contentious matter of global debate.

U.S. officials insist that the current system of Internet guidance, grounded in the private sector, works for all. It has allowed for unprecedented growth and innovation, making changes unnecessary. But other countries are pushing hard for a greater say. Developing countries feel shut out of the process. These countries have a long history of dealing with the ITU, and they see it as a credible partner. They distrust the United States, and they worry about the economic, political, and strategic benefits it gets given its privileged position on Internet. Those concerns—which do not necessarily mean support for the vision pushed by authoritarian states of a closed, managed Internet—are why many developing countries are sympathetic to having the ITU play a greater role.

The Program on Digital and Cyberspace Policy will work to identify the concerns of the established cyber powers—Russia and China, for example—as well as some of the most important rising Internet powers such as India, Brazil, and Kenya—countries with growing online populations and active diplomatic efforts to shape cyberspace at the ITU and other international institutions. How can the United States make the bottom-up model of governance more robust and inclusive? Are there transnational issues that are in fact best addressed by the United Nations and the ITU? When and how should the United States suggest alternative venues for addressing cyber issues, such as ad hoc groupings and regional organizations?

To educate people about the transnational challenges involved in cyberspace, the Program on Digital and Cyberspace Policy will collaborate with IIGG to expand the latter's multimedia offerings to include a focus on Internet governance. A new Internet governance component will be added to IIGG's existing Global Governance Monitors. Like the previous nine components (on nuclear proliferation, finance, oceans, climate change, public health, armed conflict, terrorism, human rights, and crime), the new Internet component will include a cinematic overview of the challenge, which explains why international cooperation is needed; an interactive timeline that traces the world's efforts to craft collective responses to the challenge; an issue brief that evaluates the overall performance of the regime and suggests potential reforms to improve international cooperation; a matrix that catalogs relevant international treaties, organizations, and initiatives; an interactive map that details critical countries and groups; and a resource guide for further information on the topic. The Global Governance Monitors are widely used by undergraduates, students preparing for model United Nations, and other foreign policy clubs. A monitor that focuses on cyber issues would similarly enrich the general public's understanding of a major global governance challenge.

The Program on Digital and Cyberspace Policy will also develop an Internet component of IIGG's Global Governance Report Card. The Report Card currently addresses six global challenges: nuclear weapons proliferation; transnational terrorism; climate change; violent conflict; financial instability; and threats to global health. It also grades U.S. performance and leadership. The next installment of the report cards, which are released on an annual basis, will include an evaluation of global Internet governance (something that Robert Knake, a member of the staff of the U.S. National Security Council, recently recommended to CFR). A Cyberspace Report Card will educate the public about the shortcomings in current institutions and help mobilize policymakers and the private sector to address those weaknesses.

The Program on Digital and Cyberspace Policy will cooperate with the IIGG-sponsored Council of Councils, supporting discussions of Internet governance at its annual meeting and collaborating with its member institutes. The program will also hold conferences and consultations with policy institutes in critical Internet powers such as the Brazilian Internet Observatory, China Institute of Contemporary International Relations, Oxford Internet Institute, and the Centre for Internet and Society in Bangalore. In addition, fellows associated with the program will attend meetings of the organizations and institutions of global Internet governance. These interactions will allow fellows not only to report on emerging policy issues that may be overlooked by the U.S. government or media, but also to build a network that can help support international action and disseminate the program's research more broadly.

2. New rules for cyber war and cyberconflict

The invention of the atomic bomb remade international relations. Few policymakers, military officers, and scholars at the time immediately grasped the long term implications of nuclear weapons. Were they just another weapon, or did they fundamentally reshape great power rivalry? U.S. policymakers struggled both to find a strategy for facing a nuclear-armed Soviet Union and to explain that strategy to the American people. Soon after

Secretary of State John Foster Dulles delivered a speech threatening massive nuclear retaliation as the basis of American foreign policy—a policy that many experts feared could increase the chances of a nuclear war—CFR convened a study group chaired by Dr. Henry Kissinger. That led to the publication in 1957 of his book *Nuclear Weapons and Foreign Policy*. This seminal work explored the concepts of nuclear stability, deterrence, and arms control that continue to shape U.S. nuclear and arms control policy today.

Like that CFR study group more than five decades ago, the world stands at the dawn of a new intellectual era characterized by rapid technological change and policy uncertainty. But the challenge is even greater than it was five decades ago. Only a few countries have the economic and technological capacity to build nuclear weapons. Even today, only nine countries possess them, and terrorists groups are likely to acquire them only through theft. The general contours and capabilities of each nuclear power's arsenal are well-known. Should these weapons ever be used, the identity of an attacker would be known before the missiles landed. And with the development of so-called secure second-strike capabilities—that is, being able to respond to a nuclear attack in kind—the incentive to attack first in a crisis declines greatly.

By contrast, cyberspace looks much different—and far more complex. Cyberattacks can be launched by almost any country. Devastating attacks can also be launched by individuals and non-state groups, who may be operating at the instigation of their home government or entirely on their own. The responsibility for a cyberattack can be masked, making difficult if not impossible to determine who should be punished, which in turn makes it harder to deter an attack in the first place. Attacking first in a crisis may bring substantial benefits, especially given that attacks can be carried out in the blink of an eye. The global and interconnected nature of the Internet also means that cyberattacks have the potential to produce unintended and unimaginable problems far beyond the intended target. Despite being described as “highly sophisticated and targeted,” the majority of Stuxnet infections were not in Iran, but in untargeted facilities in India and Indonesia. And technology is continually and rapidly changing; the capacities of digital technology double every two years.

Neither scholarship nor global governance has kept pace with the spread of digital technology. The intellectual and policy work done to regulate nuclear competition focused heavily on transparency and verification. Once the United States and the Soviet Union (and now Russia) could count how many weapons each side had, first through satellite imagery and other national technical means of verification and then through on-site inspections, they could confidently reduce the size of their arsenals. Such schemes do not carry over to cyber issues where literally anyone with a laptop and an Internet connection can conduct an attack and weapons are not stored in silos or on submarines that can be observed from space but on thumb drives that can be slipped into a pants pocket.

Although states (and scholars) have yet to figure out how to limit competition in cyberspace, they have strong incentives to find ways to do so. While every country is a potential cyberattacker, it is also a potential cyber victim. At the same time, any country could find itself erroneously blamed for attacks carried out by another state, criminal networks, or independent hackers, creating a conflict that could quickly leave the virtual world and enter the physical one. There are signs that the major powers have begun to recognize these dilemmas and the corresponding need to cooperate. The United States and Russia have agreed to set up a cyber “hotline” so officials can communicate during cyber events, and the United States and China have agreed to form a cybersecurity working group. But the hard intellectual work of determining how to translate these good intentions into practical and effective policy solutions remains to be done.

The Program on Digital and Cyberspace Policy looks to fill the intellectual vacuum on cybersecurity. To do so, the program will convene a standing expert working group similar to the influential group CFR gathered to discuss nuclear weapons over fifty years ago. The group, which will include high level former U.S. government

officials, business executives, academics, scholars, entrepreneurs, and activists, will discuss rules and norms that may dampen cyber competition, as well as investigate how international agreements for other transnational issues, such as crime or aviation, can be adapted to cyberspace. The working group, which will meet approximately six times a year, will also debate the possible uses of cyber weapons and the conditions under which they might be employed. Are cyberattacks more like drone strikes, a widely used tool of U.S. strategy, or an instrument to be used sparingly under limited circumstances? In addition, the group will be a source of ideas for confidence building and other cooperative measure for the U.S.-China cybersecurity group and other government efforts to work with important cyber powers. The working group will publish its findings as either occasional short policy memos or longer structured reports.

The Program on Digital and Cyberspace Policy will also work to help policymakers and the broader public better understand the nature of cyber threats. Much attention has been given to the risk of a "cyber Pearl Harbor." Although a single, sudden attack that cripples the United States is conceivable, the far more common and potentially debilitating threat over time is a series of attacks that stop short of physical destruction but that hinder the operation of websites, steal strategically important or valuable data, or destroy confidence in the safety and trustworthiness of the Internet. To help the public and policymakers better understand these attacks the program will develop a Cybersecurity Tracker, an interactive data base of cyberconflict. Building on models used by CFR's Nigeria Security Tracker (http://www.cfr.org/nigeria/nigeria-security-tracker/p29483?cid=otr-marketing_use-nigeria_security_tracker) and Global Health Tracker (<http://www.cfr.org/pharmaceuticals-and-vaccines/cfr-launches-interactive-map-tracking-vaccine-preventable-disease-outbreaks/p26278>) the Cybersecurity Tracker will develop a consistent typology of threats and present the data broken down by regions (e.g., China-Philippines website defacement that accompanied maritime standoff over Scarborough Shoal), type of attacks (e.g., attacks on U.S. banks; cyber espionage in Indian embassies) and dates of attacks (timeline). Like the Nigeria Security Tracker and the Global Health Tracker, the Cybersecurity Tracker should become a highly trafficked site that will enable policymakers and the broader public to grasp the extent and nature of cyber threats, and thereby enrich and inform the public debate.

3. The role of private sector and civil society

Private and commercial forces have driven the growth of the Internet. The networks that support this platform are distributed by and into private hands, and technology companies and individual end-users will inevitably create the next generation of technologies.

Private firms, however, are asking for guidance on issues such as selling surveillance technology to authoritarian regimes, accommodating requests for data on users from domestic and foreign governments, and the legality and wisdom of self-defense ("hacking back") by private companies against their hackers. What complicates matters is that the private sector does not speak with one voice on these issues; privacy activists, for example, have clashed sharply with technology companies over the scope of cybersecurity legislation.

While large technology companies such as Google and Facebook have a growing presence in Washington, there are a large number of smaller companies, network activists, and individuals in Silicon Valley, Boston, Austin, and other technology clusters who have minimal access to the U.S. or international policy process. On a trip to the West Coast to brief CFR members about the findings of the Task Force, Task Force Co-Chair Samuel Palmisano, the former CEO of IBM, identified engaging these companies and individuals as an important goal for CFR, and offered to help promote the effort. These small companies may be the source of new technologies that reshape cyberspace and of effective policy recommendations that deserve wider discussion and distribution.

The Program on Digital and Cyberspace Policy will directly address these and other policy challenges and engage the private sector by holding one workshop every year in locations outside of Washington and New York. In January 2011, for example, CFR, with the cooperation of IBM and Thomson Reuters, held a workshop on supply chain security and the role of the U.S. government in defending the private sector from cyber espionage. Participants in the meeting included officials from the departments of Homeland Security, Commerce, Defense, and the National Security Council, as well as representatives from companies in the hardware, software, and telecom sectors. The meeting resulted in a report, which was posted on CFR.org and distributed within the U.S. government and to a major technology trade association, that listed best practices. Many of the participants remain active in CFR's cyber initiative, with two serving on the Independent Task Force on U.S. Policy in the Digital Age. This will be the template for the Program on Digital and Cyberspace Policy's future workshops.

Building Public-Private Partnerships in Cyberspace

As the most prominent nonpartisan forum for debating critical U.S. foreign policy choices, CFR will make use of its unmatched convening power and its international networks to engage private actors on cyberspace policy issues.

During briefings on the findings and recommendations of the Task Force on U.S. Policy in the Digital Age, U.S. government officials asked CFR officials to convene meetings on topics such as confidence building measures in cyberspace, how to structure capacity building assistance to emerging Internet powers, and how to create incentives to support domestic innovation in cybersecurity. The Program on Digital and Cyberspace Policy proposes to conduct such a robust series of meetings mainly through the standing expert working group, although some topics may also be appropriate for a workshop. From these discussions, the program will produce rapporteur's reports based on the discussion that will be posted on CFR.org and distributed to leading opinion shapers.

Informing Policy Through New Media, Publications, and Meetings

Almost every day there is an article on hacking or privacy issues in the media. Many of these reports, however, tend toward the sensationalistic and are imprecise, if not misleading, in their terminology. Every cyberattack tends to be labeled a "cyber war" even if it is better understood as crime or espionage.

To bring greater clarity to these issues, the Program on Digital and Cyberspace Policy will develop a new channel on CFR.org. A channel is website that brings together all the best writing, analysis, and description of cyber issues in one place. The channel would include blog posts by members of the program, guest posts by leading researchers, activists, and technologists, and curated articles about the politics of cyberspace. The channel would also highlight the important debates, promising approaches, and new research and thinkers addressing cooperation and competition in cyberspace. CFR.org receives more than six hundred thousand unique visitors per month, and CFR's communication department will market the channel's offerings to other websites, maximizing its reach. CFR already has content sharing agreements with TheAtlantic.com and CNN.com

The Program on Digital and Cyberspace Policy will publish two Policy Innovation Memorandums, two Council Special Reports, and six Expert Briefs a year on digital and cyberspace issues. Policy Innovation Memorandums are 1,500-word analyses aimed at policymakers, that seek to start and shape the public debate with hard-hitting, well-argued recommendations for an innovative policy idea. Council Special Reports, which run between 5,000 and 7,000 words, seek to contribute to current policy debates by providing in-depth analysis and extensive policy recommendations. The target audience includes a cross-section of policymakers, journalists, academics, and other practitioners, as well as the interested public. Expert Briefs, which are produced in cooperation with the

staff of CFR's website, CFR.org, and run between 1,000 and 2,000 words, are primers that provide crisp and focused analysis of major topics in global affairs.

CFR will also expand its general meetings program by hosting six cyber-related meetings a year. Held in New York and Washington, DC, general meetings provide an opportunity for a prominent speaker or panel of speakers to address a large audience, typically ranging from eighty to two hundred people. General meetings are open to the broad CFR membership and occasionally the press. Prominent speakers at previous general meetings that have focused on cybersecurity include: General Keith Alexander, head of the National Security Agency and U.S. Cyber Command; Howard Schmidt, former cybersecurity coordinator and special assistant to the President; Rep. Mike J. Rogers, chairman of the House Select Committee on Intelligence; Rod Beckstrom, former president and CEO, Internet Corporation for Assigned Names and Numbers (ICANN); and Ed Amoroso, senior vice president and chief security officer for AT&T. Future meetings will broaden the focus to topics such as data privacy, trade negotiations and the digital economy, and Internet freedom and the development of anticensorship technology.

Finally, CFR will launch a dedicated roundtable series on "The Digital Revolution and Foreign Policy." Roundtable meetings are small group meetings that typically bring together two-to-three dozen or so experts for extended discussions of a topic. Roundtable meetings are led by CFR fellows, and are designed to allow the participants to explore issues in great depth. The Digital Revolution and Foreign Policy Roundtable series will host twenty-four meetings per year, with up to half of those meetings being held outside of New York or Washington, DC, in cities around the United States with strong technology clusters. The goal of hosting roundtable meetings in places such as Austin, Boston, San Francisco, and Seattle is to bring small technology companies, network activists, and entrepreneurs into the conversation about the foreign policy challenges and consequence of the digital revolution.

Training New Cyber Policy Experts

There is a pressing demand for experts in digital and cyber policy, but the supply is short. Few technical experts have had experience in the policy world. Most foreign relations scholars are unfamiliar both with the technical aspects of cyberspace and with the Internet's peculiar model of governance.

The Program on Digital and Cyberspace Policy will create new experts for a new field by awarding two International Affairs Fellowships a year to address digital and cyber-related issues. Launched in 1967 by CFR, the International Affairs Fellowship (IAF) Program bridges the gap between analysis and action in foreign policy by enabling scholars to spend one year in government and practitioners to spend one year in a think tank or academic setting. The program's goal has been to create scholar-practitioners. Over the past forty-six years, there have been more than 500 IAFs. IAF alumni include former secretary of state Condoleezza Rice, former deputy secretary of state James Steinberg, former undersecretary of state for economic growth, energy, and the environment Robert Hormats, former U.S. ambassador to NATO Ivo Daalder, and Samantha Power, President Obama's nominee to be U.S. ambassador to the UN. Ambassador Daalder, who is now president of the Chicago Council on Global Affairs, has said the "IAF was, for me, a career-changing experience. It allowed me to spend the year at the NSC. And 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."

One of the proposed IAFs in Digital and Cyberspace Policy will be an academic/technical expert who will spend twelve months working in government on cyber issues. The other will be a government official who will spend twelve months at a think tank or on a university campus advancing his or her analytic capabilities in a scholarly atmosphere free from operational pressure. Over several years, the IAF in Digital and Cyberspace Policy

Program will expand the cadre of scholar practitioners who can be expected to play a leading role in shaping and explaining U.S. government cyber policy.

Program Leadership and Personnel

The Program Digital and Cyberspace Policy will be directed by Dr. Adam Segal, Maurice R. Greenberg senior fellow in China studies, director of CFR's cybersecurity and cyberconflict initiative, and project director for CFR's Independent Task Force on digital policy. Dr. Segal has written extensively about cybersecurity in Asia, testified to Congress about Chinese cyber espionage, and is currently writing a book about foreign policy and cyberspace. He will work closely with Stewart Patrick, CFR senior fellow and director of IIGG, with oversight from CFR president Richard N. Haass and James M. Lindsay, CFR senior vice president, director of studies, and Maurice R. Greenberg Chair.

The Program on Digital and Cyberspace Policy will draw on the talents of five other CFR fellows with expertise on cybersecurity and digital policy: Jared Cohen, director of Google Ideas and former member of the State Department's policy planning staff, is an expert on the impact of digital technology on youth and international politics; James Dougherty is a corporate executive with extensive experience in high technology; Richard Falkenrath, former deputy commissioner for counterterrorism, New York Police Department, has written on the tradeoff between surveillance and privacy; Karen Kornbluh, former ambassador to the Organization for Economic Cooperation and Development, helped negotiate World Trade Organization telecommunications agreements when she was at the Federal Trade Commission; and Matthew Waxman, professor of international law and national security law at Columbia University, who writes on the application of the laws of war to cyberspace. These CFR fellows will contribute to the program through their writings, by holding meetings as part of the Digital Revolution and Foreign Policy Roundtable series, and by briefing government officials and journalists.

The Program on Digital and Cyberspace Policy will also hire a new full-time fellow, who will be based in the Washington, DC, office. The new fellow will focus on Internet governance, trade, and Internet freedom issues, contribute to the Digital Revolution and Foreign Policy Roundtable series, and ideally have both a technical and business background. An individual with a deep technical background would complement the expertise of current CFR fellows. The new fellow will be able to explain how new technologies are reshaping cyberspace and help the program develop ties to scientific and research groups such as the Internet Engineering Task Force. These groups have traditionally been outside of the intellectual and policy orbit of CFR, but are critical to Internet governance.

The new fellow's responsibilities will include writing Policy Innovation Memoranda, Council Special Reports, and Expert Briefs on cyber issues; blogging for the new cyber channel; assisting in the production of the Internet Global Governance Monitor and Cyberspace Report Card; participating in the standing working group and public-private workshop; and hosting meetings as part of the Digital Revolution and Foreign Policy Roundtable series.

Dr. Segal will oversee the Program on Digital and Cyberspace Policy with the help of an assistant director. In addition, two research associates, one based in Washington, DC, and another in New York, will provide research, administrative, and clerical support for the program.

Program Review and Assessment

CFR aggressively distributes and markets all of its products to the widest possible audience, including government officials, business executives, journalists, educators and students, civic and religious leaders, and other interested citizens. To ensure that it is fulfilling its mission to reach these diverse communities, CFR places a high priority on rigorous and systematic evaluations of all of its programs and of the performance of all of its fellows. CFR conducts detailed, rigorous, and systematic assessments of the reach and impact of all of its major publications and initiatives, first after six months and then again after twelve months. The data compiled are both quantitative (e.g., number of references or citations to a publication) and qualitative (e.g., praise from policymakers on the quality of a publication). All fellows work on the basis of an annual work plan drafted in consultation with CFR's director of studies and approved by CFR's president. Every fellow files a performance report twice a year with the director of studies, who then meets individually with each fellow to compare his or her progress with the initial work plan. Dr. Lindsay writes a performance evaluation based on these formal reviews, and these evaluations are reviewed in turn by Dr. Haass. This systematic monitoring and evaluation system enables CFR to keep work on track, identify best practices that can be shared more widely within the institution, and revise programs and work effort as needed.

CFR would supplement its standard internal review procedures with an external review of the Program on Digital and Cyberspace Policy along the lines of the one conducted with the IIGG program in 2011. This external review would be initiated at the start of the third year of the grant. CFR would ask two or three outside experts to review the program in its entirety and to provide their best judgment of its strengths, weaknesses, accomplishments, and impact. CFR would use the results of this independent review, which would be shared with the Board of the Robina Foundation, to make any necessary course corrections to the work of the program.

**Council on Foreign Relations
Program on Digital and Cyberspace Policy**

	Total	Year 1	Year 2	Year 3	Year 4	Year 5
Program Management						
<i>Program Management Salaries and Benefits</i>	\$ 2,503,279	\$ 476,241	\$ 488,147	\$ 500,351	\$ 512,859	\$ 525,681
<i>Core Program Staff</i>	\$ 1,914,197	\$ 364,170	\$ 373,274	\$ 382,606	\$ 392,171	\$ 401,976
<i>Affiliated CFR Fellows and Staff</i>						
<i>Research Travel</i>	\$ 592,602	\$ 112,770	\$ 115,574	\$ 118,449	\$ 121,395	\$ 124,415
<i>Research, Database, and Equipment Fees</i>	\$ 129,049	\$ 28,600	\$ 24,190	\$ 24,795	\$ 25,415	\$ 26,050
<i>Sub-total Program Management</i>	\$ 5,139,128	\$ 981,781	\$ 1,001,186	\$ 1,026,200	\$ 1,051,840	\$ 1,078,121
Multimedia/Digital						
<i>Expansion of the Global Governance Monitor, Cyber Tracker, and other subsite operating costs</i>	\$ 783,839	\$ 188,000	\$ 145,325	\$ 147,708	\$ 150,151	\$ 152,655
<i>Sub-total Multimedia/Digital</i>	\$ 783,839	\$ 188,000	\$ 145,325	\$ 147,708	\$ 150,151	\$ 152,655
Events						
<i>General Meetings at CFR (6 per year)</i>	\$ 331,298	\$ 63,100	\$ 64,642	\$ 66,221	\$ 67,839	\$ 69,497
<i>Digital Revolution and Foreign Policy Roundtable Series at CFR (12 per year)</i>	\$ 152,424	\$ 29,040	\$ 29,745	\$ 30,467	\$ 31,207	\$ 31,965
<i>Workshop in California (1 per year)</i>	\$ 153,430	\$ 29,370	\$ 30,012	\$ 30,670	\$ 31,344	\$ 32,035
<i>Digital Revolution and Foreign Policy Roundtable Series offsite (12 per year)</i>	\$ 510,915	\$ 97,200	\$ 99,630	\$ 102,121	\$ 104,674	\$ 107,291
<i>Sub-total Events</i>	\$ 1,148,067	\$ 218,710	\$ 224,028	\$ 229,478	\$ 235,063	\$ 240,787
Publications						
<i>Policy Innovation Memoranda (2 per year)</i>	\$ 35,842	\$ 7,083	\$ 7,125	\$ 7,167	\$ 7,211	\$ 7,255
<i>Council Special Reports (2 per year)</i>	\$ 137,370	\$ 26,500	\$ 26,975	\$ 27,462	\$ 27,961	\$ 28,472
<i>Expert Briefs (6 per year)</i>	\$ 44,153	\$ 8,400	\$ 8,610	\$ 8,825	\$ 9,046	\$ 9,272
<i>Editorial Review (10 publications per year)</i>	\$ 56,768	\$ 10,800	\$ 11,070	\$ 11,347	\$ 11,630	\$ 11,921
<i>Sub-total Publications</i>	\$ 274,133	\$ 52,783	\$ 53,780	\$ 54,801	\$ 55,848	\$ 56,921
Outreach and Communications Activities						
<i>Media Outreach and Marketing</i>	\$ 162,946	\$ 31,000	\$ 31,775	\$ 32,569	\$ 33,384	\$ 34,218
<i>CFR Meetings and Outreach Programs</i>	\$ 262,047	\$ 50,000	\$ 51,175	\$ 52,379	\$ 53,614	\$ 54,879
<i>Sub-total Outreach and Communications</i>	\$ 424,994	\$ 81,000	\$ 82,950	\$ 84,949	\$ 86,997	\$ 89,097
External Review Committee	\$ 45,000		\$ -	\$ 45,000		\$ -
TOTAL DIRECT COSTS	\$ 7,815,161	\$ 1,522,274	\$ 1,507,269	\$ 1,588,137	\$ 1,579,900	\$ 1,617,581
Indirect Costs @15%	\$ 1,172,274	\$ 228,341	\$ 226,090	\$ 238,221	\$ 236,985	\$ 242,637
TOTAL PROGRAM COSTS	\$ 8,987,435	\$ 1,750,615	\$ 1,733,359	\$ 1,826,357	\$ 1,816,885	\$ 1,860,218

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Date: December 29, 2013

Subject: Review of CFR proposal for a Program on Digital and Cyberspace Policy

The Robina Foundation strives to provide funding for programs that have significant impact on important issues. With that in mind, briefly comment on the importance of the project and the issue(s) it seeks to address and respond to the following questions:

1. Does the program described in CFR's proposal have the potential to yield significant new or additional information that will lead to significant impact? If so, how? Is the proposal sufficiently clear about the results and impact sought?

Yes. The proposed CFR program aims to fill a void in research and public-private debate, through a series of meetings, research initiatives, and publications. The focus areas CFR has identified need this kind of research – it is true what CFR says, that the technology and its adoption have outpaced serious policy research and debate over the use of the Internet and the implications of cyber security, conflict, privacy, etc. Research in this area is desperately needed, and CFR is focusing on the right substantive areas. Additionally, I know of few other think-tanks or academic institutions that even have aspirations, let alone the capabilities, to pursue such a research agenda.

All that said, the most important – and needed – aspect of this proposal is the vision CFR has established for its standing expert working group, similar to the one CFR established around the invention of nuclear weapons. I believe it is an appropriate analogy, to compare the current landscape of cyber conflict and emerging cyber weapons to the advent of nuclear weapons and the concept of nuclear war. The world has not yet devoted serious thought to this issue at any level, from how (or whether) to organize, staff, train, and equip military units for cyber conflict, to issues of cyber arms control and confidence-building measures. At the dawn of the nuclear age and the Cold War, policymakers recognized the need for this kind of thinking, and sponsored or participated in such bodies as CFR's working group – the RAND corporation and its founding in Santa Monica is perhaps the best-known model in setting up a multi-disciplinary, devoted panel of experts to figure out what to do with nuclear weapons at every conceivable level of security and foreign policy. CFR aspires to do just this for the cyber age, CFR is the only serious body I am aware of with both the credibility, potential, and access to the needed expertise, and this would fulfill a critical need, and provide a substantial benefit to the US as well as the rest of the world.

2. What are the strengths of the initiative? What in your view does CFR bring to the complex issue that has become a matter of increased focus and concern?

I believe this initiative has three strengths: the substantive areas it focuses on, the process and multiple workstreams and products it has planned, and the experience and capabilities CFR intends to build upon to maximize the value and outcomes of these other two strengths.

CFR has chosen the right issue areas in cyber, as its substantive policy focus for this project: Internet governance, cyber security and conflict, assuring privacy and security with openness and commerce, and understanding the key questions for how policy can influence the evolution of the Internet and its underlying technology to produce good political, social, and economic outcomes. In my opinion, these are the most important issues to understand, in order to achieve that last objective: using a global approach to policy as a means of driving technology, rather than letting technology and parochial policy Balkanization present the US and like-minded countries with a fait accompli, or at the very least a perpetually reactive policy stance.

I believe CFR's plan and proposed process will drive the right kind of research and debate to deliver useful products, helping them to achieve CFR's objectives and meaningfully inform and influence the policy debate around cyberspace. As I mentioned before, the standing expert working group will be a key element, and will distinguish this effort among others. However, CFR's plans for meetings, roundtables, outreach events, and its planned deliverables of reports and policy memoranda, are strengths of this proposal, and hallmarks of how CFR has managed to be so influential in other policy issues.

Finally, an important strength of this proposal is CFR's plan to build upon its previous Task Force on US Policy in the Digital Age, and take advantage of both the community of specialists and the momentum and profile the Task Force built. This will provide a foundation of substance, expertise, and community awareness that will give this project a headstart. It has already established itself as a leader in cyber policy issues, and it can use this standing as an additional strength to compound the effectiveness of its substantive focus and program plan.

This is what CFR brings to this complex issue: experience and expertise exploring some of the harder elements of cyber policy, as described above. A cursory glance at headlines shows these policy issues are far from resolved; CFR has made some headway, but a project like this is needed to continue the debate and drive it to policy solutions. CFR brings the above strengths to focus on these issues, which are only increasing in the variety and depth of risk they present to policymakers.

3. How could the program be strengthened to increase the potential for impact? For example:

- Should the focus be narrowed? Should activities be added?
- Do the people listed in the proposal hold a variety of viewpoints so that final policy statements have credibility with an international audience? Should other people or viewpoints be added?

On its face, this is quite a broad research agenda. However, I don't know which issues can be narrowed or eliminated, without lessening the ultimate impact of the initiative. This was a similar challenge in CFR's Task Force on US Policy in the Digital Age, and it was a challenge that CFR and Adam Segal managed successfully. So I have confidence they will be able to manage such a large and complex scope in this initiative.

The specific personnel, as listed, are not sufficient by themselves to provide the maximum strength and credibility with an international audience; however, this should be remediated with the standing expert working group – a group whose members have not yet been named, but I am confident CFR will continue its trend of recruiting the right people, just as they have in previous initiatives, including the aforementioned task force on digital policy. Assuming the right population of this working group, this initiative will have the right mix of expertise and viewpoints.

4. Does CFR have any strategic advantage in this field? Are other organizations conducting similar work? Are there opportunities for CFR to collaborate with those or other organizations and should they be considered?

CFR has three strategic advantages: its convening power, its access to the right expertise in cyber issues and peripheral issues related to this initiative, and its momentum and foundation established by its task force on US policy in the digital age. CFR's proposal clearly lays out a promising plan to take advantage of all three of these strategic advantages. No other academic institution has either these advantages or the aspirations to acquire them. Only one other institution – the Atlantic Council through its Cyber Statecraft Initiative – is on par with CFR in its expertise and momentum; AC lags slightly behind CFR in its convening power, but has deeper reach into European and Asian institutions that have a voice and previous work in these issues. I would encourage CFR to collaborate with the Atlantic Council on this initiative. There is sufficient difference in the research agendas of these two institutions that such collaboration would be mutually beneficial, rather than unnecessarily duplicative, and Atlantic Council's reach into Europe would combine well with CFR's international credibility and convening power. Carnegie Mellon University is a notable source of technical expertise on cyber security, but lacks expertise and focus on policy. Otherwise, I am familiar with most think tanks working cyber issues, and CFR and the Atlantic Council are the only two that I believe are pursuing an innovative, useful, and inclusive policy agenda, leading thought and debate rather than following it.

5. What are the barriers to the success of the initiative? If the initiative is successful, what outreach or communication beyond what CFR normally does would be advisable?

The foremost barrier to the success of this initiative is time and skills. This is an important set of issues, and if CFR is not quick, others will tackle the issues and occupy the time of the experts needed to succeed. If the initiative is successful, it will partly be due to the outreach and communications strategy and capability that CFR already affords to initiatives of this scale – I see this as part of their convening power and part of their strategic advantages for an initiative like this; no more process is needed. One suggestion on scope however: CFR should expand its outreach beyond the US to Europe, Asia, Latin America, and the Middle East, in workshops and events leading up to deliverables, and in the presentation of final findings. The cooperation of industry and governments in those regions will be necessary to realizing the full potential of this initiative.

6. Are there specific financial considerations that stand out in your review of the proposal budget?

Per my recommendation for events overseas: that will add an additional 15-20% to the Events budget.

7. What additional advice or comments would you give to CFR and the Robina Foundation?

My opinion is this initiative should go forward, and that the Robina Foundation will yield what it hopes to gain from a grant.

For their event participants and their experts group, I recommend significant participation by people with operational and technical experience and expertise. The experience of hackers will be critical to the success of this project. By this, I don't mean faux-technologists whose credentials are limited to being under 40 and associated with big-name technology corporations. I mean people (at any age – youth is not a discriminator) who have lived and breathed the hacker culture, and who also possess hacker skills. Hackers are in one class of operators: so are CIA case officers, FBI special agents, corporate forensic investigators, military officers, private-sector cryptanalysts, attorneys with litigation experience in cybersecurity or data privacy issues, NSA analysts, software coders, and other corporate and government specialists who have personally experienced the difference between theory and practice, and have had experience working high policy and strategy while tactically practicing the art of the possible. The CFR task force on US policy in the digital age had a good mix of this kind of expertise; I think that model should be applied to this broader initiative. For every policy expert who has never had a job in operations or technology development, there should be at least two who have. The reason is because the distance between policy aspirations and technical reality closes very quickly in this space, faster than policy processes can adapt, and this program needs people with experience in this policy pace.

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Date: January 31, 2014
To: Penny Hunt, Executive Director, Robina Foundation
From: Bob Boorstin
Re: Council on Foreign Relations Program on Digital and Cyberspace Policy

Following is my response to your request for a review of the CFR proposal. I have responded to the seven questions posed and added additional ideas and information where appropriate. In the interests of full disclosure, please note that I was a member of the recent CFR task force on *Defending an Open, Global, Secure and Resilient Internet* and that my views are heavily colored by seven years spent in the Washington D.C. office of Google.

Summary

This is an ambitious and important proposal that is well worth funding, both because of the Council's influential role in forming U.S. foreign policy and because of the relative dearth of knowledge about Internet policy. As noted, the Council's convening power and reach into policymaking circles is unmatched, which means that any recommendations ought to be seriously considered by U.S. policymakers. And three of the products outlined – the new “rules of the road,” the Cybersecurity Tracker and the Internet Governance Global Monitor -- would be outstanding contributions for experts and the public alike.

The success of the Program, however, will weigh largely on input from many regions and sectors, its ability to adapt to ongoing changes in technology, and developments on the Internet governance front in the U.S. and abroad. To maximize the Program's impact, I would suggest:

- Expansion of the input the Program receives, particularly from non-U.S. actors and non-traditional actors who exercise disproportionate influence in Internet circles. The program pledges to achieve its objectives in part by “bringing together critical voices from across the political and intellectual spectrum.” The proposal also rightly posits that the era of U.S. control over the Internet is over. In order to succeed, therefore, the Program must reflect that reality in everything it does. Any international rules proposed or policy recommendations will be disregarded if the products are perceived as wholly driven by U.S. experts and officials. To win real credibility will require going beyond the excellent idea of cooperation with the foreign think tanks (see page 10) to include government officials, business, NGO and academic representatives from around the world. The Program would profit greatly, for example, by seeking from input from entrepreneurs in Estonia (perhaps the best national model for Internet policy), Israel (an extraordinary base for entrepreneurs) and Indonesia (on the brink of making fateful decisions for its diverse population).
- A serious attempt to come to grips with the dilemma of achieving the right balance between national security and the protection of privacy/free expression. As uncomfortable as it may be, this is topic number one among U.S. IT businesses and civil

society as well as foreign governments in the aftermath of the Snowden revelations. The Program, taking as its starting point the findings of recent U.S. and European task forces, ought to address basic questions including: How can the U.S. square its outspoken support for "Internet freedom" with the NSA's activities? How should the U.S. treat the privacy of foreign citizens? How do we best ensure cooperation between governments and the private sector in an era when individuals and rogue groups have the potential power to seriously damage our ability to communicate, transact business and defend ourselves?

- A much stronger emphasis on mobile technology and policy regarding devices such as smartphones, particularly the impact of geotracking technology. The proposal mentions mobile telephony only a few times, despite mobile's dominant position as the pathway to the Internet. In addition, focusing on companies like Google, Microsoft and Facebook and giving short shrift to those who control access to the Internet -- including giant telecommunications companies that were controlled by governments until recently -- would leave a tremendous gap in any attempt to formulate new rules of the road that protect the privacy of citizens in the U.S. and abroad.
- Efforts to ensure that in reaching the goal of providing "new rules for cyber war and cyberconflict" the Program does not get trapped in the dominant, sometimes unhelpful, military framework surrounding cyberspace. The proposal -- in keeping with the Council's Task Force report -- recognizes the unprecedented nature of the challenges posed by the Internet and notes with accuracy that they are "even more tangled than the nuclear age." The Program must guard against the current tendency to fall back on prescriptions for U.S. policymakers that do not take into account the power of the private sector and civil society. A redefinition of trade goals and agreements in the Internet era is just one topic that needs to be explored.
- A commitment to outsource and provide additional resources for the creation and maintenance of the Governance Monitor and the Cybersecurity Tracker. The Program should seriously consider developing and maintaining these websites/tools outside the Council; there are excellent academic/policy centers (particularly the Citizen Lab at the Munk School of Global Affairs, University of Toronto) that have the experience, expertise and international reputation to develop the Tracker. Trying to reinvent the wheel would be a waste of the Council's time. As noted below, the current budget seems inadequate to ensure that the Tracker and Monitor are constantly updated and maintained.
- Moving outside the Council's usual comfort zone to develop products that will not only be useful but also grab people's attention in the U.S. and abroad. This might require cutting down on some of the usual papers (page 13) in order to produce online-friendly projects that better reflect the issues studied and have the potential to educate a wider public. Some ideas:
 - Development by the Council of so-called "massive open online courses" -- similar to those popularized at Stanford and elsewhere -- with an international faculty providing virtual lectures and Q&A sessions on Internet governance, cybersecurity and other topics.

- CFR sponsorship -- in conjunction with a university or think tank -- of a biannual course on Internet policy for new Members of Congress and new Administration appointees (something modeled on the Harvard Kennedy School's general course on the legislative process). The proposal notes, accurately, that most policymakers have at best a "faint grasp" on Internet policy.
- A comprehensive proposal for a new U.S. service academy -- a West Point for geeks, if you will -- that would allow the government to draw in the best young talent by offering tuition support in return for later public service. The Council Program could demonstrate the need for the academy, draw up a curriculum, and develop the best case for financing.
- Cooperation with a venture capitalist, entrepreneur or Silicon Valley executive to produce a popular documentary film that raises awareness about these issues, much as "An Inconvenient Truth" educated the public about climate change. Imagine a partnership with Jeff Bezos that would include the film, cross-promotion via clips on Amazon and websites like the Council's, and articles in The Washington Post.

Questions

1. Potential to yield significant new or additional information that will lead to significant impact?

This is the hardest question to answer because of the phrase "significant impact." There are many factors that might limit the impact of even the most realistic and trenchant recommendations: the speed of technological change; the outsized influence of the private sector; the sorry history of previous attempts to govern the Internet; and the fact that other countries may have more say than the U.S. in determining the medium's future. Expectations should be carefully calibrated; officials and activists in Beijing, Brasilia and Delhi will be highly suspicious of any recommendations coming from any organization seen as representative of the U.S. establishment.

The proposals authors state "The program's aim is to generate tangible and practical policy recommendations that will shape U.S. policy as well as the emerging global rules and norms of cyberspace, educate policymakers and the broader public about the broader challenges and opportunities created by the digital revolution, and nurture a generation of experts who understand the complexities of the digital age."

These are achievable goals, provided the CFR produces materials that take into account important international viewpoints, represents business and civil society, and establishes itself as an unbiased source.

The best chance for impact on policymakers will come through the Working Group and development of "rules of the road" for the Internet age. For technical experts, the Council can establish its credibility and extend its influence through the Governance Monitor and Cybersecurity Tracker. For the public at large, impact will come through the kind of products that reach beyond those currently described in the proposal.

2. Strengths. What does CFR bring to the complex issue?

CFR's primary strength lies in its power to harvest the opinions of the best minds and most original thinkers and then to transmit concrete recommendations to those who can make a real difference. This will prove particularly useful in assembling the high-level Working Group, whose work will rise or fall on the commitment and influence of its members. In addition, CFR Fellows identified in the proposal represent a good, if geographically limited, cross-section of people with knowledge of discrete areas of the IT sector and Internet policy.

A prime strength of the proposal is the involvement of Adam Segal, who has proved to be an excellent asset for CFR in his work on Internet and China policies. Adam's abilities -- particularly his skill at bringing together different parties to negotiate compromise positions when necessary -- should prove valuable.

CFR's commitment to conducting an external review of the program also adds strength to the proposal.

3. How could the program be strengthened to increase the potential for impact?

As recommended above, the Program should stress inclusion of more voices from outside the United States, as well as additional representatives of the business and civil society sectors. The proposal rightly asserts that CFR's "nonpartisanship and independence give it unequalled trust among government, private sector and civil society constituencies." This is undoubtedly true in most sectors of foreign policy but the Internet and its impact, as the proposal points out, are very different. Particularly in the post-Snowden era, the U.S. government -- and institutions like the Council that are rightly or wrongly seen as part and parcel of the Establishment -- have lost a great deal of credibility. Bending over backward to be inclusive will be required.

More specifically, the Program should consider early visits to Western European capitals, Brasilia and Delhi to hear firsthand the current state of thinking overseas and to demonstrate its commitment to including non-American voices; then it should publish and widely distribute the findings of that tour. The Program should also consider changes to the International Affairs Fellowships to allow for inclusion of non-Americans and people outside the categories of "academic/technical expert" and "government official." This would be an excellent area to include an entrepreneur or activist who understands the development and impact of tech incubators.

For recommendations on how to increase the Program's impact among a wider public, please see the final bullet point in the Summary above.

- Should the focus be narrowed? Should activities be added?

Four products -- the rules of the road as drafted by the Working Group; the Governance Monitor; Cybersecurity Tracker and one product aimed at a wider audience -- seem to have the greatest potential to contribute to genuine progress, fill necessary gaps in knowledge and break through the clutter. The Council might do well to sacrifice some of the short papers and the blog outlined in the proposal (page 13) as well as thinking twice about publishing products such as the Cyberspace Report Card that have the potential to be seen as negative and arbitrary, rather than constructive contributions to the debate.

As above, additions that enable the Program to cast a wider net and gather more diverse points of view should be considered.

- Do the people listed in the proposal hold a variety of viewpoints so that final policy statement have credibility with an international audience? Should other people or viewpoints be added?

The viewpoints represented by the people listed in the proposal are not sufficient to generate credibility internationally. If the Program's aim is to influence U.S. policy alone, however, then it need not take serious steps to include foreign perspectives and policy recommendations. See answers to questions 3 and 4 for suggestions that might increase credibility.

4. Does CFR have any strategic advantage in this field? Are other organizations conducting similar work? Are there opportunities for CFR to collaborate with those organizations and should they be considered?

CFR's has three distinct strategic advantages in undertaking this Program: (1) its convening power (which extends overseas because of the Council's reputation; (2) its access to the most influential policymakers in the U.S. Executive and Legislative branch as well as EU governments (key developing countries such as India, Brazil and Indonesia will require far more work); and (3) its ability to present itself to important U.S. constituencies as a neutral party. This last advantage is particularly critical in a field where there are deep divisions and strongly held opinions on almost every issue. If CFR can succeed in bringing together the wide range of constituencies -- as it largely did in the 2012-13 Task Force -- it will perform a valuable service. Although other organizations in the U.S. and abroad are conducting research and assembling policy proposals, none of them (to my knowledge) is as ambitious or comprehensive as the proposed Program, particularly the attempt to devise broad new rules of the road. Academic organizations and NGOs are conducting research and generating policy recommendations, of course. They include the think tanks listed on page 10 of the proposal; the Citizen Lab at the Munk School of Global Affairs at the University of Toronto; Harvard's Berkman Center for Internet & Society; and the Center for Studies on Freedom of Expression and Access to Information at Palermo University in Buenos Aires. Institutions such as the U.S. Institute of Peace (PeaceTech Initiative), the Center for Strategic and International Studies, New America Foundation (Open Technology Institute), the Center for Democracy and Technology, and the Global Network Initiative are also producing worthwhile studies and policy papers.

In addition, the Program should become familiar with the Swedish and Dutch government initiatives on establishing international Internet policies; more than two dozen governments are involved. Continuing efforts by the Internet Governance Forum and UN bodies like the International Telecommunications Union to redefine international rules for the Internet demand careful study.

There are numerous opportunities for CFR to collaborate with these organizations and programs, from drawing personnel into the Working Group and inviting them to participate in Council sessions to seeking specific recommendations in specialized fields. As noted above, the Council should seriously consider outsourcing the design and maintenance of the Cybersecurity Tracker to the Citizen Lab in Toronto. It is one of a handful of institutions that come to the table with credibility based on a history of producing first-rate reports; it has the added advantage of being based outside the U.S.

5. What are the barriers to the success of the initiative? If the initiative is successful, what outreach or communication beyond what CFR normally does would be advisable?

The major barrier to the initiative's success are (1) general global distrust in Internet policy recommendations generated by U.S. sources; (2) potential failure to include in every step of the process the viewpoints of non-Americans, the private sector and civil society groups; (3) too great a focus on questions of cyber war and national defense; (4) attempts to undertake work, particularly technical work, that is better off outsourced to respected, skilled partners; and (5) sticking to conventional ways of educating policymakers and the public and promoting the Program's recommendations.

The second question seems illogical, as I believe that outreach and communication "beyond what CFR normally does" will in part dictate the success of the initiative (and certainly the goal of educating "the broader public.") This is because of the nature of the issues, the many audiences that must be addressed, and the speed of technological change. While CFR's traditional methods of communications -- as outlined on pages

13-14 -- will reach the think tank and policymaking crowd, they will not be seen by a wide swath of people with large followings among technology "power users" (the people who care about these issues and are in a position to influence others).

6. Are there specific financial considerations that stand out in your review of the proposal budget?

It's hard to offer an opinion without a greater knowledge of how the Council structures these programs. Experience in funding initiatives aimed at developing global Internet policy recommendations and websites leads to two observations.

- The budget for multimedia/digital seems far too small. While the Governance Monitor should not be overly complicated, the Cybersecurity Tracker could prove an enormous task, depending on how it is defined, the incidents included, etc. If the aim is to produce the definitive source -- something that's certainly needed -- then it will cost a great deal more to maintain than is currently budgeted. As part of this budget, I would include a salary for a full-time employee (perhaps in the form of an ongoing fellowship) with the sole job of launching and maintaining these sites. The speed of change, the number of incidents and the difficulty tracking them make this task very difficult.
- The budget for travel seems low as well, particularly if the Program is serious about including foreign voices and -- as the proposal indicates -- sending representatives to international meetings. Meetings of the ITU and IGF are not only long but have in recent years been held in the Middle East, Central Asia and Southeast Asia. There will also need to be time spent talking with EU officials and think tanks in Brussels and elsewhere.

7. Additional advice or comments.

See Summary above.

From: Penny Hunt <pennhunt@gmail.com>
Subject: Robina Foundation
Date: February 9, 2014 at 1:09:24 PM CST
To: "James M. Lindsay" <JLindsay@cfr.org>
Cc: Nancy Gilberg <ngilberg@robinafoundation.org>

Hello Jim –

My apologies for the slight delay in providing you with guidance on the next step in the Robina Foundation's consideration of CFR's request for funding to support the *Program on Digital and Cyberspace Policy*.

Board Members and I have benefited greatly from the input we received from Neal Pollard's and Bob Boorstin's written reviews and from my conversations with Jonathan Zittrain, Sam Palmisano and Urs Gasser. (I have attached notes from those phone conversations. In addition, Steve Lewis and I are scheduled to speak with Larry Kramer on February 19.)

From the beginning the Robina Board has been interested in this initiative, but needed time and expert input to learn more about the field, how a CFR initiative could impact policy issues and the most promising ways to do that. Our process to date has heightened our interest, so we want to make sure we move the Foundation's consideration of funding forward in the most effective, productive way.

Our reading of the reviews and other input has led us to the conclusion that the initiative as proposed will benefit from re-thinking on the part of CFR and perhaps a redesign of the initiative. For example: both Pollard and Boorstin emphasize the need for broader input and involvement, particularly from non-Americans; several reviewers urge CFR to move beyond its usual reports and conferences; Boorstin suggests outsourcing some of the work; all stress the need for greater collaboration.

Given the thought and time CFR has already spent on the proposal, you may be tempted to simply add a few elements to address issues outlined by reviewers. We hope you will do more than that. It seems to us that the experts we consulted suggest some fairly fundamental rethinking of the aims, collaborators, and products of the initiative. Their enthusiasm for the initiative seems to rest in part on an expectation that some redesign will occur. We would like to understand whether CFR sees the same potential from some rethinking.

Time is short before your discussion with the Robina Board on March 4, but we hope that you and others at CFR will be willing to draft a memo outlining your reaction to our view that the proposal needs to be rethought and perhaps redesigned, including what you think would be part of a redesign of the initiative. We are not asking CFR to redesign the initiative at this point; rather, your memo would form the basis for a conversation with the Board as to next steps for both CFR and Robina.

I indicated earlier that we have asked that pre-reading material for the Board Meeting be submitted by February 18. Given the nature and importance of the memo we are requesting, you may need more time. Your memo could be submitted as late as February 26 for transmittal to Board Members electronically in advance of the meeting.

I hope this approach makes sense to you. I know you are tied up this week with the CFR Board Meeting, but I would be happy to talk about this at any time that is convenient for you.

Warm regards,

Penny

INFORMATION FROM TELEPHONE DISCUSSIONS

Following are comments of interest made by Jonathan Zittrain, Harvard Law Professor and cofounder of the Berkman Center for Internet & Society; Urs Gasser, Harvard Law Professor and Executive Director of the Berkman Center; and Sam Palmisano, former CEO of IBM. The three expressed different and sometimes differing views.

General Comments

Optimum time for a major initiative to address cyberspace policy. Coordination and synthesis are needed.

CFR well-positioned to lead initiative because it has the ability to convene, provide and sell unbiased, thoughtful ideas to form policies and positions. Open access on the Internet is threatened. Someone needs to take the lead to keep the Internet open and to prevent discussions from being mired in the moment by providing independent, intellectual arguments that are fact-based to influence policy and trade agreements.

Government agencies and others in the political arena lack technical skills. National security agencies and technical organizations have technical skills, but not policy skills so they work on technical issues in a vacuum, without taking policy and legal issues into consideration. Currently too much of a disconnect between people doing research and policy makers who can take action.

Capacity building aim of the program is important.

Biggest threat now is in the economic and private sectors, rather than in the military.

Analogy with work done in the nuclear area doesn't work: the "players" in the nuclear area were known; players in the cyber area are very diffuse. CFR can make recommendations, but will have to do more to have an impact. Unlike nuclear area, there are fewer opportunities for tangible impact evidenced by adoption of policies by government.

Great need to educate policy makers.

In the privacy area, solutions will come from computer scientists, who will need lawyers and others to translate the technology into policies.

Budget

Very aggressive: budget for "program core staff" seems very high.

Travel budget is high.

Recommendations

Key will be involvement of people from Silicon Valley and social media companies – i.e. technical people. Also need to involve people from the computer science departments in universities working in this area.

CFR's ability to bring together people from various sectors would have great value if CFR takes existing work to the next level and makes it more accessible. New research and a new program are not key – the need is to connect existing programs and research. Coordination and the building of new alliances among research institutions would be the key. There is currently an international global network working on internet governance and collaborating on research and policy.

Conferences aren't needed unless they build on the work of previous conferences.

Working group needs to include a technical person who can relate to Silicon Valley as well as representatives from government agencies. Adam Segal is excellent at research, but needs strong support from a technical person.

CFR should do more than publish numerous reports. Needs to think creatively about how to engage the general public and policy people in issues.

Data needs to be shared broadly.

Field is moving very quickly: CFR needs to be nimble and work quickly.

Opportunities exist to partner with others who have already developed data.

Need to work with technology people in new ways.

Mapping of the field could be helpful.

Participation by social scientists is important.

COUNCIL *on* FOREIGN RELATIONS

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February 25, 2014

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

Dear Penny,

Thank you again for sharing the reviewers' assessments of the proposal the Council on Foreign Relations (CFR) submitted to the Robina Foundation for the Program on Digital and Cyberspace Policy. The reviews were thorough, fair, and helpful. We appreciate the effort you put into commissioning them. As you requested, I am writing now to share our thoughts on the advice the reviewers offered.

We are delighted by the reviewer's enthusiasm for the Program on Digital and Cyberspace Policy. The reviewers all endorsed the program's three foundational premises: ⁽¹⁾there is a pressing need for serious and sustained thinking about the rules that should guide and govern the digital world; ⁽²⁾that thinking must go beyond narrow cybersecurity issues to grapple with tough questions about internet governance, the role of the private sector and civil society, and privacy rights; and ⁽³⁾that CFR is uniquely positioned to conduct the necessary intellectual work, convene critical constituencies, disseminate ideas, and spark global discussions. As you might imagine, we were pleased to read that now is the "optimum time for a major initiative to address cyberspace policy" (telephone summary), "CFR is focusing on the right substantive areas" (Neal Pollard), and "the Council's convening power and reach into policy making circles is unmatched" (Robert Boorstin).

In addition to praising the proposal's fundamental thrust, the reviewers offered thoughtful comments on the steps the Program on Digital and Cyberspace Policy should take to maximize the impact of its work. Those comments fall into three broad clusters of advice: ⁽¹⁾involve a broad range of experts and actors in the program's work; ⁽²⁾craft deliverables that will engage policymakers and the broader public; and ⁽³⁾look for opportunities to collaborate. We agree with all three suggestions; indeed, they guided the writing of the proposal, and they reflect what CFR seeks to do in all its work.

Involve a Broad Array of Experts and Actors

Neal Pollard highlighted the importance of "significant participation by people with operational and technical experience and expertise." The telephone summary also noted the importance of including

technical experts, urging CFR to involve “people from Silicon Valley and social media companies—i.e., technical people” and “to work with technology people in new ways.” Robert Boorstin offered a broader view, recommending that the program “stress the inclusion of more voices from outside the United States, as well as additional representatives of the business and civil society sectors.”

CFR seeks in all of its projects to draw expertise from across the range of affected constituencies. Indeed, both Boorstin and Pollard explicitly praised the CFR Task Force on Digital Policy for doing what they recommend: involving a diverse array of expertise and opinion. The Program on Digital and Cyberspace Policy was conceived with just this aim in mind. This is perhaps most obvious with the emphasis the program places on involving technical experts. As Pollard noted, a critical aspect of the program is its standing expert working group. Craig Mundie, former senior adviser to the CEO and chief of research and strategy for Microsoft, will be chairing the working group, which will include high-level former U.S. government officials, business executives, academics, scholars, entrepreneurs, and activists. A preliminary meeting of working group was held this month (see the attached roster).

CFR is also committed to involving technical experts in the program’s day-to-day activities. The proposal calls for hiring a fellow with a deep technical background to complement the expertise of current CFR fellows. At the same time, the proposal envisions awarding two International Affairs Fellowships (IAFs) each year for outstanding young experts to address digital and cyber-related issues. One of those fellows would likely be a technical expert who would spend the fellowship year at CFR. CFR is also working to develop relationships with the hacking and academic communities. Jeff Moss, a former hacker and founder of the DEFCON and BLACKHAT hacker conferences, was a member of the CFR Task Force on Digital Policy and will likely participate in CFR’s digital and cyber work.

It is equally important, as Boorstin pointed out, to involve foreign voices in the Program on Digital and Cyberspace Policy. On that score, it is worth noting that foreign leaders and experts regularly speak at CFR’s general meetings and roundtable meetings because it is the premier venue in the United States for discussing foreign policy issues. In the past year alone, cyber experts from the European Union, India’s Data Security Council, and Kaspersky, the Russian cybersecurity firm, have participated in CFR events.

Boorstin further recommended that CFR fellows visit foreign capitals “to hear firsthand the current state of thinking overseas.” The good news is that they are already doing that. To take one example, Adam Segal, who directs the program, has in the past two years visited Brazil (twice), India, Germany, China, and Estonia to interview representatives of NGOs, academia, government, and business about U.S. policy, Internet governance, and cybersecurity. In April he will visit Israel, and in May he will return to Germany. The other fellows who will participate in the program also spend considerable time overseas discussing digital and cyber issues with foreign officials, business leaders, and experts.

CFR will look to expand these connections and develop new avenues of international cooperation as the program moves forward. One obvious and terrific opportunity is the Council of Councils (CoC), which the Robina Foundation generously helped launch. The think tanks that belong to the CoC are influential voices in their home countries; many of them have more extensive and intimate relations with their governments than is the case in the United States. The 2013 Annual Conference included a panel on Internet governance, which featured presentations from scholars from the Center for European Studies and the Getulio Vargas Foundation of Brazil. Future meetings will likely also

include discussions on digital policy. Just as important, host governments now see CoC regional meetings as a way to communicate their policy preferences to others, and particularly to the United States. The recent CoC meetings in Rome, Mexico City, and Sydney all featured participation by host government officials.

Another possible avenue for soliciting and sharing ideas from overseas is for the Program on Digital and Cyberspace Policy to host a high-level dinner series for EU, Indian, Brazilian, and other foreign government officials and corporate leaders who visit CFR. Such dinners would enable influential overseas voices to share their ideas and perspectives with their U.S. counterparts in a small, off-the-record setting.

CFR will also use events funded outside of the Program on Digital and Cyberspace Policy to solicit foreign voices. For instance, digital policy was a topic at the U.S.-UK dialogue that CFR convened last fall in London in cooperation with Britain's Chatham House, and it will be on the agenda for the U.S.-German dialogue CFR is convening in Berlin in May with Stiftung Wissenschaft und Politik (SWP), Germany's leading foreign policy think tank. Similar events will likely be scheduled in the future in other countries that are influential in digital policy.

Pollard recommended that the Program on Digital and Cyberspace Policy hold more events overseas. For the reasons just discussed, more events are not needed during the research stage. It is a fair point, however, that the program should do more to present its findings overseas. Such events would also, to anticipate the discussion below, create opportunities to connect with other organizations working on digital issues. Expanding outreach overseas would, as Pollard noted, require increasing the events budget by up to 20 percent. *

Craft Deliverables That Will Engage Policymakers and the Public

The reviewers understandably stress pursuing activities that can move the governmental debate and public discussion. Pollard wrote that "CFR's plan for meetings, roundtables, outreach events, and its planned deliverables of reports and policy memoranda, are strengths of this proposal, and hallmarks of how CFR has managed to be so influential in other policy issues." The telephone summary cautioned against doing only conferences and reports, arguing that "conferences aren't needed unless they build on the work of previous conferences." The summary added: "CFR should do more than publish numerous reports. Needs to think creatively about how to engage the general public and policy people in issues." Boorstin stressed the importance of "moving outside the Council's usual comfort zone to develop products that will not only be useful but also grab people's attention in the U.S. and abroad. This might require cutting down some of the usual papers...to produce on-line friendly projects that better reflect the issues studied and have the potential to educate a wider public."

Written products constitute a core deliverable of the Program on Digital and Cyberspace Policy. As Boorstin noted, detailed and incisive written analysis has been a hallmark of CFR's success over the years. And here the suggestion in the telephone summary that new research is not needed misses the mark. What is exciting and challenging about digital policy is that so many of the issues are new, and experts have yet to grapple with the challenges they pose. At the same time, much of what is old hat to experts is new to government officials and the public. For that reason, there is considerable benefit to

producing CFR Expert Briefs and Backgrounders. These primers provide crisp and focused analysis of major issues, and they are widely used in college courses.

The reviewers are right that written work, however well done, cannot be the sole deliverable of the Program on Digital and Cyberspace Policy. Innovative products that engage publics in the United States and abroad are essential. Some of the specific ideas Boorstin offered would require much greater financial investments than the grant envisions even as their prospects for success are unclear. Massively open online courses (MOOC's), for instance, can cost more than a \$1 million to set up, and as universities are learning, the results frequently fall far short of expectations. Documentaries are even more expensive and similarly high risk; most go unnoticed. Boorstin's suggestion for a new cyber service academy looks to be an idea for the program to propose rather than a project for it to run.

But there remain numerous innovative steps the Program on Digital and Cyberspace Policy can and will take to produce work with broad appeal. The most obvious ones are the proposed Cybersecurity Tracker (CST) and Global Governance Monitor (GGM). CFR has rolled out several such interactive products over the past several years with great success. As the Robina Board knows, the GGM's nine installments have attracted nearly 300,000 visitors, won numerous awards, and been adopted in courses around the world. The upgraded version of the GGM that debuted this month is now fully searchable and viewable on mobile devices, which will expand its audience further. CFR's preventable vaccine map received more than a half million unique visits in January 2014 alone, while CFR's Nigeria Security Tracker has a devoted following in Western foreign ministries and among human rights groups. The Center for Preventive Action's Global Conflict Tracker, which debuted last month, has already become a go-to site for people around the world looking to understand the dynamics driving conflicts world-wide.

The Program on Digital and Cyberspace Policy will use the lessons learned from these interactives as it develops its interactive strategy. As Boorstin noted, the program could do much more on the interactive and data visualization front if the budget for such activities were increased. It would likewise be helpful, as Boorstin suggested, to hire a full-time person to launch and maintain the program's interactives.

Besides the CST and GGM, the program will produce videos as part of CFR's broader "Three Things to Know" franchise. These three-to-five minute videos reflect the same intuition that drives Boorstin's recommendation about documentary clips. The videos assess pressing topics in the news by mixing expert interviews with photos, film clips, and graphics. The videos are posted on CFR.org and are frequently re-posted by other websites around the world.

The proposed cyber channel is another critical avenue for reaching the public. For the past decade, CFR.org has regularly posted the work of CFR fellows *and* the best work being done elsewhere, including at other think tanks. That strategy has made CFR.org first-stop shopping for people interested in foreign policy. The cyber channel would take the same approach to the same end on digital policy. Highlighting non-CFR work on digital policy would offer three mutually reinforcing advantages. First, it would draw more visitors to the website because there is more material to view. Second, it would confirm the Program on Digital Cyberspace Policy's role as an honest broker, thereby lending legitimacy and credibility both at home and abroad to CFR's work. Third, it would help forge and strengthen cooperative relations with other organizations working on digital policy.

The cyber channel would also constitute a critical part of the program's dissemination strategy, both in the United States and with foreign officials and publics. (Nearly 40 percent of visitors to CFR.org come from overseas.) Material that appears on CFR.org is regularly re-posted on major media outlets such as CNN.com, theAtlantic.com, and Forbes.com. CFR works continually to expand the list of media sites that regularly re-post CFR content, and the program will be looking specifically at developing relationships with major websites devoted to digital issues.

The Program on Digital and Cyberspace Policy will also exploit opportunities to present its materials and findings to government officials in innovative ways. While it may not make sense to duplicate what Harvard's Kennedy School has done with its biannual course for new members, CFR would consider running a "cyber boot camp" for congressional staff since they are critical in writing, analyzing, and explaining much of the legislation on Capitol Hill. Such an initiative would require additional funding; the exact amount would depend on the program's size, duration, and location. Even without such an additional activity, the program will participate in CFR's Congressional Program, which pursues a variety of outreach activities on Capitol Hill, including tailored briefings for members and staff, on critical issues.

Look for Opportunities to Collaborate

The reviewers offered numerous suggestions for collaborations with specific partners. As CFR has not yet spoken with any of these organizations to gauge their interest in collaborating, it is premature to assess the merits of specific suggestions. That said, the general point holds, the Program on Digital and Cyberspace Policy should work with other organizations where it makes sense. Little is gained by reinventing the wheel or taking on tasks that can be better done by others.

That recognition has guided the Program on Digital and Cyberspace Policy from the start. One of the program's first public events was a conference co-sponsored with the Cyber Conflict Studies Association and the Atlantic Council. In 2013 CFR worked with Google Ideas to hold a two-day summit on conflict in a connected world, and, for the last two years, Dr. Segal has participated in the Cyber Dialogue held at the Munk School of Global Affairs, University of Toronto. The membership of CFR's standing expert working group draws on the expertise of people from different backgrounds and with different expertise. The program anticipates that its roundtable meetings and workshops will bring together experts from a variety of organizations, create opportunities to forge new collaborations, and as a result, deliver the kind of "coordination and the building of new alliances among research institutions" that the telephone summary suggested. For instance, the program will almost certainly cooperate with, and feature the work of, the Global Commission on Internet Governance, which is co-sponsored by Chatham House in London and the Centre for International Governance Innovation (CIGI) in Waterloo, Ontario. Chatham House and CIGI are both members of the CoC, and CFR has a long history of working with both organizations that predates the CoC.

The Program on Digital and Cyberspace Policy is also actively seeking to work with other organizations that have greater technical capacities than CFR. The program is now engaged in discussions with a CFR Corporate member to have the firm build and host the Cybersecurity Tracker. As the program moves forward in developing its web offerings, it will consult with the Citizens Lab/Munk School given its extensive experience with data visualizations. The standing expert working group gives CFR an on-the-ground presence on the West Coast, which enables the program

Ms. Penny Hunt
February 25, 2014
Page 6

to identify potential collaborative opportunities with the business, academic, and technical communities there. Finally, CFR has been discussing with the Information Systems and Internet Security laboratory at NYU-Poly and the Cybersecurity Center at Columbia's Institute for Data Sciences and Engineering about possibly creating internships and conducting joint programming.

I realize I have gone on too long. For that, I ask your forbearance. We are excited about the importance of the work we are proposing on digital policy and the potential impact it could have. As the reviewers noted, CFR's impartiality, convening power, and scholarly standards give it an unequalled opportunity to shape U.S. foreign policy on a set of poorly understood issues that are critical to America's future. We are pleased that the reviewers agreed that we have selected the right substantive questions to focus on and that no other organization is as well-positioned to address them. We take to heart the reviewers' advice that the program should involve a wide array of voices, dare to be innovative in its products, and look for potential collaborators that can amplify its impact. We are delighted by the Robina Foundation's deep interest in the proposal, and we look forward to working with Board members to produce a truly transformational program.

Warmest regards,

A handwritten signature in cursive script that reads "James M. Lindsay". The signature is fluid and elegant, with a long horizontal flourish at the bottom.

James M. Lindsay
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and Maurice R. Greenberg Chair
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jlindsay@cfr.org

Digital Standing Expert Working Group

Menlo Park, California

February 20, 2014

12:00pm - 2:00pm

Participants

I

Michael R. Abbott

Kleiner Perkins Caufield & Byers

Laurene Powell

Emerson Collective

Larry Brilliant

Skoll Global Threats Fund

Don Proctor

Cisco Systems Ltd.

Larry Diamond

Hoover Institution

Scott D. Sagan

Stanford University

Megan Garcia

The William and Flora Hewlett Foundation

Elliot J. Schrage

Facebook

Gordon M. Goldstein

Silver Lake Partners

Peter Schwartz

salesforce.com, inc.

Richard N. Haass

Council on Foreign Relations

Adam Segal

Council on Foreign Relations

Laura C. Hill

Council on Foreign Relations

Raj Shah

Morta Security

Sean Joyce

PricewaterhouseCoopers LLP (PwC)

Kavitark R. Shriram

Sherpalo Ventures LLC

Anthony P. Lee

Altos Ventures

Jonathan Spalter

Mobile Future

Annie Maxwell

Skoll Global Threats Fund

David Tennenhouse

Microsoft

[Craig Mundie] Tech.
Microsoft

Jerry Yang
AME Cloud Ventur Yahoo

12-15 Core People
Invite others

LifeCourse: Late Life Supportive Care (LLSC)

Request for 2015 Transition Phase Funding

Overview

We request \$3.99M in funding for the 2015 Transition Phase of LifeCourse in order to better prepare our team, system, and partners for a multi-arm trial in 2016 through 2018. The detailed budget can be found in Appendix A. The Transition Phase is geared toward enabling us to:

- 1) Understand more fully our experience in Phase I, especially given the complexity of the model and the patient population;
- 2) Enhance relationships between statewide and local payers, providers, and community-based organizations; and
- 3) Conduct feasibility tests of adjustments to the existing model.

Components

Deepen Our Understanding

We will spend concentrated time in 2015 focused on expanding our understanding of the impact of the LifeCourse intervention on patient and KFF (key family and friends) quality of life and care experience. We will also have amassed substantial utilization and cost data and will be able to explore the utilization patterns for patients enrolled in LifeCourse as compared to similar patients not enrolled. In addition, we will be able to more fully evaluate the effect of participation in the LifeCourse model on the healthcare team members who are part of this work. Most importantly, we will be able to connect each of these data sources to the timing and specific deployment of components of the model so that we can understand the unique impact of component parts on outcomes of interest. Each of these examinations will allow for better preparation for the multi-arm trial in Phase II.

Enhance External Relationships

A large part of the work of LifeCourse is about social engagement. As one of our National Advisory Committee members (Howard Epstein, MD, Chief Health Systems Officer with the Institute for Clinical Systems Improvement) says, 'New models of care are about changing systems, but they're also about creating demand and modeling the new experience for patients and families.' As part of that effort, we will extend existing relationships with our external partners, as well as initiate partnerships with key statewide organizations, other provider groups, and payer organizations, in an effort to more rapidly enable a change in social context. Specific activities include:

- Extension of our Twin Cities Public Television (tpt) and Ampers, diverse radio for Minnesota's communities, relationships; *15 ind. radio stations*
- Extension of our Walker Methodist and Augustana Care Centers relationships; *across the state*
- Addition of a relationship with Presbyterian Homes;
- Addition of a relationship with the University of Minnesota Law School;
- Partnership with statewide advocacy organizations, including Act on Alzheimer's, the Alzheimer's Association, the Minnesota chapters of the American Cancer Society and American Heart Association;

*Ampers - Assoc. of MN Public Education
Radio Stations*

- Linking to the Minnesota Department of Health and the Minnesota Department of Human Services;
- Convening provider roundtables to foster dialogue with HealthPartners, HealthEast, Fairview, Hennepin County Medical Center, and major community-based clinics and federally qualified healthcare centers;
- Convening payer roundtables to foster dialogue with Medica, HealthPartners, BlueCross BlueShield of Minnesota, UCare, and PreferredOne; and
- Key individual dialogues with significant policymakers at the state and federal level.

Test Feasibility of Adjustments

As a companion to the above activities, we will engage in 8 unique feasibility tests of adjustments to the LifeCourse model. We believe these tests are critical to enabling a transition to the multi-arm trial in Phase II, are instructive regarding future scalability of the model, and allow us to better understand the ways in which the LifeCourse model can be adjusted to fit into the context of other healthcare organizations and other communities. Below we briefly describe each of those tests:

- 1) **Stratification:** Prospectively stratify patients and KFFs based upon potential resource utilization and disease trajectory/risk. Use a combination of existing best-in-class tools for stratification (including, but not limited to, the Edmonton Symptom Assessment Scale, the Mini-Cog, the Dementia Services Screen, and a Frailty Index). Enroll 90 patients/KFFs in a prospective stratification process, testing three different short tools to understand their ability to distinguish between patient/KFF needs and resource utilization.
Key Takeaway: Determining best stratification approach to differentiate patients/KFFs.
- 2) **Team Training & Support:** Partner with an existing care team at an Abbott Northwestern outpatient clinic (e.g., Virginia Piper Cancer Institute) and offer training in the LifeCourse approach, ongoing self-care and wellbeing support for the existing team, and troubleshooting advising. Enroll 30 patients/KFFs receiving care from this team after initial training and during the ongoing support period.
Key Takeaway: Understanding initial impact of training and support of current care teams on patients/KFFs.
- 3) **Care Guide Deployment:** Embed a LifeCourse care guide into three existing care teams across clinical service lines and primary care. Potential care team partners include our extant long-term care partners (Walker Methodist, Augustana), service line partners (Minneapolis Heart Institute Heart Failure Clinic, Virginia Piper Cancer Institute), and Allina Medical Clinic primary care. Enroll 30 patients in each of these care teams with an embedded care guide.
Key Takeaway: Understanding initial impact of embedded care guide on patients/KFFs.

- 4) **Honesty Conversation:** Engage in a one-time 'honesty' conversation with patients and their KFFs to improve understanding of condition, trajectory, and potential impacts and downstream care decision points. Enroll 30 patients/KFFs in a structured conversation with the care guide, based on documented information from providers. The conversation will conclude with a standard communication output to patient/KFF and primary care provider. Enroll an additional 30 patients/KFFs in a conversation with the care guide and primary care provider in tandem. Focus on cardiovascular conditions (including heart failure), dementia, and common advanced illnesses faced by patients of primary care providers.
Key Takeaway: Understanding initial impact of honesty conversation on patients/KFFs
- 5) **Geographic Intensive:** Deploy the full LifeCourse model in a micro-geographic area (i.e., few blocks within a zip code) in order to fully build out personal relationships with the key community assets that are necessary to support patients and families during this time (including, but not limited to, the faith community, local social service agencies, local public health, housing supports, and other community-based organizations). Enroll 30 patients and their KFFs in this micro-geography.
Key Takeaway: Developing model for building micro-community relationships.
- 6) **Large Panel Size & Tightly Constrained Model:** Enroll 45 patients and their KFFs with a single LifeCourse care guide who is enabled to employ a narrowly defined intervention protocol (e.g., disease specific advance care planning, other specific shared decision-making conversations, appropriate resource/partner matching). Support this LifeCourse care guide with the standard LifeCourse interdisciplinary clinical team.
Key Takeaway: Understanding initial impact of large panel size on patients/KFFs.
- 7) **Small Panel Size:** Enroll 20 patients and their KFFs with a single LifeCourse care guide who is enabled to employ any of the LifeCourse components depending upon patient/KFF needs. Support this LifeCourse care guide with the standard LifeCourse interdisciplinary clinical team.
Key Takeaway: Understanding initial impact of small panel size on patients/KFFs.
- 8) **Technical Expansion of ACP (Advance Care Planning):** Enable the launch of an on-line platform for patients and family members to complete advance care planning. This is a critical technical gateway for further technology-enabled support of the LifeCourse model. Enroll 45 patients and their KFFs in the use of this technological platform for advance care planning.
Key Takeaway: Initial technological scaling for LifeCourse.

Where appropriate, patients and KFFs will be invited to complete our standard quality of life and care experience data collection instruments. *Total number of patients targeted for enrollment in feasibility tests: 410 (plus all key family and friends identified and enrolled).*

Timeline

Upon receiving authorization to proceed with this request, we will build a high-level operational plan in the 2nd quarter of 2014, finalize this plan in the 3rd quarter, and hire/train staff and plan for launch in the 4th quarter.

Budget Request

We request \$3.99M in funding for the 2015 Transition Phase of LifeCourse. The budget requirements for 2015 will stay consistent with the 2014 run rate to adequately implement and evaluate the feasibility tests 1-7. (See appendix A for full budget detail compared to 2014 budget).

In order to implement test 8 – the technical expansion of ACP – we propose to use \$300,000 of the remaining unused funds from Phase 1 (a total of \$597,562). We will use these funds to purchase the necessary online technology for electronic ACP in 2014. Purchase in 2014 will enable technology implementation to occur in preparation for the 2015 test.

Respectfully submitted,

Eric W. Anderson, MD, Principal Investigator

Appendix A

Approved 2014 budget		Proposed 2015 budget	
PERSONNEL	2014	PERSONNEL	2015
Care Team		Care Team	
Team Admin Assistant	\$36,000.00	Team Admin Assistant	\$36,000.00
RN	\$83,000.00	RN (2)	\$166,000.00
Social Worker	\$56,773.00	Social Domain clinician (2)	\$113,546.00
Marriage & Family Therapist	\$60,838.33	Family Domain clinician	\$60,838.33
Primary Care Providers	\$18,000.00	Primary Care Providers	\$18,000.00
Pharmacist	\$96,000.00	Pharmacist	\$96,000.00
Chaplain	\$50,470.00	Psych/spirit Domain focused clinician	\$50,470.00
Care Guides (9)	\$600,000.00	Care Guides (8)	\$550,000.00
Palliative Care Medical Director	\$19,000.00		
Care Team Management		Care Team Management	
Clinical Project Mgr	\$99,000.00	Model Project Manager/Process Impr	\$100,000.00
Clinical Mgr	\$96,820.00	Clinical Mgr	\$96,820.00
Research Team		Research Team	
PI	\$126,000.00	PI (.4)	\$85,000.00
Co-PI	\$92,000.00	Co-PI (.8)	\$92,000.00
Co-PI	\$50,400.00	Co-PI (.4)	\$50,400.00
Project Director: Kim Radel	\$89,600.00	Project Director	\$100,000.00
Research Manager	\$96,000.00	Research Manager	\$96,000.00
Research Coordinator	\$50,000.00	Research Coordinator (2)	\$100,000.00
Senior Scientific Advisor	\$92,000.00	Senior Scientific Advisor	\$92,000.00
Senior Nurse Researcher	\$44,500.00	Senior Nurse Researcher	\$98,000.00
Data Analyst	\$71,764.00	Data Analyst	\$71,764.00
Data Analyst	\$29,549.50	Data Analyst	\$71,764.00
Admin Assistant	\$26,202.63	Admin Assistant	\$50,000.00
Project Coordinator	\$95,000.00	Clinical Project Coordinator (2)	\$100,000.00
Admin Project Coordinator	\$33,490.00	Admin Project Coordinator	\$33,490.00
Process Improvement Manager	\$105,000.00	Design (25%)	\$21,250.00
Design	\$42,500.00		
Technical & Analytic Support		Technical & Analytic Support	
Clarity Reporting	\$15,994.20	IS Project Manager	\$100,000.00
Health Informatics Specialist	\$18,204.80	Health Informatics Specialist	\$18,204.80
Communications/Marketing	\$25,000.00		
Learning & Development	\$15,000.00		
Benefits @ 29% of above	\$647,714.54	Benefits @ 29% of above	\$715,588.67
University of MN Advisors	\$320,000.00	University of MN Advisors	
Doug Wholey		project coord/RA support at the U of MN	\$50,000.00
Katie White		Katie White (20%)	\$16,000.00
T and N Shippee		T and N Shippee (10% each)	\$20,000.00
Research Assistant		Research Assistant	
PERSONNEL TOTAL	\$3,301,821.00	PERSONNEL TOTAL	\$3,269,135.80
ADDITIONAL COSTS		ADDITIONAL COSTS	
Partners/Consulting Resources		Partners/Consulting Resources	
tpt Partnership	\$216,720.00	Media: tpt, MinnPost, Ampers)	\$250,000.00
MinnPost/other media	\$150,000.00	Patient & Caregiver Advisory Council Stipends	\$1,000.00
Patient & Caregiver Advisory Council Stipends	\$1,000.00	PCAC representation	\$5,000.00
PCAC representation	\$5,000.00	Walker Methodist	\$15,000.00
Walker Methodist	\$30,000.00	Augustana	\$12,000.00
Augustana	\$12,000.00	C-TAC/CAPC	\$25,000.00
C-TAC/CAPC	\$25,000.00	National Advisory Committee Meetings (2x/yr)	\$36,500.00
National Advisory Committee Meetings (3x/yr)	\$73,000.00		
Aspen Advisors	\$50,000.00		
U of MN RAs	\$10,000.00	U of MN Ras (8-10 MPH & MHA)	\$240,000.00
Education/Training		Education/Training	
Payment to Outside Vendors	\$15,000.00	Payment to Outside Vendors	\$15,000.00
Internal Training Expense	\$35,000.00	Internal Training Expense	
Other		Other	
Mileage	\$130,000.00	Mileage	\$25,000.00
Resource Materials Development	\$20,000.00		
Printing	\$10,000.00	Printing	\$10,000.00
Training/Conferences	\$50,000.00	Training/Conferences	\$25,000.00
Food	\$15,000.00	Food	\$15,000.00
Furniture & Equipment	\$20,000.00	Furniture & Equipment	
Research Support - IRB	\$35,000.00	Research Support - IRB	\$35,000.00
Technology	\$50,000.00	Technology	
Transcription of Research Data	\$20,000.00	Transcription of Research Data	\$20,000.00
Total Additional Costs	\$972,720.00	Total Additional Costs	\$729,500.00
TOTAL FOR YEAR 2014	\$4,274,541.00	TOTAL FOR YEAR 2015	\$3,998,635.80

1. Brief Project Summary

A Supportive Care Approach for Patients Late in Life: Creating a sustainable model of systematic care to improve the experience of patients, their families, and caregivers.

Background: The reason for this initiative

Individuals living with chronic illness in its later stages confront some staggering challenges:

- They and their families are often at a loss when seeking support within the U.S. healthcare system.
- Those who receive services enter a fragmented system in which the task of coordinating one's own care, or that of a loved one, is often overwhelming.
- Clinicians lack standardized, reliable systems to integrate late life supportive care services into primary care and other settings.

Goals

LifeCourse will build and test a person-centered approach that addresses these fundamental challenges. If successful, the trial will demonstrate the ability of this new care model to:

- Reliably address patients' and families' wishes and goals, reflecting the needs of the whole person,
- Improve overall quality of life for patients and families,
- Improve the care experience of individuals and their families,
- Lower total costs of care as shared decision-making leads to more informed care decisions,
- Improve utilization of hospice while avoiding undesired hospital admissions, and
- Improve job satisfaction of doctors, nurses, and other team members.

The LifeCourse Model

Relationship is at the core of the intervention provided. All aspects of personhood, including physical, emotional, spiritual and social are explored with the individual and family within their cultural framework. As the relationship is formed and maintained, the LifeCourse team engages individuals and their caregivers to realize their goals and receive the kind of care that honors their wishes and values.

Implementing the LifeCourse Model invokes a set of organizing activities (the "Active Ingredients") that shape care:

- **Attending to Whole Person:** Recognizing and integrating all domains of personhood for patients and their family members. Also, emphasizing the importance of whole person care to those who deliver care.
- **Storytelling:** Seeking to understand the experiences of patients and their family members over time. Using stories to understand and communicate what matters most.
- **Individualized Planning:** Enhancing and complementing existing care plans, tailoring them to what matters most to patients and their family members. Reinforcing important messages from other providers.
- **Collaborating:** Communicating and partnering in service of what matters most to patients. Engaging patients and their families to become partners in their care.

- **Normalizing:** Making space for difficult conversations with patients, their family members, providers, and the general public. Giving language to the work of living with serious illness, to open doors for personal growth and new social policies.

Implementation: The team on the ground

The interdisciplinary team includes nine trained care guides, a nurse, social worker, spiritual care provider, licensed marriage and family therapist, and pharmacist.

- The care guide and participant meet for an initial visit. A first set of goals is agreed upon.
- The care guide brings the results of the visit to the LifeCourse team, and a plan for meeting the goals is established.
- Through continued personal visits, the care guide works with the participant and family, coordinating with other health care and supportive services.
- Clinical experts from the LifeCourse team advise the care guide and participate in regular team conferences. They also provide direct care to participants on an occasional basis.
- Each domain (spiritual, physical, and so on) is addressed during course of care.
- The primary provider is kept in the circle of communication. Updates to providers include the participant's goals and values.

Study Design

- The first (pre-pilot) phase will enroll 15-30 patients, predominantly from our long term care partners. The pilot phase begins in spring 2013, enrolling 250-500 patients, predominantly living outside long term care.
- Participants will be identified using the electronic medical record with a diagnosis of heart failure, dementia, or stage 3 or 4 cancer.
- Our referral sources are Abbott Northwestern Hospital and its hospital-based clinics, the Minneapolis Heart Institute, Virginia Piper Cancer Institute, Walker Methodist in Minneapolis, and Augustana Care Center in Minneapolis.
- Participants and family caregivers will be enrolled and take baseline surveys. They will receive follow up surveys every three months. Progress towards participant-defined goals is recorded regularly for use by the care team and for research analysis later.
- The business model will incorporate global costs of care, time analysis of the team's work, and defined cost avoidance, such as exchanging time in the hospital for time in hospice care.

Timeline

- January-October 2012 and ongoing: model development
- October 2012-May 2013 Pre-pilot phase, 15-30 participants
- June 2013-December 2014 Pilot phase, 250-500 participants

2. Summary of 2013 LifeCourse Activities

Pilot Enrollment (Goal: 150 by end of year 2013)

By the end of 2013, 150 study participants plus their key family and friends (KFFs) were enrolled into the LifeCourse pilot. 32 of the participants live in a long term care facility, either Walker Methodist or Augustana Care. The remaining 128 participants live on their own in the community, including independent housing and assisted living.

Eligibility Report

Determining disease stage and prognosis from information in the electronic health record (EHR) proved challenging. Through an iterative process, a series of auditable triggers were identified indicating that the person may be 'sick enough' to be in the last few years of life. Using these triggers, we determined that about half of the patients appearing on the computer-generated list were eligible for the study. One hour of nurse chart review time was required for each patient who ultimately enrolled.

Education and Training

LifeCourse education and training continues to focus on seven competencies: clinical judgment, advocacy and ethics, professionalism, systems thinking, communication, culture, and facilitators of learning. These competencies are realized using the corresponding behaviors and skills of advanced illness management, reflective practices, narrative interviewing, coordination and collaboration, advance care planning and shared decision-making. Continued refinement of learning materials is an ongoing activity that incorporates advanced illness messaging with a blend of didactic, experiential, technical, and adaptive learning.

Training has now been tested with an interdisciplinary group (care guides and clinicians), a discipline specific group (care guides), and an individual team member (social worker). To support ongoing skill and competency development, quarterly education conferences are held. Future efforts for education and training will focus on efficiency of training and building competencies over time. These efforts anticipate the need to train subsequent teams as LifeCourse is disseminated.

Staffing

The LifeCourse care team is fully staffed for phase one and the transition phase of the project. Currently there are 14 care team members including 9 care guides and 5 clinicians (registered nurse, social worker, marriage and family specialist, chaplain and pharmacist). Over the course of 2014 we expect to maximize case load capacity for each team member to test the model. Care guides will carry a patient load of approximately 30 patients.

Critical positions have been added to the research and operational teams:

- A research coordinator and two student research assistants have been added to manage the volume of enrollments over the course of 2014 and the expected high volume of data gathering through participant and KFF (key family and friend) surveys.
- A clinical coordinator has been added to support the management of the operational and process improvement activities.

Model Development

The LifeCourse model has evolved to a stable foundation around three key concepts. The first is the Palliative Care **Domains of Personhood**, a broad lens through which we know participants and their families. The second concept is **Guiding Principles** (such as 'Know me', or 'Respect me'), which describe the ways individuals have asked us to engage with them as partners in care. The third is **Active Ingredients**, (see page 1)—those key activities and organizing ideas that structure our daily work. In turn, these ingredients serve the Institute for Healthcare Improvement Triple Aim of improving the individual care experience, improving the quality of work and the lives of those who provide it, and addressing the societal issues of affordability and acceptance.

Business Model

As participants enroll into the LifeCourse pilot, cost and service utilization data is being collected via the electronic health record. Allina's value analytics team has created a dashboard for us to analyze LifeCourse utilization data for participants with BlueCross BlueShield of Minnesota, Health Partners, or CMS Pioneer Accountable Care Organization insurance coverage. A full description of cost and service utilization will be available after the completion of the pilot phase.

Collaboration and Partnerships

National Advisory Committee (NAC)

Two NAC meetings were held in April and October. Both meetings were productive. We were alternately supported, prodded, and questioned. Among the highlights:

- LifeCourse could have a catalytic effect in other integrated models, such as nursing home or advanced disease management service lines.
- Care guides are at risk of boundary issues.
- If the intervention can be geographically concentrated, will there be a catalytic effect within that area, further integrating multiple community providers?
- How do we titrate down the intervention for those with more resources?
- Move away from patient activation (something we do) to engagement—true partnering with participants and families.
- Creating demand for patient-centered care without system reform will fail.
- The term "Goals" does not resonate with patients. Use "What matters most," or, "What we can do together."
- Setting goals may be as important for maintaining quality of life and care experiences as actually meeting goals.

These comments have been considered and many already acted upon. In addition, Dr. Richard Payne from Duke University agreed to join the group mid-year; he will attend his first meeting in March 2014.

Twin Cities Public Television (TPT)

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

The TPT LifeCourse documentary will be comprised of six "Late Life" episodes. A dozen patients, some with their families and some with their health care professionals, have been interviewed, along with LifeCourse care team members. The first documentary, which is titled – "Late Life: Redefining Care," will focus broadly on the complexities and challenges of caring for people with serious, late life conditions.

LifeCourse and TPT will be hosting a Premiere Screening Event on March 4th to bring awareness to the community and to offer an opportunity for community and leadership interaction as we begin to address the many facets of living with advanced illness. Invitees

to the event include: Chief Medical Officers of the Minneapolis/St. Paul healthcare systems, state policymakers, LifeCourse National Advisory Committee members, LifeCourse Patient and Caregiver Advisory Council, Abbott Northwestern Foundation Board members, and a variety of other key community leaders.

Late Life: Redefining Care premieres on TPT2 on March 18th. A video link will be sent to the Robina Foundation board members at that time.

Additional Media Partners

In late 2013, we kicked off new partnerships with MinnPost and Ampers. MinnPost, a nonprofit, nonpartisan enterprise whose mission is to provide high-quality journalism for news-intense people who care about Minnesota, will be writing a yearlong occasional series of articles on late-in-life medical care and related issues. Ampers, an association of 15 independent community radio stations in Minnesota, is the largest network of community radio stations in the state of Minnesota and one of the largest of its kind in the United States. Each station is locally managed and programmed by and for the local communities they serve. LifeCourse will be partnering with Ampers to promote the TPT documentaries as well as to engage in a conversation about late life care with diverse communities through community dialogues.

Manuscripts

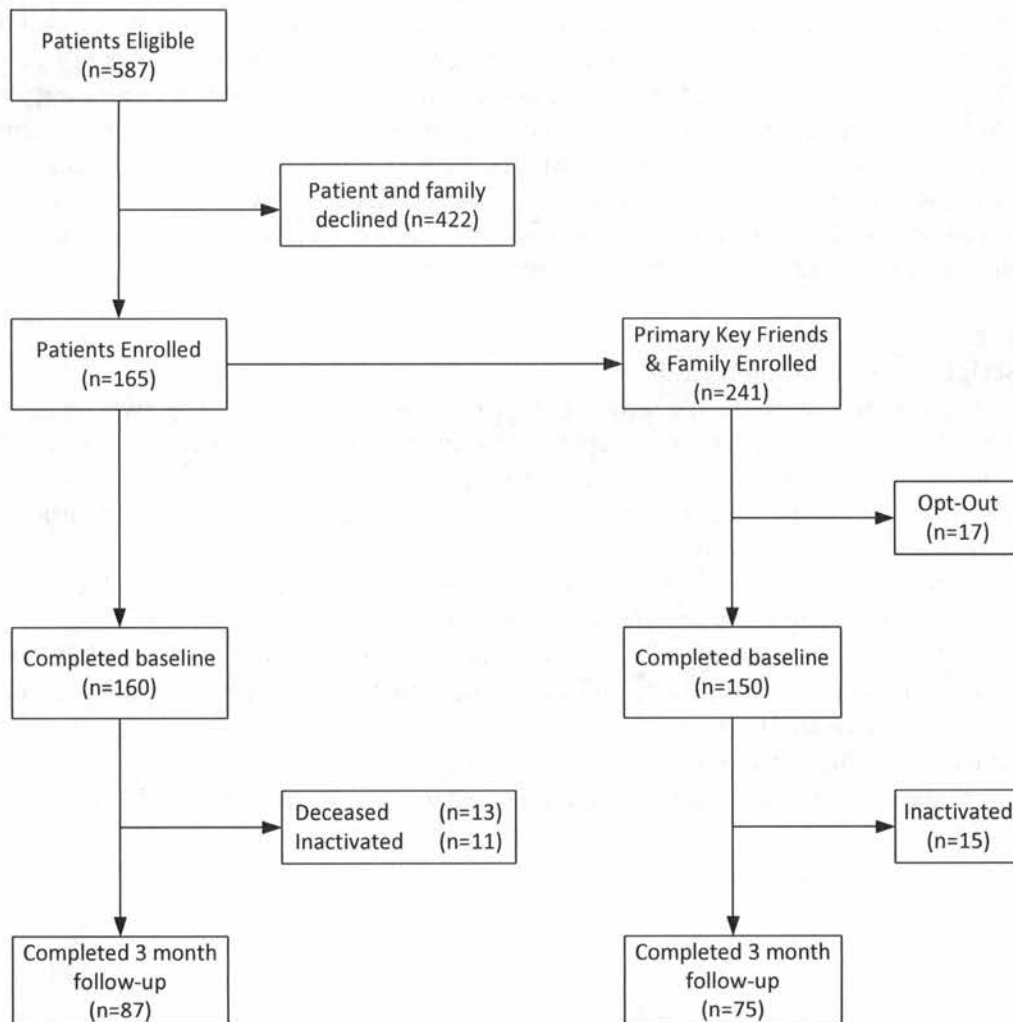
Key manuscripts in preparation include:

- Standing on the shoulders of giants: Combining best practice, peer-review, and user-defined perspectives to define a late life supportive care intervention, *Journal of Palliative Medicine*;
- Development and implementation of a research and evaluation approach aimed at understanding the deployment and effect of a late life supportive care intervention, *Contemporary Clinical Trials*;
- Using teams to revise approaches to late life care: Conceptualizing team, selection and training of team members, *American Journal of Hospice and Palliative Care*;
- Role definition within an interdisciplinary team: How to best assign the work between and among licensed and non-licensed supportive care team members, *American Journal of Hospice and Palliative Care*;
- Active ingredients of a late life supportive care intervention, *Journal TBD*; and
- Story and its evolution in a late life supportive care intervention, *Journal TBD*.

Initial Data

Below we describe early data from patients and key family members and friends (KFFs). These data include demographics of enrolled participants, quality of life indicators, care experience, and the work of the care team.

As of January 31, 2014, 165 patients and 241 primary KFFs are enrolled in the LifeCourse program. 13 patients died prior to their 3 month follow-up date, and 11 patients have been inactivated at their request. Of the KFFs enrolled, 17 have been opted-out due to lack of participation, 150 have completed their baseline assessment, and 15 were inactivated.

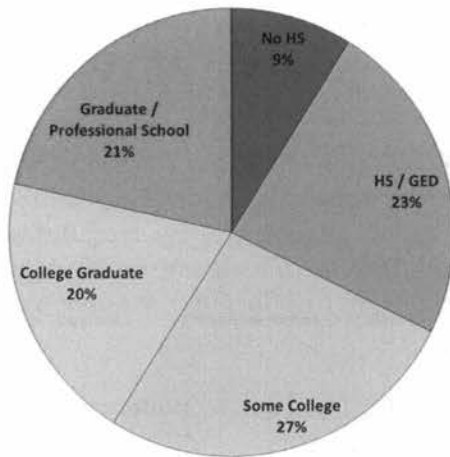


Demographics

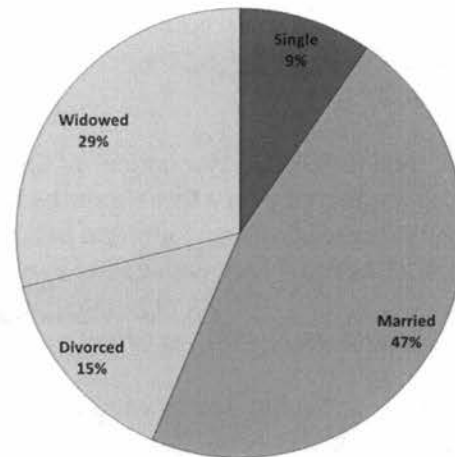
Patients

The average age of patients is 80 ± 12 years, 46% are female, 82% white, and 64% have an advance care directive. Pioneer Accountable Care Organizations (ACO) patients make up 22% of our participants. Patient primary enrollment diagnosis indicates 69% have heart failure, 16% dementia, and 15% cancer; 5% of patients have multiple inclusionary diagnoses at opt-in.

Patient Education



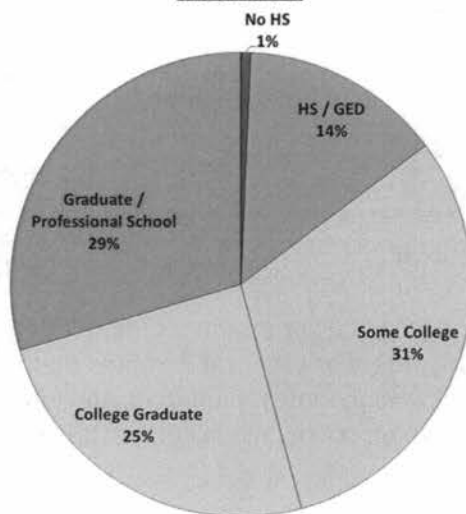
Patient Marital Status



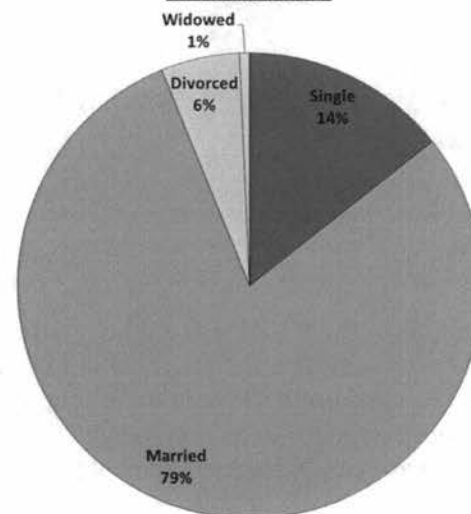
Key Family Members and Friends (KFFs)

The average age of primary KFFs is 64 ± 14 years. A large majority of the KFFs are female (70%), 38% live with the patient, 91% are white, and a comparable proportion are either employed full-time (36%) or retired (34%). When asked about their frequency of contact with the patient, 53% responded that they have daily contact, 32% weekly, and the remaining 15% monthly or yearly. One of the more interesting characteristics is the KFFs' relationship to the patient—35% are spouses, 38% are children, and the remaining 23% are siblings, parents, in-laws, friends, or other types of relative or non-relative.

KFF Education



KFF Marital Status



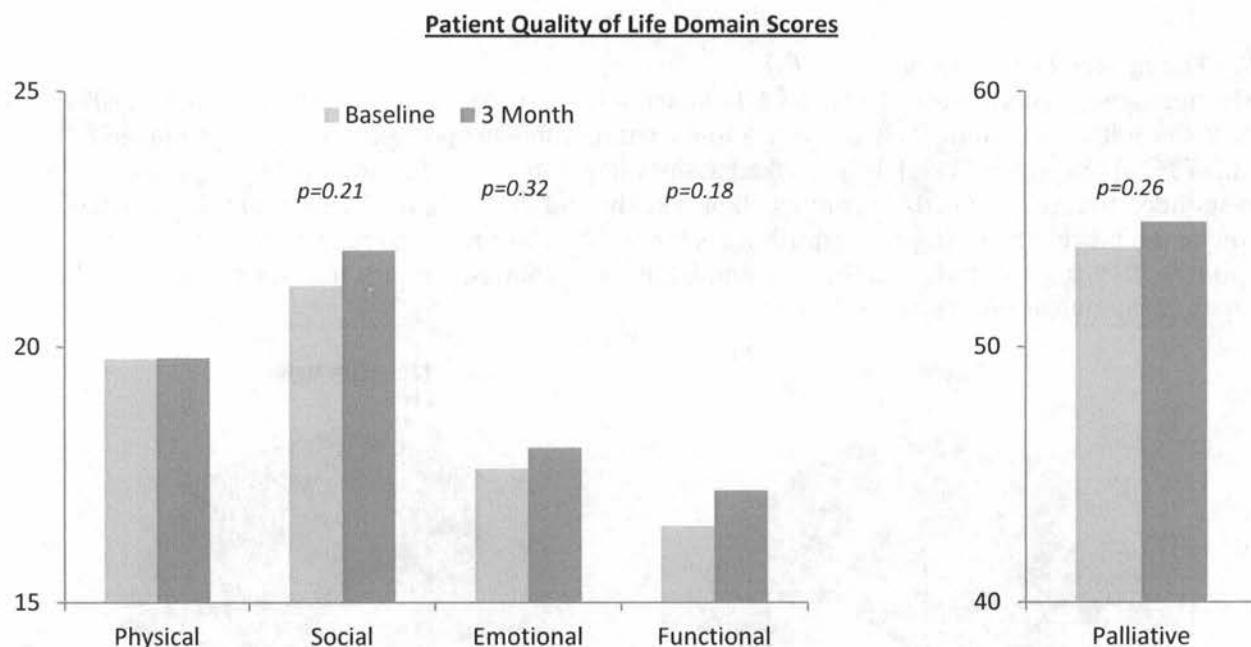
Quality of Life

As part of LifeCourse, standardized and validated quality of life (QOL) data are being collected from all participants and from their KFFs in order to identify areas where the intervention sustains, improves, or slows the declining trajectory of QOL.

Patients

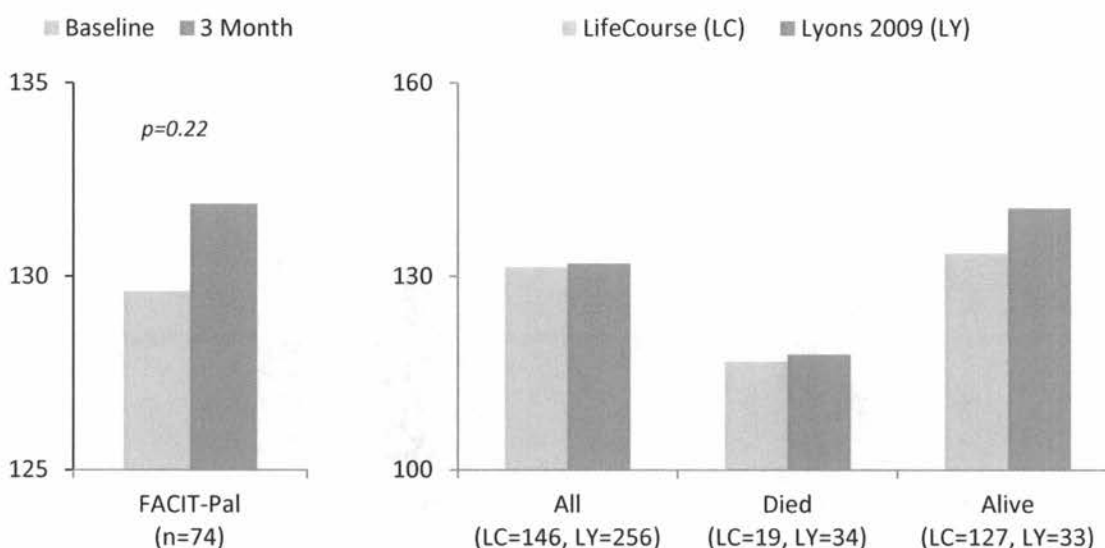
For patients, the Functional Assessment of Chronic Illness Therapy—Palliative Care version (FACIT-Pal) is measured every three months from enrollment through immediately prior to death. Where possible, patients are encouraged to complete the survey on paper themselves. But when necessary, patient proxies are engaged to complete the tool. *This instrument addresses a number of important aspects of QOL, including physical wellbeing, social/family wellbeing, emotional wellbeing, functional wellbeing, and palliative care.*

The graphs below show the domain and total scores for the FACIT-Pal among patients who responded at both baseline and 3 months.



For all domains of the FACIT-Pal, higher scores are indicative of better quality of life. While we do not expect to see significant changes this early in the study, there are several domains that seem to be trending toward improvement including the functional, social/family, palliative, and emotional domains. There appears to be no change in the physical domain scores when comparing baseline to 3 months, as expected for these types of patients.

Patient Quality of Life Total Scores

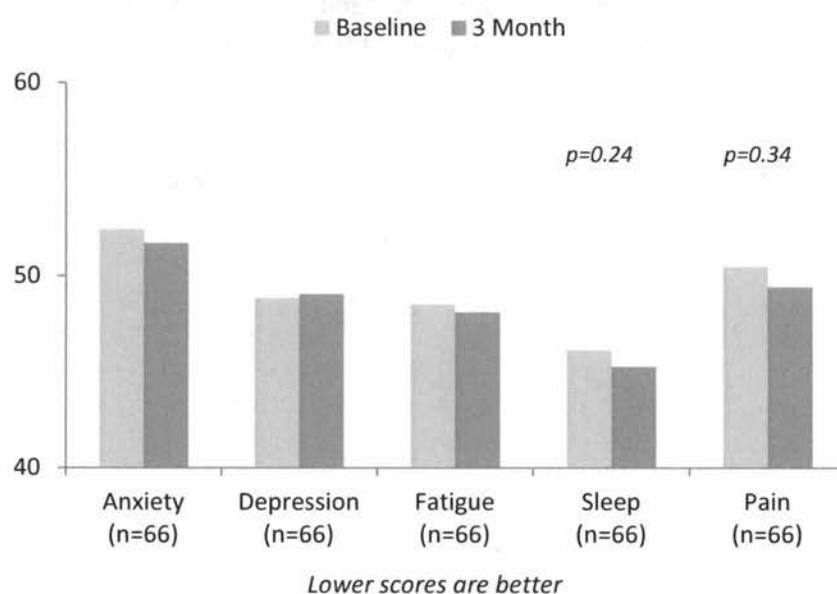


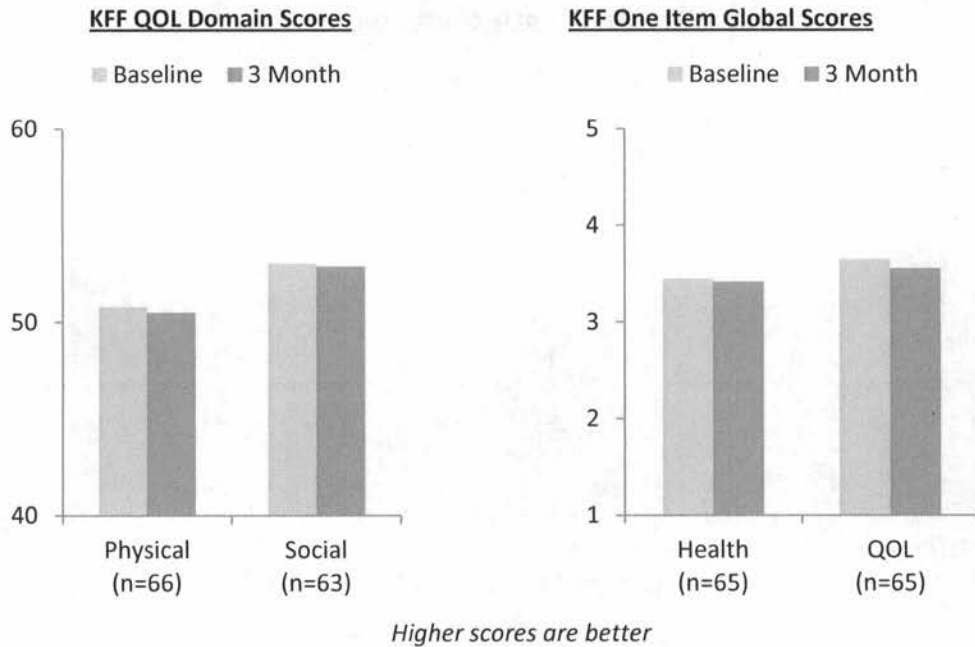
Three months into the study the FACIT-Pal total score (an overall measure of quality of life for patients late in life) is beginning to show a modest increase (baseline=129.6; 3 month=131.9). When we compare LifeCourse's total QOL score to a similar study (Lyons 2009), we find comparable values across *all* participants and *also* when grouped into those who have died and those who are still alive.

Key Family Members and Friends (KFFs)

For KFFs, the Patient Reported Outcome Measurement Information System-29 (PROMIS-29) is being used to measure QOL every three months from the point of patient enrollment until the patient's death. Family members and friends are encouraged to complete the survey on paper, either at in-person visits with their patient, or at separate times and returned via mail.

KFF Quality of Life Domain Scores





Preliminary findings show no change between baseline and 3 months among KFFs in anxiety, depression, fatigue, physical functioning, satisfaction with social role, or overall health and quality of life. However, there does seem to be a modest reduction in sleep disturbance and pain interference. All domain scores can be compared to the US general population (mean=50 ± 10).

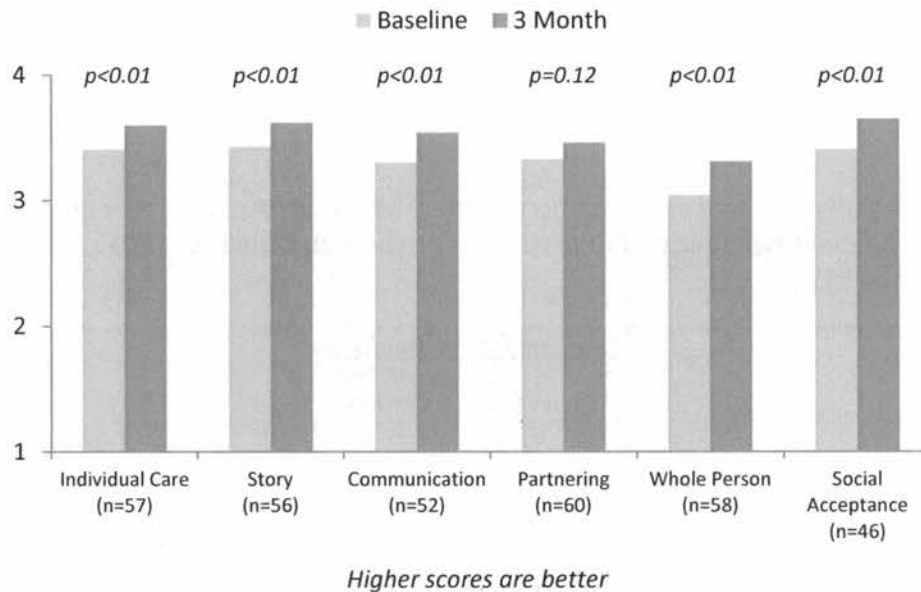
Care Experience

The LifeCourse team developed unique care experience tools for patients and KFFs. While these two instruments are parallel, each aligns with the perspective of either the patient or their KFF serving in a caregiver capacity. The KFF survey includes questions focused on their perceptions of their loved one's care, as well as their own experiences with the LifeCourse intervention and care team. Development of this tool allowed for the inclusion of questions addressing the LifeCourse model key ingredients. Associations between changes in care experience measures and the components of the model will allow for greater understanding of the effectiveness of the model, as well as offer potential identification of critical and non-critical components.

Patients

Average values at baseline and three months are shown in the figures below. For all key ingredients, higher scores indicate a better perceived care experience by the patient.

Patient Experience (Key Ingredients)

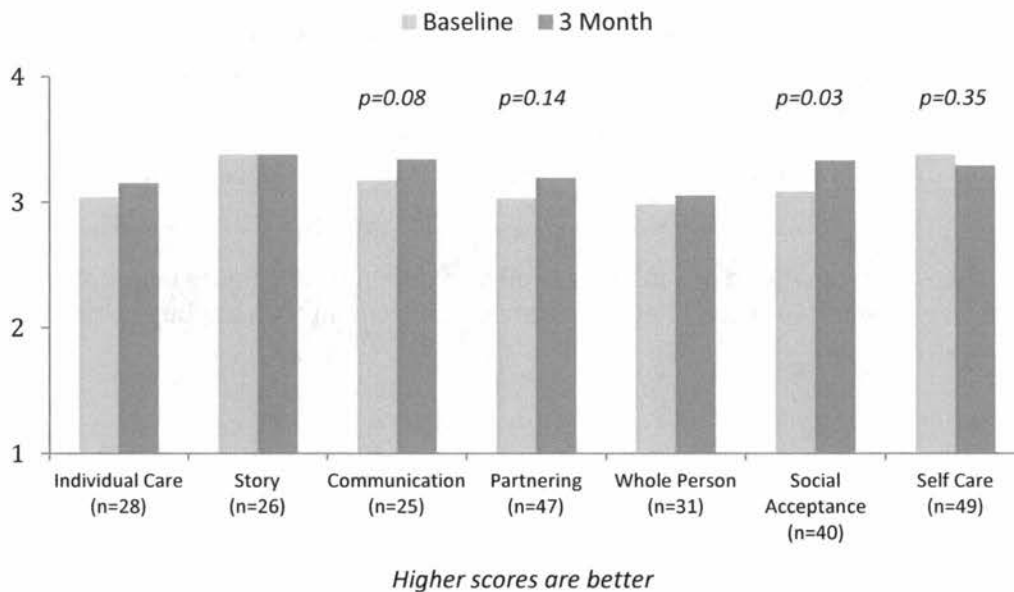


Patient experience scores for all key ingredients increased between the baseline and 3 month survey indicating an improving patient experience among LifeCourse participants.

Key Family Members and Friends (KFFs)

Baseline and three month data for KFFs are shown below. Only KFFs who have completed both their baseline and three month survey were included in the analysis.

KFF Experience (Key Ingredients)



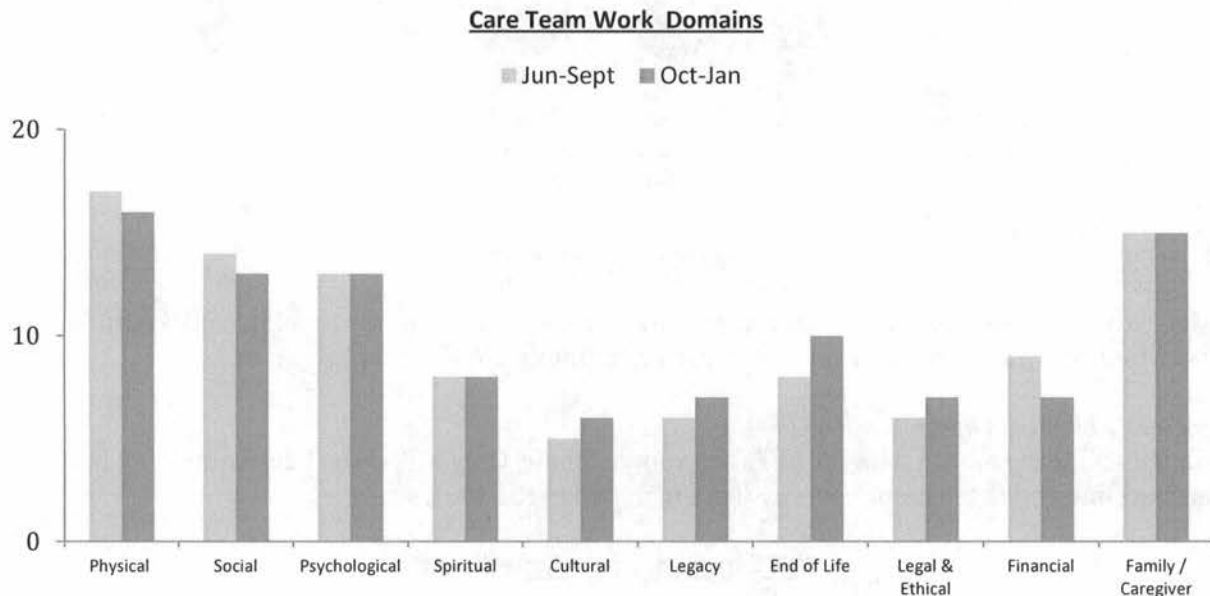
We see smaller improvements in KFF experience than in patient experience. However, there are increases for communication, partnering, social acceptance, and self-care components.

Daily Work of the Care Team

A Daily Process and Programmatic survey is being used to track the work of the care team. The survey gathers information across three broad areas: domain work, guiding principles, and tasks. Data collected are designed to provide insight into how the model evolves over time. These data will inform when the model has stabilized in its deployment.

Domains

The figure below shows the mean percent of time the LifeCourse care team spent working within each domain throughout two four month periods (June through September 2013 and October 2013 through January 2014).

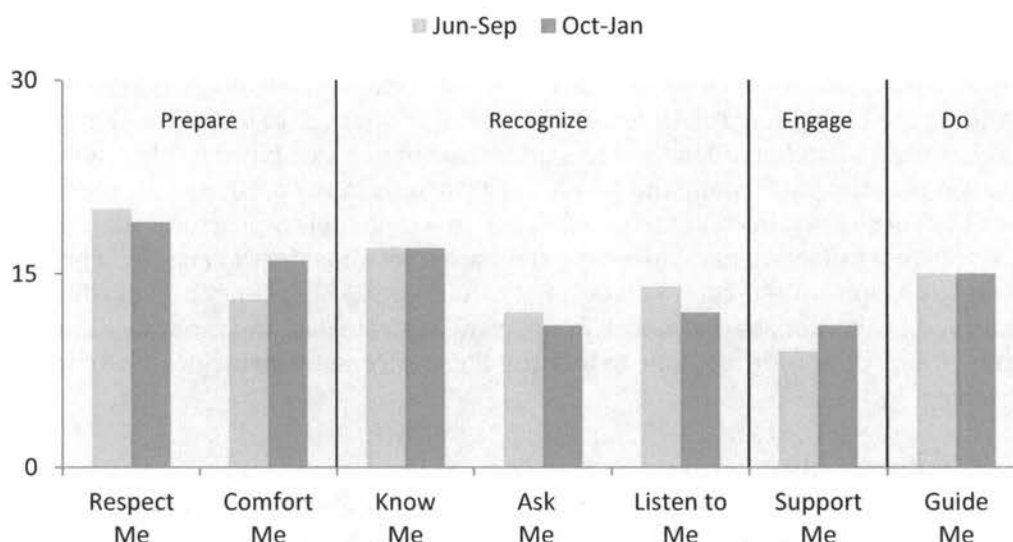


Over time we see decreases in the amount of time the care team has spent working within the physical, social, and financial domains. No changes are seen in the psychological, spiritual, and family/caregiver domains. There is an increase in the amount of time being spent in the cultural, legacy, end of life, legal and ethical domains. At a macro level the majority of the care team's domain work is focused on the physical, social, psychological, and family/caregiver domains.

Guiding Principles

Guiding principles were analyzed in a manner similar to domains. The figure below shows the estimated mean percent of time the LifeCourse care team spent on each guiding principle over the same four month periods.

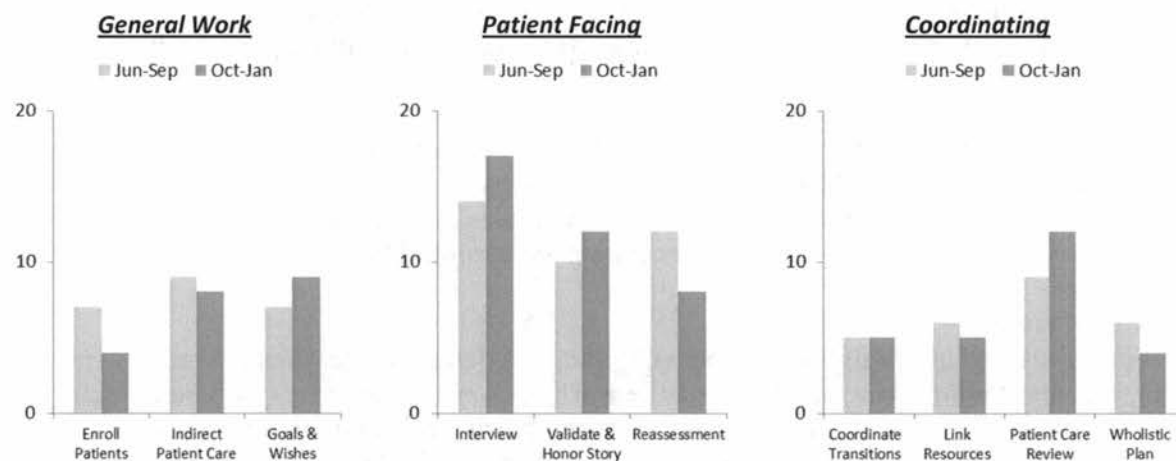
Care Team Work Guiding Principles



Care team work within the comfort me and support me areas shows a slight increase over time. Respect me, ask me, and listen to me all show marginal decreases in care team focus. Guide me and know me have not changed.

Tasks

Tasks were categorized into one of the following three categories: general work tasks, patient facing tasks, and coordinating tasks. The figures below show the evolution of the mean percentage of time the care team has spent in each of these areas of focus over time.



On average, the general work tasks and coordinating tasks of the care team have decreased while the patient facing tasks have increased over time. Specifically, work on patient goals and wishes, patient interview, patient story, and patient care review have all increased. Time spent enrolling patients, on indirect patient care, and reassessment has decreased with no change seen in coordination transitions.

3. Unanticipated Results & Lessons Learned

Evolution of Scope

As we gained more experience with patient care over the past year, we identified the need to focus on understanding the LifeCourse relationship. In particular, we seek to understand how the LifeCourse relationship is reflected in the roles and scope of practice for individual team members. The team is exploring the participant and family relationships in the patient story review, in one-to-one meetings between clinicians and care guides, and in a case review process. Relational case consultation, spiritual reflection and individual self-care time allow for reflection on personal boundaries and appropriate self-care. Finally, efforts to improve high-functioning team dynamics include a team-led evaluation, participatory improvement strategies, and monthly time for group relationship building. Over time we hope to identify those successful strategies that support high functioning teams.

Certificate of Confidentiality

We encountered a situation with one participant that required disenrollment. In this case the potential risks to the participant and LifeCourse staff of legal discovery were not acceptable. Subsequently, we have applied for a federal certificate of confidentiality for current and future participants.

Enrollment

Compared to those living in nursing homes, individuals living in the community required different language to facilitate enrollment. One respondent said, "I'm not ready to walk the last mile yet." This individual requires constant oxygen and has been hospitalized with heart failure, but she was living at home and providing daycare for a grandchild one day a week. From a functional point of view, she was indeed well. Understanding this, we have shifted the enrollment language away from illness and towards living well. We continue to refine our explanation of the potential benefit of LifeCourse at a time when patients and families are often focused on finding specific services.

Parallel Organizational Changes

Allina and its affiliated partners have not been standing still during the evolution of LifeCourse. Allina's oncology service line and its heart failure program have both recognized the value of an ongoing care relationship with individuals living with complex illness. This challenges us to identify the appropriate supportive role for care guides among other clinical navigators.

Complexity of Model

The LifeCourse model has multiple components, including a diverse professional team, an array of active ingredients, guiding principles to shape the work, and an expanded set of whole-person domains to ensure all encompassing care. Given this complexity, robust quantitative and qualitative analyses are necessary to dissect the model and understand the effect of each component. In addition, feasibility experiments of untested aspects are necessary to understand the full landscape before launching a comprehensive multi-arm trial in Phase 2. At the recommendation of the Board, we aim to pause for a Transition Phase in 2015 before launching into Phase 2. More details about that Transition Phase are included in the proposal outlining our aims for that period.

4. Expense Statement

The total budget for 2013 was \$4,245,492. The project was \$363,003 under budget in 2013 which results in being \$597,562 under budget for the pilot phase to date.

Account	2013 (Year 2)		Pilot Total (Years 1 & 2)	
	Expenses	Budget	Expenses	Budget
Salaries	\$1,785,713	\$2,101,240	\$2,748,041	\$2,865,365
Benefits	\$486,607	\$ 609,360	\$ 751,247	\$909,691
Supplies	\$19,542	\$20,000	\$32,281	\$54,500
Equipment/Facilities	\$16,139	\$ 50,000	\$37,830	\$70,000
Printing/Postage	\$1,931	\$ 65,000	\$6,749	\$71,000
Purchased Services (including C-TAC and CAPC contributions, IRB fees)	\$132,545	\$ 47,000	\$ 168,888	\$393,500
Consulting/Contractual Agreements *	\$1,388,916	\$1,212,892	\$2,156,012	\$1,932,882
<i>*Includes partners (TPT, University of Minnesota, Augustana, Walker Methodist), as well as Patient and Caregiver Advisory Council members, National Advisory Committee members, and other consultants/training.</i>				
Education	\$13,686	\$50,000	\$21,061	\$188,000
Travel	\$19,263	\$75,000	\$39,488	\$75,000
Food	\$10,314	\$15,000	\$21,770	\$27,250
Miscellaneous	\$7,833		\$21,259	\$15,000
TOTAL	\$3,882,489	\$4,245,492	\$ 6,004,626	\$6,602,188
Total Variance			\$597,562 (under budget)	

Respectfully submitted,

Eric W. Anderson, MD, Principal Investigator

**University of Minnesota Law School
Six-Month Report to the Robina Foundation on
The Center For New Americans**

February 18, 2014

Part 1. Overview

The Center is taking shape rapidly, and when fully established it will help drive transformative change in our immigration system, improving our nation's laws and the lives of countless New Americans. Our first six months were dedicated to hiring personnel, creating an advisory committee with our six partner institutions, and establishing the Center's two new clinics and Education and Outreach Program. Our team is in place, and by collaborating with our partners as well as other university, community, and national allies, we have already made excellent progress toward our year-one benchmarks.

Hire executive director and program associate. (complete) Benjamin Casper was hired as Executive Director and Professor of the Federal Immigration Litigation Clinic on July 30, 2013; Kjerstin Sanden started as the Center's program associate on January 7, 2014.

Establish advisory committee. (complete) The Center's advisory committee met twice to plan our collaborative work. Committee members represent all six of our partners:

- Center for New Americans: Benjamin Casper, Linus Chan, Nancy Cook, Steve Meili
- The Advocates for Human Rights: Robin Phillips, Deepinder Mayell
- Immigrant Law Center of Minnesota: John Keller, Selena-Britzius-Negash
- Mid-Minnesota Legal Aid: Cathy Haukendahl, Greg Marita, Peggy Russell
- Dorsey & Whitney: Larry McDonough, Alysia Zens, Perry Wilson
- Faegre, Baker, Daniels: Dianne Heins
- Robins, Kaplan, Miller & Ciresi: Sally Silk, Anne Lockner

In October, we forwarded year-one funding (\$50,000) to each of the three non-profits. The Law School has planned and undertaken a variety of cases and outreach initiatives with the partners, as described in part 2.

Launch Federal Immigration Litigation and Detainee Rights Clinics. (complete) Linus Chan, professor of the Detainee Rights Clinic, started December 30, 2013. He is an outstanding advocate who earned a national reputation for clinical teaching at DePaul University in Chicago. Our two new teaching fellows arrived October 7, 2013, and both have strong immigration experience. Kate Evans, a 2009 graduate of New York University Law School, is with the Federal Immigration Litigation Clinic. She clerked for the Minnesota Court of Appeals and the U.S. Court of Appeals for the Eighth Circuit. Meghan Heesch, a 2012 graduate of Harvard Law School, is with the Detainee Rights Clinic. She clerked for a Florida immigration court as a U.S. Department of Justice Honors Attorney.

Build an integrated immigration center with ties to national allies. (in progress) We are actively integrating our two new clinics with Professor Steve Meili's existing Immigration and Human Rights Clinic to create a comprehensive immigration center at the Law School. In addition to their roles with the new clinics, our teaching fellows have supervised Professor Meili's students in a number of successful asylum cases. Benjamin and Kate also used one of their Federal

Immigration Litigation Clinic cases as a teaching vehicle for Steve's students, who then served as moot-court judges for Kate in that same case as she prepared for oral argument before the Eighth Circuit Court. As detailed below, our clinics are already building strong ties with diverse national allies from all parts of the country.

Launch Education and Outreach Program. (in progress) Working with our partners, Director Nancy Cook, along with other Center faculty and students, identified initial priorities and began building a strong network of university and community allies. We have hosted or planned a number of educational events for pro bono lawyers.

Part 2. Details of Progress

Federal Immigration Litigation Clinic. The clinic seeks to improve U.S. immigration law through collaborative impact litigation in federal courts. With our partners, we adopted litigation priorities for year one. We have engaged our students and partners in cases before courts across the United States, and we are already building a national reputation as measured by our networks, case referrals and amicus support. Prominent national allies have supported us with amicus briefs, and the Center serves as amicus counsel for the American Immigration Lawyers Association (AILA) in three cases. Benjamin and Kate now convene monthly conference calls of the Asylum Litigation Working Group, a national coalition of key asylum litigators from law school clinics and advocacy groups including AILA, UNHCR, the National Immigrant Justice Center, and Harvard Law School's Human Rights Clinic.

Year One Benchmarks	Status
Establish litigation priorities with partners	Complete. The advisory committee adopted 7 priorities for year one: • Expanding asylum protection for victims of persecution • Protecting the rights of noncitizens in removal proceedings • Securing the rights of immigrant and refugee children • Countering arbitrary and dilatory agency action • Challenging improper detention practices • Protecting family unity • Preserving judicial review over immigration agency action
Increase annual number of appellate and district court matters handled from baseline of 8 to 12	In progress. 11 litigation matters with potential for impact: • 1 high-profile asylum matter at Board of Immigration Appeals (BIA) (pending) • 3 petitions for review before U.S. Courts of Appeals (1 pending in Second Circuit, 1 pending in Eighth Circuit, and 1 denied by Eighth Circuit) • 2 <i>amicus curiae</i> matters before U.S. Courts of Appeals (one successful, one pending) and 1 before BIA (pending) • 2 petitions for rehearing <i>en banc</i> to U.S. Courts of Appeals (both denied, both pending appeal to U.S. Supreme Court) • 2 petitions for certiorari to the U.S. Supreme Court (certiorari petitions to be filed in February and April)
Launch clinic with enrollment of 6 – 8 students	Complete. Registered 3 student directors in Fall and 5 new students in Spring for a total of 8. Participation for year one should exceed 9 with expected registration of summer students.

Just one example of the Federal Immigration Litigation Clinic's work is our planned petition for certiorari to the U.S. Supreme Court in *Goromou v. Holder*. This case furthers our litigation priorities of (a) expanding asylum protection for victims of persecution and (b) preserving judicial review over immigration agency action. In 1996, Congress enacted a statute that requires persons fleeing persecution to apply for asylum within 1 year of their arrival in the United States, with a limited exception where "changed circumstances" arise justifying an extended deadline. Mr. Goromou was tortured by his home government in Africa several years before he came to America, and only one week before he reached the one-year anniversary of his arrival, he learned his home government had rekindled its threats against him by abducting his children. Despite suffering PTSD and having no lawyer, he managed to file an asylum application just 33 days after the deadline, yet an immigration judge ruled against an exception. Worse, most federal courts say they have no authority to review decisions regarding "changed circumstances." The onerous time limit and lack of judicial review has blocked thousands of worthy asylum seekers.

Students from the Immigration and Human Rights Clinic and the Federal Immigration Litigation Clinic represented Mr. Goromou before the Eighth Circuit. Second year student Gaelen Schumann had an extraordinary opportunity to argue the case before a three-judge panel, which later denied the appeal over the sharp dissent of one judge. We asked the full Eighth Circuit to rehear the case this fall, attracting national attention and *amicus curiae* support from prominent asylum advocates. The full Eighth Circuit denied rehearing over the objection of 3 judges, and we are now headed to the U.S. Supreme Court. Three clinic students will collaborate with a *pro bono* team from Robins, Kaplan, Miller & Ciresi, L.L.P., led by partner Eric Magnuson, as well as lawyers from The Advocates for Human Rights. Together we will seek Supreme Court intervention and simultaneously undertake advocacy seeking a legislative fix to eliminate the one-year time limit on asylum applications altogether.

Detainee Rights Clinic. The Detainee Rights Clinic defends indigent noncitizens in immigration court after they are incarcerated by the Department of Homeland Security (DHS). We are on track to meet our year-one benchmarks thanks to Linus and Meghan's intensive planning in advance of Linus's arrival¹ and thanks also to the additional representation our non-profit partners provided to detainees using new resources from the Robina grant. The Advocates for Human Rights and the Immigrant Law Center of Minnesota are augmenting their detainee services while Mid-Minnesota Legal Aid will use Robina funds to represent detainees for the first time.

The Center is spearheading collaborative initiatives with our partners that will expand bond representation, merits hearing representation, and access to counsel. This summer we will launch a new project with our three law firm partners that will train firm lawyers and summer associates to provide *pro bono* representation to detainees in bond hearings. A new program for early on-site legal consultations at county jails where DHS holds immigration detainees will reach them days or weeks before they could otherwise expect *pro bono* advice. We are also investigating a unified phone intake and database system to provide detainees with early screening through a common phone number accessed by the clinic and our non-profit partners. Linus and Meghan have also organized a roundtable meeting with our non-profit partners and area attorneys who represent mentally ill detainees, to address systemic problems they face accessing counsel and adequate medical treatment.

¹ Professor Chan was selected in October following a national search but could not start at the Law School until December 30th, after he completed his final semester teaching at DePaul.

Year One Benchmarks	Status
Increase number of detainees represented in bond hearings to 30.	Exceeded. The Detainee Rights Clinic has represented clients in 9 bond hearings, while our partners have represented 24 for a collective total of 33 so far in year one.
Increase number of detainees provided merits representation from 20 to 30.	In progress. The Detainee Rights Clinic has provided merits representation to 5 clients and our partners have represented 18 for a collective total of 23 so far in year one.
Launch clinic with enrollment of 6 – 8 students.	In progress. 1 student director and 3 students enrolled for Spring semester for a total of 4. Final participation for year one should exceed 6 with expected summer students.

An example of our advocacy for detainees is the case of client S.A., an East African immigrant who entered the United States at age 13 after spending his childhood in a refugee camp in Kenya. In Minnesota his family subjected him to serious physical abuse and he was soon moved to foster care. S.A. suffered lasting emotional problems, poverty, and a period of prolonged homelessness as an adult. During this time S.A. was convicted of theft crimes, and DHS now seeks to strip him of his resident status and to deport him to his unstable home country. Our clinical students are representing S.A. in applications for humanitarian relief from removal based on his long-term ties to the United States and the persecution he will likely face if deported.

Education and Outreach Program. The Education and Outreach Program teaches noncitizens about their legal rights and trains lawyers to provide high-quality pro bono legal services to New Americans. Nancy Cook, her students, and other Center faculty have engaged our partners to identify priorities for collaborative work, and we are actively building networks of University and community allies.

Year One Benchmarks	Status
Establish network of University and community allies.	In progress. Our University network now includes the Law School's Human Rights Center, the Minnesota Justice Foundation, and the student-run Asylum Law Project, as well as allies from the wider university including the Office of Student Engagement, the Student Learning Center, and the Urban Research Outreach and Engagement Center. We have also established and continue to build relationships with community organizations such as the Greater Minneapolis Council of Churches, the International Institute of Minnesota, Minnesota Coalition Against Sexual Assault, Minneapolis Public Schools Adult Education Program, Catholic Charities, Parents in Community Action, and the Tubman Center.
Begin to provide educational and outreach programs and materials for noncitizens	In progress. With our partners we have identified initial priorities for education and outreach in year one, including these projects: (1) <u>Preparing non-citizens for immigration reform</u> : Educating undocumented non-citizens about how to prepare for possible immigration reform is crucial, as many lack understanding of important steps they should take to maximize their chances of qualifying for legal status. The same steps are important for noncitizens to follow in the absence of immigration reform because they also impact eligibility for humanitarian relief from deportation that is sometimes available to undocumented persons apprehended by DHS. Students will work with our partners to develop and disseminate materials about how to
Begin to provide educational and outreach programs and materials	

for noncitizens (continued)	document presence and good moral character, how to avoid common legal pitfalls, and other key information. (2) <u>DHS Prosecutorial Discretion</u>. Important memoranda provide specific guidance to DHS officers regarding when, for humanitarian or other reasons, they should exercise discretion and withhold enforcement against noncitizens otherwise subject to deportation. Adherence to these important policies has been inconsistent, leading to uneven and unjust outcomes. With our partners, students will gather quantitative and qualitative data about DHS practices through outreach to immigration lawyers, noncitizens, and the government; analyze this data and document and publicize problems with DHS decision-making; recommend changes in DHS practices; and create materials for lawyers and non-citizens seeking pursuing prosecutorial discretion. (3) <u>Partner externships</u>. This Spring 6 students will work directly with our non-profit partners on both case-work and policy projects involving naturalization, permanent resident status, U-visa policies, and family reunification cases. Each student will contribute 100 hours of service in a 14-week semester. Two additional students will collaborate with the Human Rights Center at the Tubman Center, analyzing laws and developing policies aimed at combatting labor trafficking.
Begin to provide educational and outreach programs for pro bono lawyers	In progress. We have hosted and are planning a number of programs with our partners designed to recruit and train pro bono lawyers: <u>November 8</u>: Co-hosted a new annual asylum conference with The Advocates for Human Rights, attended by over 50 volunteer lawyers and law students. Conference panelists included Center faculty and leading asylum experts from organizations such as the UNHCR. <u>October 24</u>: At the Center's invitation, the Eighth Circuit Court held a special argument session at the Law School, attended by more than 100 students. Teaching fellow Kate Evans argued her first case for a client represented by the Federal Immigration Litigation Clinic <u>Planned events</u>: In the coming six months we are holding roundtable meetings to address DHS treatment of mentally ill detainees, DHS prosecutorial discretion, as well as formal programs focused on topics of federal litigation, detention, and asylum, plus a full-day recruitment and training program for volunteers from our partner law firms.

Part 3. Project Timing Adjustments

While we are off to a strong start and expect to meet all year one benchmarks, the time required to conduct a national search for the Detainee Rights Clinic professor and our two teaching fellows did not allow us to fill these positions before the start of the academic year. As a result, our spending lags some months behind what we originally projected in our budget.

Foundation : 20043

CENTER FOR NEW AMERICANS

7/1/2013 start date	BUDGET	Expenditures: 7/1-12/31/2013	
	Year 1 2014		
Compensation Faculty, Fellows, Adjuncts, Program Director and Student Clinic Directors	769,393	148,039	
Co-Partners: Immigrant Law Center of Minnesota (ILCM) Immigrant Law Center of Minnesota (ILCM) Advocates for Human Rights (Advocates) Mid-Minnesota Legal Assistance (MMLA)	150,000	150,000	
General Operating Activities Outreach Activity (Includes Web based activity) General Supplies/Operations	80,000	19,275	
Space Renovations	350,000	4,900	Currently working on space plans/issues and anticipate useage of funds in FY 2015
SUBTOTAL	1,349,393	322,214	

allina

Nancy Gilberg

From: Radel, Kimberly [Kimberly.Radel@allina.com]
Sent: Wednesday, February 26, 2014 9:20 PM
To: Penny Hunt; ngilberg@robinafoundation.org
Subject: LifeCourse follow up items
Attachments: Approval of LifeCourse Additional Funding Nov 2013.docx; Ampers overview.docx

Penny,

Thanks for reaching out today. I hope the information I have attached is helpful.

- 1) The first attachment is the approval letter for the 2014 funding of \$4,274,541. This is the amount that we have budgeted for this year.
- 2) Per your request, here are the names of the individuals in the budget. I didn't include the entire project team, let me know if you are looking for this than this:

Model Project Manager/Process Impr: Karen Birkeland, MBA

Clinical Mgr: Kathy Shibrowski, RN

PI: Eric Anderson, MD

Co-PI: Sandy Schellinger, NP

Co-PI: Heather Britt, PhD

Project Director: Kim Radel, MHA

Research Manager, Alissa Jones, MA

Senior Scientific Advisor: Monica Frazer, PhD

Senior Nurse Researcher: Ann Jorgenson, RN

- 3) I included a document that Ampers created for LifeCourse to describe the value of partnering with them, examples of other partnerships they are a part of, and the languages on Ampers stations.

Please let me know if there is any other information that may be helpful in preparation for the board meeting.

Thanks,
Kim

Kim Radel, MHA

Operations Director, Robina research projects • Division of Applied Research • Allina Health

Phone: 612-262-6086 • Kimberly.radel@allina.com

Mail Route 10105 • 2925 Chicago Ave • Minneapolis, MN 55407



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ROBINA FOUNDATION

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

November 21, 2013

Penny Wheeler, MD, Chief Clinical Officer
Allina Hospital and Clinics

Eric Anderson, MD, Medical Director, Palliative Care
Allina Home and Community Services

Dear Penny and Eric,

I am writing to confirm Robina Foundation's decision concerning Abbott Northwestern Hospital's request for additional funding to support *LifeCourse: Late Life Supportive Care* in 2014. At a meeting on November 12 the Board of Directors agreed to increase the Foundation's previous commitment of \$3,064,266 for 2014 to \$4,274,541. This amount will be paid in February 2014. We support your decision to spend additional time in 2014 on the development and study of the LifeCourse model and believe this deeper study will provide a firm foundation for the expanded work you contemplate in Phase II of the initiative.

Thank you for alerting us about your plans to submit a request for transitional (bridge) funding for 2015 for the Board's consideration at its next meeting scheduled for early March, in anticipation of submission of a multi-year proposal next summer. We will include consideration of the transitional funding request on the agenda for the March meeting.

Please feel free to contact me if you have questions or concerns. I'm sure we will be in contact before the March meeting, but in the meantime, my very best wishes for a wonderful Thanksgiving!

Regards,

Penny Hunt

Penny Hunt, Executive Director

cc: Sandy Schellinger, Kim Radel, Heather Britt

WHY AMPERS FOR LifeCourse™?

- Ampers stations reach minority communities not served through traditional media with programs in 12 languages
- Ampers station KMOJ is the only station in Minnesota with a mission to serve African Americans and communities of color
- Ampers has extensive experience creating and distributing educational and informational segments that are also entertaining and interesting
- Three Ampers stations are licensed to or affiliated with a Native American communities in Minnesota
- Ampers is an association rather than a network giving you the flexibility to pick and choose the stations and even the programs that make the most sense for LifeCourse™
- Ampers coordinates and handles all aspects of the campaign for all stations including research, writing, production, distribution, FCC compliance, billing, and more
- Ampers stations are entrenched in their communities and viewed as a trusted source for information (especially important in new immigrant populations)
- Ampers has the infrastructure in place to easily distribute information statewide
- Our stations are LOCAL community based stations that are programmed by and for local members of the community giving you the chance to support and connect with local communities
- A great way to truly target your campaign which can get as narrow as a specific minority group and in most cases your message can even be delivered in their native language
- Your message will stand out and won't risk getting lost in a sea of commercials
- Sponsorships create a sense of connection with the station and more importantly the community and its members
- One stop shopping to reach the state of Minnesota

Ampers Partnerships

- **MNsure uses all 15 Ampers stations to reach underserved communities**
- **UCare uses Ampers to reach minority and rural communities**
- **The U.S. Census used Ampers to reach underrepresented communities**
- **Medtronic uses Ampers stations in the metro to promote their philanthropic partnerships**
- **Investor Protection Trust used Ampers stations to educate minorities, rural communities, and the elderly about financial fraud**
- **The Minnesota Historical Society uses Ampers to reach residents in greater Minnesota on a grassroots level and metro stations to drive visitors to the History Center**
- **The Minnesota DNR uses Ampers stations to reach minority and rural communities with their boating safety messages**
- **The United Way uses Ampers to inform minority communities about low cost and no-cost tax services**

Languages On Ampers Stations

- **Spanish**
- **Somali**
- **Oromo (Kenya)**
- **Hmong**
- **Tigrigna (Eritrea/Ethiopia)**
- **Ojibwe**
- **Amharic (Ethiopia)**
- **Vietnamese**
- **Tagalog (Philippines)**
- **Khmer (Cambodia)**
- **French**

February 25, 2014

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

Dear Penny,

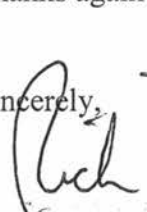
On behalf of the Board of Directors of the Abbott Northwestern Hospital Foundation and the Hospital and community they serve, I want to recognize the Robina Foundation's truly transformative support for the LifeCourse project. Specifically, I want to substantiate and acknowledge that on February 11, 2014 Allina Health Treasury received a wire transfer from the Robina Foundation totaling \$4,334,266.

This most recent grant is just the latest example of the Robina Foundation's amazing partnership with Abbott Northwestern Hospital, its Foundation and Allina Health. Together we have accomplished much and this partnership has the potential to accomplish so much more.

Consistent with our conversation last fall, I look forward to working with you to arrange a visit by Allina Health's CEO, Ken Paulus, and Abbott Northwestern's President, Ben Bache-Wiig, MD, at Robina Foundation's summer meeting. The purpose of this meeting is to introduce the Trustees and these leaders, and assist the Robina Foundation Trustees in their understanding of Abbott Northwestern as Allina Health's flagship hospital addressing the health needs of the community and region. Let me know when you would like to discuss the agenda for this meeting. If you have a date or two in mind, it would be helpful for me to place a hold on Ken's and Ben's calendars.

Thanks again to you and the Robina Trustees for their continuing transformational support.

Sincerely,



Richard Meyer
President
Abbott Northwestern Hospital Foundation

The Robina Foundation is transforming health care, health and wellness in our community and across the country. Your partnership is greatly appreciated.

As required by the Internal Revenue Service, we are informing you that Abbott Northwestern Hospital Foundation is a 501(c)(3) charity. You have not been provided with any goods or services in exchange for this contribution.

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

FACSIMILE TRANSMISSION FORM

DATE	February 11, 2014
TO	Kimberly DeBeare cc: Nicole Olmschied
FAX #	866-592-7243
FROM	Penny Hunt, Executive Director
SUBJECT	Wire Transfer of Funds to Allina Health System

(Page 1 of 1 Pages)

Kim,

Please wire-transfer \$4,334,266 (Four million three hundred thirty-four thousand two hundred sixty-six dollars) to the Allina Health System per the instructions below. This is the third payment of a three-year grant to support the "LifeCourse" project.

Please let us know when that transfer takes place, and inform the Allina Health System that Robina needs an acknowledgement letter stating the date and amount of the monies transferred. Thank you.

Instructions for Wire Transfer

Bank: Wells Fargo, National Association
420 Montgomery Street
San Francisco, CA 94163, USA

SWIFT Code



ABA:

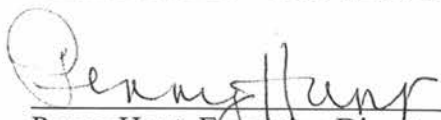


Account Name: Allina Health System

Account Number: 635-500-5000

Text: Funds are for the grant from the Robina Foundation to Abbott Northwestern Hospital Foundation's "LifeCourse" project. Allina contact: Kim Radel at 612-262-6086.
Robina Foundation contact is Penny Hunt, Executive Director, or Nancy Gilberg, Administrative Consultant, at 612-333-2313.

Kim, if you have any questions about the instructions, please contact the following person(s):
Jerome Houizot – 612-262-0646, or Nerissa Nugent, 612-262-0647.


Penny Hunt, Executive Director
Robina Foundation

Robina Foundation 2014 Board Meeting Dates

DATE (2014)	PLACE/TIME
March 3-5, 2014 (Mon, Tues, Wed) Yale University Lodging: The Study New Haven, CT	Yale University Monday, March 3 – 6:30 p.m. Dinner (EST) Tuesday, March 4 – 8:00 a.m. – 4:00 p.m. (EST) Tuesday, March 4 – 6:00 p.m. Dinner (EST) Wednesday, March 5 – 8:00 a.m. to 12 noon (EST)
May 13, 2014 (Tuesday) Conference Call	10:00 a.m. to 12 noon (CDT)
August 11-13, 2014 (Mon, Tues, Wed) Annual Meeting Minneapolis, Minnesota	Minneapolis, MN Monday, August 11 – 6:00 p.m. Dinner (CDT) Tuesday, August 12 – 8:00 a.m. to 4:00 p.m. (CDT) Tuesday, August 12 – 6:00 p.m. Dinner Wednesday, August 13 – 8:00 a.m. to 12 noon (CDT)
November 13, 2014 (Thursday) Conference Call	10:00 a.m. to 12 noon (CST)

Calendar for year 2014 (United States)

January Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 1:● 7:○ 15:○ 24:● 30:●	February Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 6:● 14:○ 22:○	March Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 1:● 8:○ 16:○ 23:● 30:●
April Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 7:● 15:○ 22:○ 29:●	May Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 6:● 14:○ 21:○ 28:●	June Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 5:● 13:○ 19:○ 27:●
July Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 5:● 12:○ 18:○ 26:●	August Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 3:● 10:○ 17:○ 25:●	September Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 2:● 8:○ 15:○ 24:●
October Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 1:● 8:○ 15:○ 23:● 30:○	November Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 6:○ 14:○ 22:● 29:○	December Su Mo Tu We Th Fr Sa 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 6:○ 14:○ 21:● 28:○

Holidays and Observances:

Jan 1 New Year's Day	Sep 1 Labor Day
Jan 20 Martin Luther King Day	Oct 13 Columbus Day (Most regions)
Feb 14 Valentine's Day	Oct 31 Halloween
Feb 17 Presidents' Day	Nov 11 Veterans Day
Apr 20 Easter Sunday	Nov 27 Thanksgiving Day
May 11 Mother's Day	Dec 24 Christmas Eve
May 26 Memorial Day	Dec 25 Christmas Day
Jun 15 Father's Day	Dec 31 New Year's Eve
Jul 4 Independence Day	